

# SPARC



annual review 2010-11

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# Message from the Director

2010 was a year of continuing growth for SPARC and new opportunities for learning.

Around 35 city to city exchanges took place

7 international exchanges

9 state level exchanges

4 new research projects – the unintended consequences of slum resettlement, the work of the Mahila Milan Police Panchayats, the community's definition of poverty and the incremental housing process. Federation groups also grew, adding

33 new savings groups. With this growth, the federations also continued to strengthen their savings and credit capabilities: in 2010

Mahila Milan and the federation saved Rs. 21,867,694.00

4,101 settlement profiles in 7 states and union territories of India.

The federation mapped 110 settlements using GIS in Bangalore and 200+ in Cuttack, Orissa.

JNNURM projects Contracts for over 3000 units in 4 cities of which 727 houses are under construction in Pune, Orissa and Bangalore.

Sanitation projects also continued apace: as of March 2011, under the Nirmal Bharat Abhiyan Toilet Scheme in Mumbai, SPARC constructed 289 toilet blocks with a total of 5780 toilet seats and 37 toilet blocks with 855 seats under MSDP II

In 2010, In January 2011, Sheela Patel and Jockin Arputham were awarded the 2011 Padma Shri awards, which is the fourth highest civilian award in India.

**Measuring urban poverty:** Measurement of poverty is a serious development business. How it is done is a deeply political process. In the last few years, many state governments in India have ended up having more families deemed below the poverty line than are present in the city, to get increased allocation of central funds. Manipulation of statistics, redefinition of what constitutes poverty and shaping of data to show reduction of households below the poverty line or above the poverty line are all happening side by side. All depending on what masters dictating the statisticians want to proclaim. There have been several committees to define the measurements of poverty. This is a crucial issue at the point of time when the Planning Commission begins to undertake the 12<sup>th</sup> Plan strategy and allocations. Debates about hunger and food security are also ongoing in parallel. Inflation on food staples, lentils, onions and staples having to be purchased at sky rocketing prices due to speculation and millions of tons of food grain rotting because it's been badly stored. Underlining this whole situation are impoverished households and those in distress getting no resources claimed on their behalf by the state, along with scams concerning how the money that was intended for them gets diverted.

**Development planning and informality:** Planning is a deeply political process that can end up meaningless if treated as just a technical exercise. In Indian cities, current planning is being confronted by reality on a wide range of issues, foremost being challenges brought by slum dwellers. In the last few years, the Alliance has entered into many discussions about city planning and urban poverty. Development plans of cities seem to be a piece of fiction created to fulfill a statutory obligation. From the view point of the federations, these plans are only really used when it is useful to the state to deny the needs of the poor. Yet in the absence of a reality check of how and why cities grow, most cities have slum dwellers who squat where they can in relationship to their survival and livelihoods, and real estate developers can connive and bribe to obtain permissions to build upper income homes and commercial spaces.

**Right to the City:** There have been many debates about who gets to obtain the rights to the city. Development agencies have, by and large, provided support to professional activists to fight for the cause of those who find their rights denied. The historical development of the NSDF and Mahila Milan has shown that sustained leadership development amongst the slum dwellers can transform victims of evictions into those who produce solutions, not only to their own crisis, but to larger city problems. The trajectory of these processes is undoubtedly messy and often it is hard to track and document. Capacity building, strategy formulation and execution often occur in ways that are strange and unfamiliar to professional development management evaluators. We in SPARC now see clear processes, patterns and strategies and have developed the capacity and skills to support them: to stand by while they get explored, contribute when needed, back stopping when strategies get executed and then document and disseminate information about the process while communities move on to their next challenge.

**Creating Policy from Practice:** Communities learn by doing and create solutions that in turn produce policy. This process demonstrates that just developing a good policy is not enough; it needs champions to breach the dissent and opposition, and nurture new processes and actors to take it forward. In 1985, SPARC began to work with pavement dwellers. Women pavement dwellers taught us 'professionals' that when they have no other option but to live on the pavement it's time to dialogue and negotiate, rather than agitate and argue. Those explorations with the pavement dwellers, in turn, showed us that the city administration and the state had no idea who the pavement dwellers were and why they were there. When we asked others to take on research and found no takers, we undertook a study that was a census of more than 6,000 pavement families. We created the enumeration strategy which is now implemented globally by Slum/Shack Dwellers International (SDI) and which we continue to use in India to produce data about the poor and form federations. In 1995, we sat on a task force and created a policy in Maharashtra under which pavement dwellers received equal status as slum dwellers. Later that year, we designed the Mumbai Urban Transport Project II (MUTPII) relocation policy based on principles and practices developed for pavement dwellers. In 2005, the State Government of Maharashtra and the Municipal Corporation of Greater Mumbai developed the Mahatma Gandhi Pada Patha Wasi Yojana (Scheme for Pavement Dwellers) and has since relocated 10,000 of the 30,000 households in the city.

These same principles guide our support to the residents of Dharavi, who since 2004 have resisted the Redevelopment Plan for Dharavi and today have devised alternatives which can be community driven, managed and executed. The process of studying the causes of dissent produces the basis of understanding the logic of ways in which dissent occurs. From there, it is possible to explore ways to produce the foundational principles on which a solution can be formulated. This produces a relationship of critical engagement with the state, where concerns by one set of communities can lead to dialogue representing the dissent, while at the same time alliances can be created with other sets of actors within state to produce and execute solutions. Federations and their mature leadership have helped us all to accept that whether it is the state or private sector, or people from different class backgrounds, no one is simply black or white, good or bad. Each has interests and concerns,

*The most valuable resource that the Alliance provides communities with is the capacity to explore, to test and make mistakes, to correct and then refine solutions before they scale up. The Alliance acts as a crucible to develop innovative strategies, experiment with them and then scale them up. The sheer size of the federation also functions as a risk manager, which supports this experimentation and is able to absorb the implications of any risks with the many successes. The federations' leadership have been amazing hosts, teachers and fast learners. They have continued to play host to a wide range of guests, politicians, administrators, international ministers, academics, who come to visit them. Through playing host, they have developed capacity to manage events, protocol and security issues, and using visits to build capacity of communities to proudly share what they have achieved. Through their engagement with Slum/Shack Dwellers International (SDI), the leadership of the Alliance now networks and learns from an amazing pool of experiences.*

# Some reflections on relationships

**Globalization** Global forces impacting local processes need to be understood by all sections of society. Evidence suggests that if there is sustained presence of people's organizations locally, and if community leaderships have an articulated position about choices they seek through negotiations, then the community is better able to resist development that does not work for them and propose solutions. This is a different strategy from a context where, after an issue presents itself and a project is created, communities get organized to protest. Then it's already too late for dialogue and negotiations as the parameters from the project have been defined before communities can get organized. Many instances in this annual report show how organized communities have begun to impact large projects through anticipating challenges and suggesting alternatives.

By and large, global developmental organizations have not yet learnt to respect local processes and activism, despite the rhetoric of wanting "participation". They have treated local organizations like sub contractors to "do projects" and be bound by contracts that further exacerbate the unequal relationship. Procurement mechanisms also demonstrate a deep bias against NGOs and grassroots organizations while being favorable to private sector organizations encouraging them to "hire" NGOs to improve their bids. This further reduces the status and value of local activists. Global private sector organizations similarly find local organizations inconsequential and neither has any familiarity with them or see any value in getting to know them. Unless, of course, they impede their investment plans. Real estate projects fall in that criteria as international financial investments come into real estate development and slum dwellers impede these projects.

**Relationship with the State:** Despite the fact that the national development focus will remain rural for a long time to come, dragging attention to issues of urban equity and rights of the poor in cities is a deep central focus for the Alliance regardless of whether it is dealing with Central government ministries, relevant state government departments or city administrations. The Alliance believes the state cannot abdicate from its obligation to balance resource distribution and protecting the interests of the vulnerable. Explorations to find some space for dialogue responses occur in a fairly hostile and indifferent policy and practice environment. In such a situation, the strategy of the Alliance is to first organize communities of the poor at scale and produce a stable leadership base that can sustain internal capacity building and knowledge creation and transfer while also creating space for dialogue with the state. Information gathering, challenging information about the poor generated by the state, succinct articulation of what their needs are and selecting the areas that require investment forms the foundation of dialogue with the state at different levels.

The alliance is clear that it never just gathers information about the poor and their needs, or gives recommendations to make changes that grab attention. It is a combination of demonstrated organizational capacity, strategies for solutions based on data and evidence of managerial capacity of communities that produces possible engagement with the state. The vertical and central top-down management style of the State, its long term antagonism in dealing with NGOs and with communities, and a predisposition to work with private sector to whom it increasingly sub contracts projects and sometimes abdicates its responsibilities - all combine to destroy creating of pro-poor strategies at scale.

The Alliance often finds that it has a range of relationships addressing different issues with the same institution of the state. So it may be designing a strategy together on one set of issues, and opposing the state position in another issue, depending on the position of the state department or agency on different projects depending on how they impact the federations. In almost all instances where a solution is negotiated, it's a compromise and is a bit like a glass half full or half empty. Those who negotiate with an all or nothing stance often find the Alliance processes unacceptable. However, all negotiations are done after discussions by the communities to ensure some non negotiables are in place despite the give and take of negotiations.

There have been many instances where the federations have abdicated from dialogue and found negotiations restarted after some time. That emerges after the state agency accepts that the implications of agreeing to community options is better than a stalemate for the project. However, the state has increasingly brought in the private sector to manage many of its public sector projects, further complicating the relationship as interestingly, (in the case of Dharavi and airport in Mumbai) the liability of managing the slum issues of rehabilitation is left with the state while the rest of the processes and its benefits are given to private sector. These kinds of projects have challenged the federations to address such complications.

**Challenges to work with Grant Makers and Foundations:** Indian grant makers have so far not seen value in investing in urban poverty issues or challenges of dealing with slums. In a few instances where we have sought funds the relationship has never extended beyond the first exploration. The problem we believe lies on both sides. The grant makers want projects with clear outcomes within 2-3 years. The Alliance tried to explore such possibilities, but since most projects emerge as outcomes of the base process, it is rarely the case that processes started within that time adhere to time frames. It is through these experiences that the alliance has learnt that it's not worthwhile for the grant maker or the Alliance to assume that short term funding will produce great results. Instead the Alliance seeks grant makers who see the value of investing in making community networks central actors to addressing urban challenges.

At another level, this lack of investments has led to another major problem. Just when the national government has begun to address urban issues, there are not enough independent civil society actors interested in addressing issues of the urban poor. Many activists who two decades ago got funds to explore working on these issues can no longer get small open ended funding to explore a location to work in the urban sector and most of these young people join large private sector companies who now seek government or multinational contracts to take on development. The issue is not to be critical of these institutions, but to be aware of risks that need to be taken, innovations that need to be explored and to create a balance between profit and equity issues.

Our challenge is to show that investments in creating federations are like the goose that lays golden eggs. It's messy, ugly and unglamorous, but its golden eggs more that leverage the investment of taking care of the goose.

**A vital role of the alliance is to bridge the divide between the state and various stakeholders critical to addressing their needs and aspirations. And finding sustainable solutions for the city.**



**Academia and the urban poor:**The wide range of breakthroughs that the Alliance in India and SDI have undertaken, now needs to become part of development education. The relationship with academics has begun in a tentative fashion and ranges from occasional field visits and placements to student's thesis. In a few instances there is a multi-year ongoing engagement where the work of the Alliance becomes part of the curriculum. Material produced by the Alliance is used in many universities either through the website or published articles. However, two aspects of potential linkages have still to be explored: one is theory building and the other is to deeply embed the federation model for community participation into the discourse on urban issues.

**Regulations for non profits in India:** In India there are many state regulations that provide for different institutional arrangements in the non-profit sector. Existing regulations restrict creation of reserves to produce any sustainability for organizations. Corpus, which is rarely provided to organizations by grant givers, is strictly reviewed. Similarly there is a strict review of surpluses to make sure they are used up within 5 years. This year, changes in the Foreign Contribution Regulation Act, Direct Taxes Bill and other regulations further tightened the constraints within which organizations function. The FCRA requires FCRA registration to be renewed every five years, instead of the present conditions where once it is given permission, unless it is withdrawn, it continues to be permitted for the organization to get funds from international sources. The activities considered charitable are further reduced to education and welfare, making many activities addressing issues of urban poverty potentially deemed to be non charitable.

**Dealing with the private sector:** The Alliance deals with the private sector either as part of large government projects or through new and emerging joint ventures. In large government projects, the major construction contracts are given to private sector and if there are slum dwellers involved those are areas, the Alliance enters the picture to protect the interest of the slum dwellers. In such instances, most of these relationships start with the private sector being indifferent, dismissive or evasive of dialogue and only entering discussions when the slum dwellers will not cooperate without this intervention. It's evident that with the private sector having little experience with precedents where the projects actually work with better collaboration, a lack of familiarity and a history of riding rough shod over the poor makes this a process that takes time.

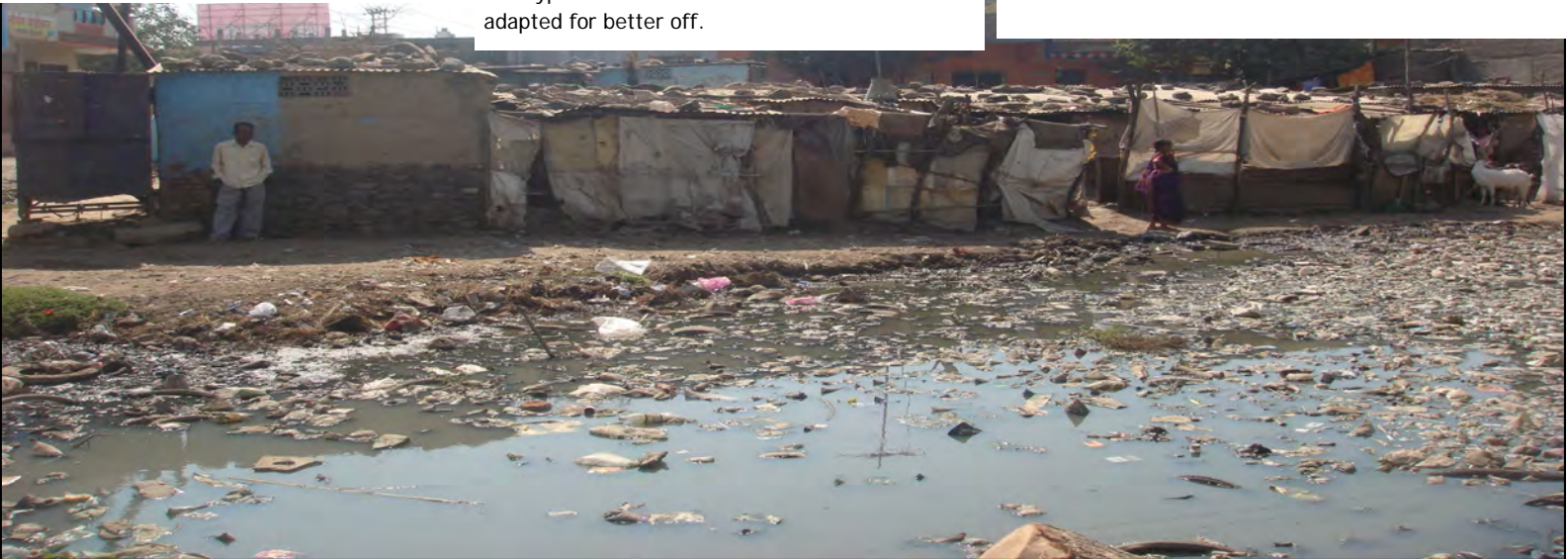
The Alliance has begun to explore working with private sector institutions to find solutions which can utilize the investment capability, strength of the private sector and organizational capacity of the federations to produce solutions. The few openings for this to work are places where the process would otherwise not work at all, i.e. no project unless you work with communities and rarely for other reasons. Corporate social responsibility forms the third reason for dialogue with private sector, but to date, in very few instances has this been a sustained relationship with the Alliance. Emerging this year, some national and international organizations have sought to find a market for themselves at the "bottom of the pyramid". These come in two varieties: one which identifies the better off in slums and locates products to sell to the better off individuals and households who live in slums. The Alliance has little to do with them, although it does interact with them to share and learn from each other. Others explore joint ventures to develop products and processes for the constituency which the Alliance also focuses on, the bottom 30%, based on the hypothesis that if it works for them it can be adapted for better off.

**Challenges of communicating about ourselves:** The new global development processes have put forward many challenges that, some decades ago, grassroots activism did not have to deal with. The process "branding" is one such example. Within the Alliance we still have some difficulty in looking at ourselves as a *brand*, or being succinct about who we are and what we do. We constantly have to balance the paradox of needing to address a multitude of needs in poor people's lives and creating a simple message about who we are and what we do and how we do it.

A significant part of our collective work has been to seek an overall agreement that both global and local defense of rights are necessary and both should respect the interests and needs of those whose rights are being infringed; long term sustainability for these concerns rests on the ability of local resolutions, which must involve the community. Engagement in general on these issues will continue to mean seeking dialogue and space for ongoing reflections on entrenched positions that curb larger alliances. The Alliance brings together community and slum leadership of men and women who seek to represent themselves and their communities at all levels, local to international, on issues of development that impact their lives. SPARC backstops this process while bridging existing gaps in their capacity and facilitating engagement with state and other actors. Change takes time and communities and their leadership have to develop means to cope with evictions and other infringements on their rights, as well as develop skills capacity and confidence to negotiate for reformulation of policy by modifying and changing elements that produce a breach of rights.

Our experience indicates that only when outsiders actually interact with community leadership, **that the transformation of how this process is valued and perceived truly changes.**

**SEEING IS BELIEVING IS NOT ONLY FOR THE URBAN POOR, BUT ALSO FOR POLICY MAKERS AND GRANT MAKERS AND THOSE WHO FIND THAT THEIR OPINIONS CHANGE WHEN THEY MEET AND SEE RATHER THAN WHEN THEY JUST READ ABOUT THE PROCESS.**



# Understanding the alliance

Since 1984, SPARC has been working on issues of urban housing and infrastructure in partnership with two community-based organizations- the National Slum Dwellers Federation and Mahila Milan. Together, they are known as the Alliance. Today, the Alliance works to produce collective solutions for affordable housing and sanitation in over 70 cities and 9 states in India. The Indian Alliance is also a founding member of Slum/Shack Dwellers International, a transnational network of the urban poor in over 30 countries.

While SPARC is one of the largest NGOs working on issues of housing and sanitation for the urban poor, it also provides professional support in the form of report documentation, proposal writing etc. to its grassroots partners to build their capacity in developing solutions to issues faced by the urban poor and to strengthen their relation with the community at different levels.

The National Slum Dwellers Federation (NSDF) is a community based organization whose membership is largely made up of community groups and leaders that live in informal settlements around India. Established in 1974, NSDF has a history of organizing the poor against demolitions, mobilizing the poor to come together, articulating their concerns and finding solutions to the problems they face as well as attempting to secure the basic amenities of water, sanitation and such for the urban poor.

Mahila Milan means "Women Together" in Hindi and is a decentralized network of collectives of poor women that manage credit and savings activities in their communities. The rationale behind the formation of Mahila Milan lay on the recognition of the enormous potential that women's groups have in transforming relations within society and in improving the lives of poor families. It was initiated in 1986 as a result of SPARC's work with the Muslim pavement dwelling women of the Byculla area of Mumbai when 500 women who lived on the pavement organized themselves to successfully prevent the demolitions of their homes. Mahila Milan empowers women to become active leaders in the community and urban development sector.

SPARC Samudaya Nirman Sahayak (SSNS) is a not for profit company that supports community cooperatives and federations to seek construction of their homes and toilets and amenities providing technical and financial support for construction just as SPARC provides support for advocacy activities.

Sadaak Chaap is a network of street children who link to NSDF and MM rather than live in juvenile facilitates and Community Centers become night shelters that provide them a safe place to stay.

## **Creating a national organization which is focused on the**

**needs of households within micro communities is a challenge. It starts with creating space to allow the poor to understand that benefits announced by the state will never come automatically to them, and they have to participate in the process of creating the links in the delivery chain which are transparent and deliver access to those in need. Yet on a day to day basis, this continues to be obstructed by a general indifference to resource delivery by the state and collective bottom up approaches are overwhelmed by rent seeking behavior and misuse of powers that allow the resources to either remain unutilized or in the wrong hands.**

**While developing collective strength, there is constant evidence that results rarely are based on what communities and federations do day-to-day, as much their capacity to be opportunistic and grasp a possible opportunity when a space opens for them. Juggling with ensuring that members get benefits often leads to those most in need having to wait longer, while their advocacy leads to others benefiting from their advocacy. The example of pavement dwellers in Mumbai is a case in point. Slums along the railway line got relocation through a policy that the alliance had been recommending for pavement dwellers almost 15 years before a policy for pavement dwellers came into being.**

## **Some core organizational commitments:**

- **Setting up community centers which we call Area Resource Centers.**
- **Encouraging communities to join a savings and credit program that simultaneously builds trust within a settlement and strengthens the financial assets of participating families.**
- **Supporting communities to collect detailed information about themselves, which we call enumerations, mappings and surveys, so that they can negotiate with local authorities from an informed position.**
- **Facilitating communities to visit each other, share ideas and learn from each other's experiences and lessons through peer exchanges.**
- **Organizing housing and toilet exhibitions which showcase affordable housing and sanitation solutions to government authorities as well as local populations.**
- **Demonstrating through pilot or precedent setting projects the kinds of housing and infrastructure models that work for the poor as well as the city and can be scaled up substantially.**

**And finally, based on all our grassroots mobilization work and experience, advocating for pro-poor policy changes.**

Over the past 25 years, the Alliance has been successful in developing and setting principles of working in partnership with the community thus strengthening the core activities that go along with these-

- **Start with the poorest of the poor.** Unless solutions work for the bottom 30%, they will be left out.
- **Participation of women is central.** Development initiatives cannot succeed without those who hold together their homes & communities.
- **The poor must be partners, not beneficiaries.** The poor know best which strategies will work, and change only occurs when they are organized to make demands and sustain them over time.
- **Real change is a long-term process.** We support communities for lifetimes, not project timelines.
- **Negotiation is necessary.** Protests alone don't lead to answers: dialogue with authorities is essential for accessing land and amenities and scaling up.
- **Solutions are political, not technical.** Access to land and shelter is a systemic and political problem, so solutions cannot be primarily technical or managerial.
- **Good governance is inclusive.** It honors the participation of poor people and women in development decisions and practices.





Jockin Arputham, who began his life in KGF, and ran away from home to come and stay in Mumbai living with relatives and working on several jobs in the city, developed his taste for activism both through working with children in the neighborhood as well as defending Janata Colony, Chembur from threats of evictions. Creating an information base about all those who were under threat, creating mass based organizations that were networked to assist each other, initially in Mumbai in the early 1970 and later in other cities in India form the foundation of NSDF today. After working with SPARC and Mahila Milan he acknowledged what was missing in NSDF's strategy and created a commitment to take the concepts developed within the Mahila Milan (an organization created by Pavement dwellers in Byculla) and create such networks in all city federations affiliated with NSDF. Today women from Mahila Milan join the NSDF leadership once they begin to move out of their neighborhood process with confidence and want to work at a larger scale.

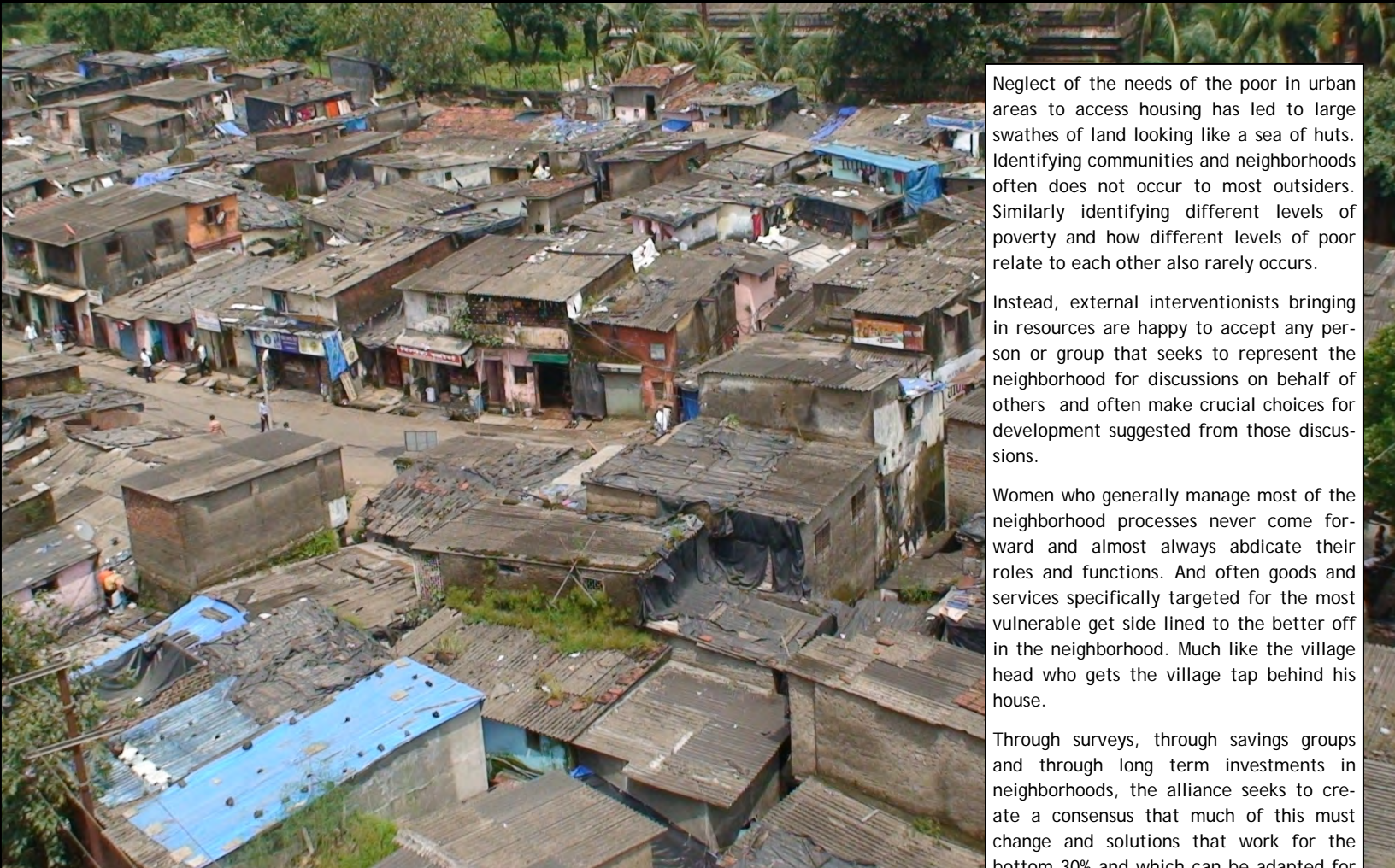
His experience in dealing with evictions, seeking explorations both within communities of the poor to an agreed consensus on choice of action and then negotiating with the land owner or city form the basis of many processes and actions the alliance takes on. Protest, he believes, must be to demonstrate not only opposition but also to deliver a message that the poor have an alternative strategy. NSDF and MM always seek to push communities of the urban poor out of a lethargy that someone else will sort their problems and think of solutions for themselves.

The alliance of SPARC with NSDF was initiated in 1986, when Mahila Milan rose to be a sister organization of NSDF. The three organizations have a symbiotic relationship with each other making them deeply accountable to each other and unless all three work together none of the processes and strategies will work.

*Seeing is believing and Doing is the only way the poor learn and change their lives.* These along with *Everything is possible* are the mottos of the alliance .



# Creating solutions for the bottom 30%.



## Development never trickles down.

It is an observation that is constantly made but somehow projects and resource delivery mechanisms never accept this strategy. Instead *the low hanging fruit strategy is more predominant*. In the increasingly skewed development agenda where fundamental distortions are masked by demands of efficiently managed and quick delivery and outcomes, the pressure to show results are leading to solutions for scaling up being sought from the low hanging fruit strategy which often ends up delivering solutions for the better off in a cohort of the poor, and later finding that the solutions can't or won't trickle down.

The alliance takes the opposite view of creating solutions for the bottom 30% but creating possibilities of the slightly better off to participate because they too will benefit from the solutions. This process emerges as a direct contrast to the individual goods delivery strategies now increasing emerging from market based attempts at finding solutions towards financial inclusion without addressing these fundamental distortions that produce exclusion in the first place.

The work of SPARC NSDF and MM in working with Pavement dwellers is a case to illustrate our approach, its impact and benefits. Having started working with organizing pavement dwellers in 1985, the solutions devised by them and presented to the state form the basis of a general 'Rehabilitation through relocation' process which benefited other organized communities.

Solutions designed by the alliance were never limited to the federated members alone but are accessible for all those who were in that general category. However, it is evident that the strategy works better for communities organized and prepared to explore solutions in advance as their collective behavior helps in adaptation to changes better.

Neglect of the needs of the poor in urban areas to access housing has led to large swathes of land looking like a sea of huts. Identifying communities and neighborhoods often does not occur to most outsiders. Similarly identifying different levels of poverty and how different levels of poor relate to each other also rarely occurs.

Instead, external interventionists bringing in resources are happy to accept any person or group that seeks to represent the neighborhood for discussions on behalf of others and often make crucial choices for development suggested from those discussions.

Women who generally manage most of the neighborhood processes never come forward and almost always abdicate their roles and functions. And often goods and services specifically targeted for the most vulnerable get side lined to the better off in the neighborhood. Much like the village head who gets the village tap behind his house.

Through surveys, through savings groups and through long term investments in neighborhoods, the alliance seeks to create a consensus that much of this must change and solutions that work for the bottom 30% and which can be adapted for others should be explored to provide neighborhood improvements.

Since issues of land tenure and amenities can never be argued for on an individual basis at the moment, this collective approach works.

**In India today the challenge to creating entitled support for the very poor in cities is clouded by the city treating these poor as either invisible or unacceptable, so how can they be identified and assisted?**

**We cannot even agree on what constitutes the "below the poverty line definitions, so how can India create strategies and programs to assist those whose entitlements needs to be devised?**



# Value of mapping vulnerability

SPARC's poverty and vulnerability project has emerged as a mechanism to link the potential for communities to focus on the most vulnerable in their neighborhood and create a special focus on them as a cohort to support and assist.

Enumeration of households undertaken by the federations, coupled with their potential to study households on a longitudinal basis has led to the idea that this would be a multi-year project. SPARC is intending to take this on with support from SPARC's internal research team exploring external capacity, through linkages with researchers and institutions interested in allowing communities to lead the process.

Currently, part of the way through Phase 1, there are 2-3 people from the team working on it. Simply put, the first phase seeks

- A. to explore how to align or seek a relationship between data collected through surveys with community perception of vulnerability.
- B. To examine how types of vulnerabilities are developed through discussions between communities and researchers.
- C. How can this debate link to the national confusion about who are the households in urban India who are below the poverty line?

The scope of this project is somewhat flexible - ideally it would be seen through to completion; but with such a long-term project it can be hard to predict exactly how things will turn out. It is designed in such a way that there are clear and valuable deliverables at several junctures of the process, so that even if, for example, it doesn't go beyond Phase 1 something meaningful will still have been created for the Federation and SDI.

How far we will get will depend upon our success in Phase 1, SPARC's human resources and its ability to secure funding. SPARC has a number of grant applications currently pending, so a lot will depend on the success of those applications, as well as Sheela Patel's ability to secure dissertation funding for interns who now undertake Masters studies in UK universities.

In terms of purpose, to put it succinctly, SPARC hopes to produce a quantitative tool which can be used by the federations to describe poverty and vulnerability in their settlements and which can be used by SPARC and other SDI affiliates for engaging with government over policy issues related to the definition of poverty and the ways in which urban poverty is measured. SPARC will produce several reports to this end, and hope to produce a report and research on the side topic of slum splitting - the effects of policies which target the 'middle class' in the slums, thereby further marginalizing the poorest of the poor. The hope is that this additional research into the economic and social dynamics within slums will help buttress the Alliance's contention that policies targeted at the urban poor must work for the **bottom 20%**.





# Focus on women centered development.



Observations of how the poor survive in the city show repeated and continuous demonstrations of how centrally women feature in the creation, maintenance and growth of a settlement. In fact, one could go so far as to say that women's contribution to the development of their slums is instinctive. Yet there is widespread and deep non-acknowledgment of this role that women play - even amongst the women themselves. They tend not to naturally advance from their "actually having done a task" to seeking acknowledgment for having done it. Their male counterparts, on the other hand, have learnt to speak up regardless of the accuracy of their generalizations. Their ability to make statements on behalf of all makes them "agents" for communication between the outside and the inside. We regard this as much an outcome of the situation emerging from the lack of understanding of the outside interventionists as women's inability to demand this recognition.

The central participation of women is the most critical ingredient in the process of community organization. This participation has to be overtly acknowledged, but there is little in community organisation theory of practice to ensure it. Our theory of change is rooted in the belief that processes that seek to build the capacities of the urban poor have to be grounded in a gendered understanding of poverty. Women are at the very heart of this work. They are vital to the creation, maintenance and growth of every settlement and it is their capacities that need to be built in order to achieve long lasting and sustainable change.

If we want poor women to be a catalyst for development and security, there is a need to forge a path to bring them into the public space. We have to develop a process by which strategic interventions can be made to prepare the ground for this change. Most importantly, it has to be done in a manner which strengthens the community rather than fragments it. Finally, it requires the development of mechanisms both from within the community and from outside it to ensure this process is sustained and embedded in the communities. It is within the framework of these overarching objectives that the activities of the Alliance are practised.



In the gender linked debate there are clearly many routes to gender equality; many strategies to create space for women to take charge as equals in the public and private domain. SPARC faces many critiques to the route that women in Mahila Milan have taken to their transformation, and observations have often been made that women are facilitated to focus on specific habitat challenges and not on larger issues.

Women from poor communities who form Mahila Milan leadership have strongly sought to explore their emancipation by exploring ways to bring resources to their family and community. By doing this they sought to take their first step towards exploring the world outside home and neighborhood. By creating access to amenities and services that men had not been able to bring to their neighborhood, they gradually renegotiated relationships with the traditional leadership of men in their neighborhoods.

With support from the alliance they began to explore networks with other city federations, travelled around India and sometimes internationally to share their insights and learn about issues beyond their own city.

Over the years women leadership in NSDF has increased to represent 60% membership of the key leaders representing the various city federations.



# Savings and Loans builds women's participation



MAHILA MILAN & HOUSING SAVING CHART							
MM		SPARC			N.S.D.F.		
MONTH	MM SAVING	WITHDRAW	LOAN GIVE	LOAN PAID	S/C	HOUSING SAVING	HOUSING WITHDRAW
2008							
OLD BAL	337151	230783	80000	163330	2492	39390	12230
APR.	61544	37900	20000	19910	3730	6110	-
MAY	46380	27960	5000	8035	2598	350	-
JUN	42728	51860	5000	5635	2663	1850	500
JUL	44825	21520	40000	14370	2450	950	11500
AUG	42511	41700	-	3900	800	3100	-
SEP	97808	26547	-	31540	6390	2500	-
OCT	85582	33630	-	31240	4440	900	-
NOV	38080	31930	-	16760	8408	550	-
DEC	46438	55170	15000	8730	1519	7320	-
JAN	41830	73470	-	11865	2600	24650	-
FEB	28002	7550	-	3200	532	11800	-
MAR							
TOTAL							

Savings and credit is one of the activities that was initiated by SPARC to organize women. Along with collecting the daily savings, the rituals connect women and motivate them to talk about their issues in general. This activity was started by the women living on the pavements in By-culla and gradually spread to other streets, slums, and cities as the work of SPARC started getting recognition.

In 2010, Mahila Milan and the federation through their savings projects have been able to save **Rs. 21,867,694.00**. In Bangalore, Mahila Milan and community federations recently took on the construction of 32 tenements for a group of households who have been in transit housing for quite some time. The community leadership selected a community contractor and negotiated with the state to get payments after each stage of the project is completed, so that the payments will help fund the next stage of construction. The contractor will make the contribution for the first stage of construction and a reputed organization will conduct inspections at each stage. These households had been saving with Mahila Milan to prepare for the 30,000 rupees contribution per house required by the state.

The households have also secured a loan of 6,40,000 rupees which they will repay in 2 years, at a reasonable rate of interest. The Bangalore federation will give them the loan and manage the repayments, which it will collect and send back to SPARC Samudaya Nirman Sahayak (SSNS). This repayment process is based on how income generation and crisis loans are currently managed. That means loans are paid back at a yearly rate of 24% interest on the declining principal amount. Besides this a number of loans have been for income generation purposes as well.

Similarly, loans have been given out from the community daily savings to members for different purposes, including education, health and small income generation activities, which are repaid by them on a regular basis. In the process of strengthening this system, new savings groups have also been formed in Tamil Nadu, Maharashtra, Andhra Pradesh and Pondicherry. Specifically, 33 new savings groups were formed between January and December 2010.

State	Total Savings Groups	New Groups Formed
Maharashtra	116	4
Tamil Nadu	319	8
Andhra Pradesh	83	9
Pondicherry	98	12
Gujarat	19	
Orissa	133	
Uttar Pradesh	38	
Karnataka	85	
Delhi	1	
<b>Total</b>	<b>892</b>	<b>33</b>

**In 2010, 33 new savings groups were formed in 7 of the states where SPARC is active.**

Mahila Milan savings and credit activity is an ongoing process. New savings groups are formed every year with the objective of expanding the work and reaching out to more and more communities. Along with this it also organizes the women and helps them cope with their financial crises through giving them loans on their savings.



# The Area Resource Centers concept and practices

Young volunteers from slums documenting savings



Area Resource Centers their role and functions

The Acronym of SPARC (Society for the Promotion of Area Resource Centers) emerges from the realization that communities of the poor need Area Resource Centers in their neighborhood which they can own, manage and within which they have opportunities to think through what they seek to do collectively.

It's the basic building block for creating a micro level neighborhood identity, ownership of institutional space and creating rituals and practices that help create sustained practices of learning and working together to achieve collective goals.

Most area resource centers are run in locations where there is easy access to the slum dwellers, where they can meet and where there is a space to safely keep collected money, documentation of information they gather and where assembly at any time in the day or night is acceptable.

Over time, in the last 25 years these rituals have been learnt by new community centers with exchanges and links with older centers, and a fundamental commitment that the federations seek from SPARC is resources to rent such spaces, and cover costs of phone, electricity and community members who volunteer their time and manage the center.

Some ARCs that were set up for local purposes have now become national focus locations, such as Dharavi where all national federation meetings are held, and all Mumbai events also take place.

The Byculla center while it serves pavement dwellers in Byculla, also serves the Pavement federation in Mumbai and is the central location to manage documentation and finance management of all loans and savings data for the alliance.

In other centers the Police Panchayat operates at the ARC.

Over the years all relocated slums now have a community center managed by the residents where community savings and other activities take place.

All visitors and exchange visitors meet slum dwellers in the ARCs.



Information gathering from households while savings are collected at the ARC



The First Area Resource Center in Byculla



Inaugurating a new ARC at Kolhapur



The Dharavi Vikas Sammittee runs the center for Dharavi



Cities where arcs are located

# Learning through Peer Exchanges “seeing is believing”

Exchanges help communities to share their experiences and learn from others. These exchanges take place at different levels: city, intra-city, inter-city, regional, state, national and international. The purpose of each exchange is different:

- There are exchanges that are held as part of monthly meetings for reporting, to discuss forming and setting up of new groups, loan disbursement and loan repayment.
- Exchanges are also done to learn how communities in different cities have been able to negotiate with the government on issues of housing and land tenure, deal with problems at the community level, deal with political issues etc.

Exchanges at the international level have been for different purposes. Some examples

In January 2010, a team from Oxford University visited Munda Sahi in Cuttack to look at the low cost model house constructed there. They had discussions with Mahila Milan members of Cuttack Kali Bihar and meetings with Mahila Milan at Salia Sahi and with the Deputy Mayor. Part of the visit was also to do an assessment of rehabilitation after super cyclones and alternative housing technologies for disaster management.

In February 2010, Mahila Milan and the Federation from Mumbai visited Sri Lanka to felicitate MP of Sri Lankan parliament Mr. Dinesh Gunawardena who has successfully completed a housing scheme, Arunodaya Housing, which was for some of the poorest. They also visited Vavunia, where war-affected people were resettled, mostly belonging to the Tamil community. The government had given a loan of 20,00,000 to construct houses; also some got loans for two wheelers and some for income generation activities.

Then in May 2010 Sonia Cadornigara, a member of SDI and a community leader from the Homeless People's Federation in the Philippines, led a group of architecture student interns on an exposure visit to India. They visited Oshiwara, Goregaon, Milan Nagar, Mankhurd 98 and Pune to look at the incremental housing under JNNURM-BSUP. They had several meetings and discussions with NSDF and Mahila Milan leaders about how to involve communities of urban poor in housing projects, especially illiterate and uneducated people who do not already have an understanding about design and construction.

In late August, an SDI meeting was held in Sri Lanka where Mahila Milan and Federation from Mumbai, Orissa, Ahmadabad, Kenya, and Nepal all met to exchange experiences and strategies.

Some of the international visits were just to learn the way SPARC works with its partners, Mahila Milan and NSDF, and to explore ways by which we can reach out to them. They also involved meetings and sharing by the federation women on certain projects.

At the state level, exchanges have been largely to attend workshops and conferences on housing and savings and loan repayment, to initiate the city wide slum enumerations to be carried out and exposure visits to certain projects of the Alliance.

Exchanges are held to replicate, refine and adapt what has proved successful and beneficial to a particular city or town.

In 2010, around 35 city to city exchanges took place, 7 international exchanges and 9 state level exchanges have been held. Most of the exchanges between cities were to discuss monthly reports, savings, loan and repayment, ways of expanding their work areas and to start discussions with their state and local governments about basic services and infrastructure.

How the Pune Mahila Milan's activities inspire others

At various moments in the last 25 years activities initiated and managed by women have stood out as amazing and path breaking within the alliance. At each of those moments, the fact that women undertook those roles and functions provided role models to the women in the general and women in the alliance in particular, but they have also firmed up the strategy for men and women to work together in addressing issues of informal settlements.

Each month and some times each week, the Pune Mahila Milan have visitors, mostly communities but also government officials and international guests who have read about their work and heard by word of mouth about their projects and come to see for themselves.





# The value of creating a critical mass/ the federation model of community organization



Small isolated communities of slum dwellers have tried for many years to get access to water, sanitation, avoid evictions, and by and large they have failed. NGOs seeking to assist and support them have been defeated equally by the indifference of the municipal authorities and by the time it takes to create a new policy to change the rules that exclude the poor.

Community leaders of slum dwellers set up NSDF to create large mass organizations of the poor themselves so as to assist and support each other to first defend their settlements and then later to demand land security and amenities.

It has been the observation of the alliance that the state institutionalizes protest. By that we mean that increasingly, dissent meant to give voice to what the poor demand gets restricted and has to operate within bounds set by the state. It is also a reality that communities also acknowledged - that the very same people who are their "enemies" evicting them, not giving them any services and dealing with them in hostility, are actually obligated to represent the commitment of the state to look after the weak and vulnerable.

Seeking that accountability, demanding inclusion and good governance from the very same institutions remains a challenge that organizations of the poor face.



## The Federating Process

LAND forms the basis of creating a federating process based on linking all slums on land that has the same land owner e.g. Railways, Airports, etc.

The federation creates an institutional identity and helps the community develop rituals to sustain and manage that identity.

Surveys, exchanges and savings produce ongoing processes and activities through which the federations create processes that expand what they can do for themselves while they reflect on what preparation and action is needed to achieve the more long term process and goals.



When a very large expanding critical mass of the poor focus on creating strategies and solutions for themselves and reformulate what they can do for themselves and what the state can do to add value, it's a persistent process that cannot be dismissed, ignored or rejected especially when it has the capacity to persist. That's how change





# Working to create a city wide engagement in Nanded

Making a leap from what we already do: to start working at city wide level



## A chance meeting:

The strategy of working at city wide level depends on a commissioner for a municipality ready to work in partnership. In October of 2010 Dr Nipun Vinayak met with the alliance and through a series of discussions invited the alliance to work with his city - Nanded.

This process was initiated with the youth from Nanded slums visiting Pune and spending time and visiting projects of Mahila Milan in Yerwada. This visit exhilarated the visitors who returned and demanded that they also have the opportunity to explore such options.

The federation agreed to work in Nanded and set up savings groups and federations, and through discussions with the municipality began to understand what the city was doing under JNNURM and BSUP projects and found that communities were unhappy with houses that had been built and that many houses had not been completed and many had yet to start.

Since then the strategy is to first assist the city with completing the BSUP project and trying to finish the incomplete houses and to work on federating slums to begin a new relationship with the city.

The strategy is to complete whatever needs to be done in BSUP housing and then to explore creating a RAY process where the city and community will collaborate with each other.

This process has begun with a survey of slums profiled by the communities themselves.

For the first time Mahila Milan also gets initiated into the process by the predominantly male representation that first went to Pune.

Working with the commissioner to change how BSUP under JNNURM is delivered





# How the poor secure tenure and amenities

The urban poor have always found work in the city but never a place to stay that is planned by the State anticipating that all who come to the city must get a place to live. Creating a home and neighborhoods which women often end up doing invisibly means negotiating through illegal transactions to obtain a place to gradually build a hut, or payment to someone who has built one already outside the regulatory framework of the state. Inevitably this produces a long war of attrition between the city and the informal city dwellers leading to demolitions of homes and a destruction of the humble abode that gets created over time. While the city often seeks to evict slum dwellers, somehow, because there are no other options, neighborhoods cling to their locations and rebuild their homes. Over time, a combination of global practices that have sought to get cities to stop eviction and treat evictions as an abuse of human rights, a growing realization that the slum dwellers represent vote banks, and other factors such as organized residents of slums seeking long term solutions, creates a very slow and lengthy process of de facto rights. The work of the alliance seeks to deepen, strengthen and sustain how communities can seek a central role in seeking these tenure rights, and participate in development of housing options that work for them and their constituency. Over time a wide spectrum of processes and activities have been undertaken to develop demonstratable and scalable solutions through which communities undertake to take charge of their own housing rather than keep hoping someone else will undertake solutions to solve their problems.

## Coping with eviction through many possible actions

**Creating federations of neighborhoods squatting on the same land owners' land:** NSDF and Mahila Milan create these federations so collectively communities, Cities Alliances, begin to support each other while facing evictions or dealing with demolitions, and simultaneously seek to develop long term solutions.

**Enumerations and mapping of households and producing data and documentation about themselves:** all households are surveyed, numbered and provided an identity within the federation, and gradually seek to get recognition of these surveys by the city.

**Developing habitat solutions that first work for the poor and can be accepted by the government :** The House Model approach: *"If you have not lived in a space more than 80 sq feet, how do you understand dimensions of a 275 sq foot house?"* So life size houses are constructed for communities and administrators to see and agree on norms and standards to form a basic design.

**Creating processes that allow communities to take up projects through dialogue and discussions with government:** Contracts for state subsidy delivery for housing are tendered out by cities and slum dwellers can never apply for these contracts. While the alliance seeks to change procurements of such tenders so CBO/Non-profits can apply, SSNS takes over the support of community groups seeking to take on construction from SPARC who assists them up to this point.

**Scaling up to setting precedents :** making processes and projects community friendly is easier said than done. In India and many other countries, setting precedents through which a new process becomes acceptable in place of an older exclusive one, creates a precedent and allows change to work for the poor, who find precedent setting easier to explore than change the statute through its wordings. This process and exploring scale at different levels demonstrate how to achieve scale.

**At a household or settlement level:** Initially the process begins to be explored in a modest level at household cluster or settlement level.

**At a multi settlement level:** gradually the same set of community networks or those who are inspired by them explore these solutions assisted by those with experience.

**At city wide level:** 2010 onwards we begin to explore these possibilities at city level. Planning and dialogue for this has begun, and RAY announced in 2009 supports this from above.





# Enumeration and Surveys.

Enumerations and surveys are tools by which the community itself collects information about its resources, land ownership, history of the settlement, what services are provided and what the community's priorities are. The data collected is analyzed and in turn is used to negotiate with the government for land, tenure and infrastructure.

In addition to the household enumeration process, when a new slum settlement is identified or a federation begins to form in a settlement, a slum profile is carried out, gathering information like the number of individuals, buildings, and availability of services in the settlement. These slum profiles produce the most comprehensive picture available of the status of informal settlements as official statistics are usually either non-existent or highly deficient. This information forms an important basis for addressing deprivations in slum areas, long-term strategic planning and for negotiating with authorities. Like enumerations, the initial settlement profiling process is an important mobilizing tool for the Alliance.

Slum profiles and household enumerations not only collect information, they also collect and reach out to people, and through this help give individuals a collective sense of identity. They provide communities and their aggregated federations with a sense of who they are, what their collective needs are and information and data to produce insights about their situation. They also learn to explore processes of contestation with the state about information that the state has generated about the poor, which is often not comprehensive and can generally not be disaggregated to produce projects and investment possibilities or to benchmark what needs to be improved upon. The Alliance is now taking its enumeration and mapping practices to a new level. Enumerations and plane table surveys will now be combined in a Geographic Information System (GIS) that links the enumeration data to a map. GIS is a tool that combines maps with a database to produce detailed and rich maps of a settlement. The Alliance has been using databases for a long time, to digitalize its enumeration and survey data. With GIS, that data will get a spatial link so that anyone using the program will also be able to see where the data comes from and how it is arranged spatially in a settlement. For example, GIS can discern differing degrees of poverty within a settlement, based on spatial disparities or relative access to services. Federation members walk around the boundary of a slum and locate several points along it using a Global Positioning System (GPS) device. This is repeated for several slums, and the points uploaded onto Google earth. In Google earth, the points are connected to form a continuous boundary along each slum.

From October 2009, SPARC has completed 4089 settlement profiles in 7 states in India.

Of these,

- 591 settlement profiles have been completed in 22 cities of Tamil Nadu,
- 592 settlement profiles in 8 cities of Maharashtra,
- 207 profiles in 1 city of Karnataka,
- 145 profiles in 4 cities of Pondicherry,
- 706 in 6 cities of Orissa,
- 881 in 2 cities of Gujarat and
- 979 profiles in 3 cities of Andhra Pradesh.

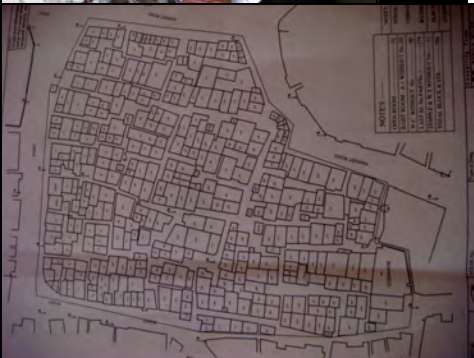
809 surveys remain to be done in settlements that have already been identified. Enumerations are also a means of evaluating ways in which Mahila Milan can strengthen regular city-wide settlement profiling exercises and use the data strategically. These slum profiles produce the most comprehensive picture of the status of informal settlements; official statistics are usually either non-existent or highly deficient. This information forms an important basis for addressing deprivations in slum areas, long-term strategic planning and for negotiating with authorities. The enumeration and profiling is also an important mobilizing tool for the Alliance.

Slum profiles, household and data collection not only collects information, it collects people, and through this helps give people a collective sense of identity. It provides communities and their aggregated federations a sense of who they are what their collective needs are and information and data to produce insights about their situation.

They also learn to explore contestation with the state about information the state has about the poor, which is often not comprehensive and can generally not be disaggregated to produce projects and investment possibilities or to benchmark what needs to be improved upon.

While on one hand the federation and Mahila Milan are involved in collecting information about their settlements, SPARC has come up with a strategy to put the information in different forms / templates - slum profiles, city profiles and state profiles.

By doing so, it will be much more easier to present a summary of the slums at the city and state level and would also be helpful while negotiating with the authorities at various levels for different projects.



Surveys conducted by federations have definite indications that they produce dialogue negotiations and secure tenure. Just calculating the leveragability of surveys itself shows the power of this process. Apart from the documentation it creates to produce identity for the individuals and households.



# Creating Identity

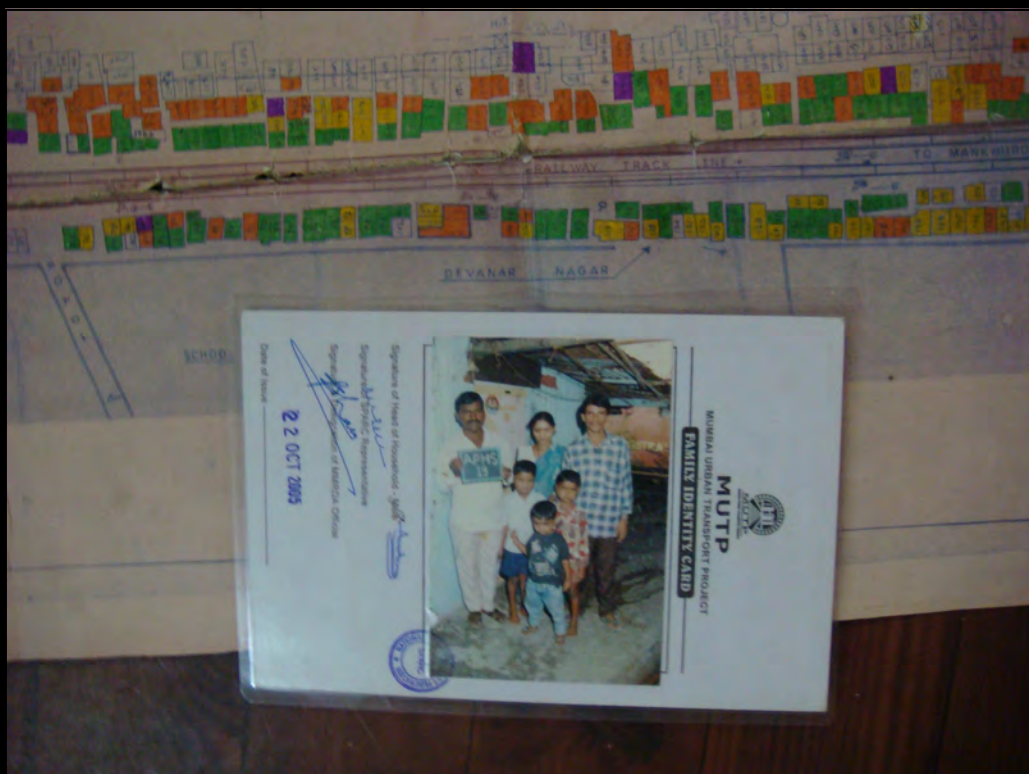
Creating identity and how the strategy evolved.



The seeming loss of identity when coming to cities haunts the urban poor. Most first generation migrants don't have birth certificates or a piece of paper that can get them anything to form their urban identity. Many lost whatever documentation they had through demolitions when their homes were broken down by the city.

The ration card ( actually provided to get subsidized food ) has been proxy for a ID card and for several years was inaccessible to pavement dwellers, then women learnt to get it and taught others the process to get these ID papers, birth certificates and other documentations.

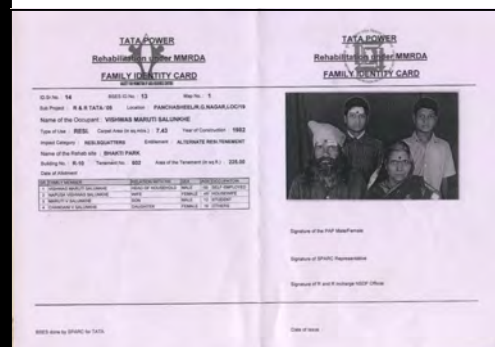
After the surveys when they numbered and mapped their homes, the federations began to give each household a family ID card, and gradually the relocation linked authorities began to use this strategy to give cards and these gradually got substituted with biometric cards and now we have the Unique ID that every Indian can get



There are now 14 sets of documents that can be used to create a set of identity documentation that can also give the date backward of when the household came to the city.

This started when households had to show that they were in the city before 1995 which is cut off date for getting a housing entitlement in Mumbai.

The alliance used a wide spectrum of documents including eviction notices with the households name before 1995 as documentary evidence provided by the city. Others were birth certificates, children's school admission papers, immunization records, drivers license etc. Once they got accepted in one project they became precedents for other projects.



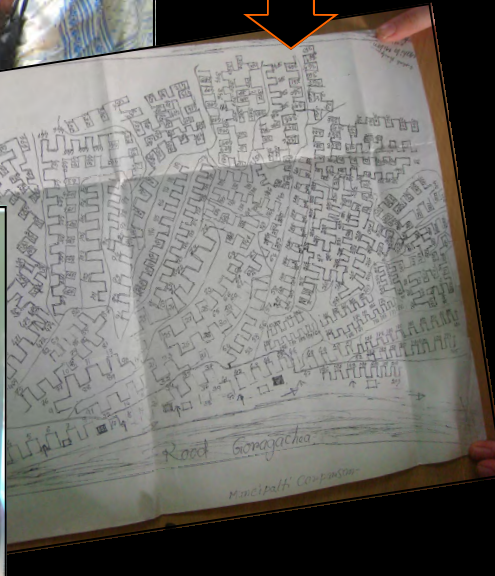
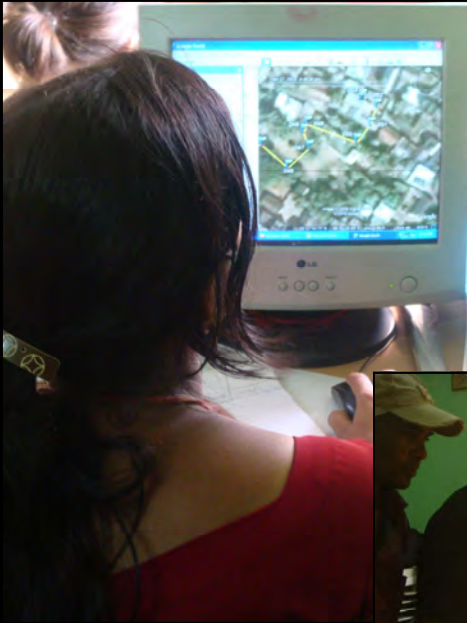


# Mapping slums:

## Upgrading strategy with technology options Mapping slums : Linkages with UNHABITAT and IIED



Women draw their settlement and structures themselves



### Making Maps and Counting Slums.

The challenge of using a city wide survey of slums came after it became clear that there needed to be a city wide strategy of mapping slums.

When the Global Land Took Network (GLTN) of UNHABITAT accepted the alliance proposal the alliance used it to digitally map the slums of Cuttack, and did so by training the Cuttack federation and Mahila Milan to do this.

This is an advancement on what was being done, and the processes sought to build the capacity not only of the community groups but also the back up that has to be provided by the SPARC staff.

The GLTN representatives and a groups of other SDI and IIED resource persons visited the city and the process was presented to the city at other workshop and also at UNHABITAT events.

It has led to the city of Cuttack accepting that the number of slums they had on their registers is different from the numbers generated by the federation.



### Including vulnerability linked discussion in this process.

David Satterthwaite has been a critical resource person whose routine visits to meet the alliance assists in the wide range of activities that the alliance takes on.

The latest issue discussed with David has been what are the ways to enrich the slum profiling process undertaken by communities and he introduced the federation to a discussion about climatic vulnerability.

He suggested that instead of labeling specific types of answers to allow communities to define their perceptions of vulnerability as settlements.

Weather and its impact was one of the major issues after fears of evictions and livelihood insecurity. Heat waves in Summer, floods in the monsoon were major problems, and often needed them to move their homes away from flooding especially.

Interestingly David's suggestion was that the most important relationship to deal with uncertainties of such events was their relationship with the city officials, and for them to know where slums were located so they could come and assist them.





# The power of learning by seeing and doing



Poor women and the urban poor are trapped with a larger image of themselves which is a mirror of what the city and elite think about them. Being illiterate is akin to being stupid. Being uneducated is akin to being unable to make good decisions. By “invading” the city they are unwelcome and are being tolerated for which they should be grateful. The elite relate to them with welfare, and they should take gratefully whatever has been given as charity. Their elected representatives are like their feudal patrons in rural areas and they owe their allegiance to them.



**Sharing stories and getting accreditation:** Communities make a wide spectrum of amazing and innovative strategies as part of adapting and surviving in the city against all odds. When exchanging stories about what they have done to solve a problem, a pool of potential strategies emerge that not only make each person feel positive of what they did through seeing it from the eyes of the others, everyone gets to know many new possibilities to address challenges.

**Collective behavior:** when alone and isolated, individuals feel disempowered, but when together the larger the number facing the problem the more empowered they begin to feel.

**Exposure to systems and processes outside their sphere of exposure:** Exposure to how cities function and how to access various services is a powerful experience.

**Creating links and networks:** Sharing and learning allows for refining adapting and scaling up solutions.

**Becoming role models with new knowledge and using it for public good.** Each group of leaders become role models for the next set of emerging leaders, and increasingly the reproduction of leadership comes from within the NSDF and Mahila Milan rather than being assisted by professionals.

**Learning while teaching:** Each time communities teach each other things they learn more about the process. And as more explore the possibilities, what began tentatively becomes more robust and its articulation and acceptance becomes stronger.





# The House Model Design Exercise



House model exhibitions “melas” and collective learning and advocacy.

The concept of the life size house model first emerged when in 1988 Mahila Milan Byculla developed 4 designs and built life size models for their communities to vote which design they liked the most.

Gradually the bamboo and cloth strategy for life size models was adapted by all federations to standardize their design and to start working out costs.

Gradually this idea was also used as an advocacy tool to help cities to understand what communities wanted to do and for the communities to better explain their choices.

Over time, such models have come up at the UN New York, in UN-HABITAT and other locations where international development agencies are discussion habitat.

Gradually the houses were done up in real material. This helped refine costs, and to train communities to learn brick laying and other possible contributions they can make to reduce the costs of housing by taking up as many as the tasks as possible.

The federations believe that the poor cannot understand the small models that architects make as they don't understand scale models .



In Puri, the first set of houses were constructed after the cloth model, after which all houses were built after modifications were made on that design and costing was also worked out.



This is the real size model for the pavement dwellers house for Milan Nagar

# Housing options for the urban poor

The early pavement dwellers in Byculla, when they migrated from their villages to cities could easily find a job but it was difficult for them to get a proper housing. As one of the Mahila Milan leaders and pavement dweller, Laxmi, says, "that either the government should not allow people to migrate from their villages and if it does then it should also provide them with housing facilities." initially, the poor used materials like plastics, tin and wood to build their huts and gradually when they settled on the pavements, or in slums along the railways, airports began to use more concrete materials to construct their houses. Also as their families grew in size and number, the need for more space was also felt. As a result, the informal structures from ground floor started growing incrementally to accommodate more family members. As part of the Alliance, the NSDF organizes and mobilizes the urban poor and negotiates with resource providing institutions. Mahila Milan supports and trains collectives to administer and manage their resources and participate in NSDF activities while SPARC supports NSDF and MM to improve their access to finances, basic services, housing and in decision making about how these projects are developed and managed. Housing projects are either financed through government subsidies which are given directly to households by the municipal corporation or to supporting NGOs which then open a joint bank account and collect community contributions and municipality subsidies into one account for release at each stage of construction.

## Coping with eviction through many possible actions

### Subsidy based projects in Pune, Bhubaneswar, Puri and Bangalore

An ambitious scheme known as the JnNURM or Jawaharlal Nehru National Urban Renewal Mission gave 64 cities subsidies to improve and upgrade their structures. These projects are being carried out in seven settlements of Yerwada, Pune, three settlements of Bhubaneswar and three settlements of Puri, Orissa, 14 settlements in Bangalore.

Two central government agencies—Ministry of Urban Development (MoUD) and Ministry for Housing and Urban Development (MoHUPA) are in-charge of JnNURM projects. Although it ran into some issues of procurement and execution, the urbanization of poverty is gradually being recognized.

Under a sub-scheme of the JnNURM, known as Basic Services to the Urban Poor (BSUP), the Alliance began supporting communities to participate in housing developments and sanitation delivery by creating ways and means for communities to design and undertake construction. These are beginning to get acknowledged as the supply side deliveries fail to produce outcomes envisaged.

### From JnNURM to RAY

In 2009, the new government came to power and in her inaugural address, the president of India, announced Rajiv Awas Yojana, a new national scheme that would make India 'slum free' in the next five years. This is the first time that there was acknowledgement of land tenure and urban poverty. SSNS strategies now focus on the RAY policy and the 12th, 5-year plan of Government of India starting in 2014 to ensure the urban poor are included in their commitment to inclusive growth.

### Individual housing loans

The Alliance supports communities by also providing individual household loans for housing or sanitation improvements. In housing and sanitation projects, the organizational running expenses and initial start-up costs such as community mobilization activities and bridge funding (to pay for the time-lag in release of money from municipalities) are borne by grants or revolving funds. The Alliance has also taken project loans from banks in the past.

## In Maharashtra - Mumbai, Pune and Nagpur the SRA option

In India, State governments hold the portfolio of Municipal administration and housing.

Cut off dates (where the state governments announce a date whereby anyone who can prove that they have lived in the city before that date) don't get evicted is one form of protection.

In Maharashtra until recently the Slum Rehabilitation Act gives protection to all slum dwellers till the cut off date of 1995; 2000 to those affected by a major public project; such households are rehabilitated either on the same location or another location if the space is needed for a public project.

### The Slum Rehabilitation Act

Community federations seeking to demonstrate solutions work with SSNS to take on projects where they seek to demonstrate how the solutions should be developed along with communities.



*The walk up houses of the federations seek houses with mezzanines and a 14 feet height for the ceiling, it expands space and privacy*



*Many settlements only want improved amenities water drainage and pathways.*



*Mahila Milan Byculla finally build the first of their building and three pavement slums move in*



SPARC and SSNS are two sister organizations. SPARC assists NSDF, Mahila Milan and their membership in the process up to construction and after construction, while SSNS takes over the construction aspect providing technical and managerial and financial assistance.



## Assisting in BSUP projects taken up by the government

Communities ASSISTING to make the Karnataka Slum Board in relocating households under BSUP work for communities

Since 2007-8 Bangalore federations has been involved in intensive and sustained community mobilization: holding community meetings, explaining details of the scheme, building local confidence in the process, and helping people organize themselves and prepare for the move. KSDF and MM have also taken a leading role in dealing with innumerable obstacles thrown up as the project was implemented, including disruptions from private interests and local politicians, landownership conflicts, internal community disputes and other unforeseen difficulties. Finally, they have served as a communication link between the municipal corporation and the local communities.

Of the five pilot slums, construction is complete in four areas (Kalyani Slum, Kodihalli, Bakshi Garden and Austin Town) and people have been shifted to permanent buildings. Regarding Netaji Slum, a court case has been filed by the neighbors and there are some land disputes as well, also another NGO has been working in this slum as well and that is why the work has been stopped.

The major reasons for houses not yet being under construction have to do with land ownership and community concerns. In terms of concerns within the community, there was resistance from the community to shift to transit accommodation as that was too far, they want land ownership and not apartments, do not want G+3 structures, scattered transit accommodation, land ownership issues, people fear that slum dwellers from other areas would be part of the project, the households that have pucca structures demand extra houses.

In Bangalore of the 1550 houses to be constructed, 248 have been completed while 49 are under construction. Construction for 1253 houses have not been started at all due to various reasons—land, political issues, community discontent etc.



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Bruhat Bangalore Mahanagara Palike



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# The PUNE BSUP project



This VAMBAY housing built at Hadapsar by Pune Mahila Milan was undertaken before the process project and practices and processes are getting refined in the BSUP project. The credibility built from this process led the city and community to demand that Pune Mahila Milan undertake their housing project



In Yerwada, PUNE, a three story building has been built to accommodate all households whose foot print was less than 80sq feet. This took over 3-4 months of negotiations to get households and city to accept.



In other instances, households whose foot print is more than 100 sq feet get ground plus one houses in rows with adjoining walls.

The project started with 750 houses for Mahila Milan to build, But each month more and more households and communities seek to get their subsidy project undertaken by Mahila Milan. A detailed documentation of the process is available with SPARC.

Meetings with Architects to balance city specifications with demands from community



How has Pune Mahila Milan and The Alliance leveraged this project

The total houses to be constructed under Pune BSUP is 750 with an additional 350 houses being contracted to Mahila Milan after showing success in Yerwada.

51 houses have completed construction and 412 are underway.

As part of the project, the communities have to pay in 10% contribution, 50% from the Central government and 40% from the State and local municipality.

To date, Rs.5,248,000 as part of community contribution has been collected from 399 members.

14 members who are considered very poor and unable to pay their contribution will get support to make their payments through donations on the basis of community recommendations.



The transit housing for the project

How the Pune Mahila Milan's activities inspire others

- Other cities communities and international exchanges facilitate the communities and women's collectives to understand how a bottom up process works and seek to replicate it.
- Bangalore, Bhubaneswar, Puri, Nanded and others from the federation networks have brought their municipalities to explore this kind of strategy.
- Government of Maharashtra now seeks to explore how to facilitate such a process on other towns.
- Demonstrating that communities and their leadership can manage these projects, give contracts to other slum dwellers to expand livelihood potentials, and treating the households as clients rather than beneficiaries.

Working with the commissioner to change how BSUP under JNNURM is delivered

This project represents another level of scaling up of Pune Mahila Milan's capacity to deepen its ongoing relationship with the Pune Municipal Corporation, and to explore possible activities they could engage in to widen a range of projects that communities of slum dwellers, especially women, could take on to serve the needs of slum dwellers in Pune. Much of this project design and development can be attributed to discussions and advocacy of the alliance with the then Commissioner to explore such community-driven possibilities. This in turn led to the designing of a tender for the NGO's to apply for which sought to find agreements from community members and their local elected representative. Despite delays and obstacles, a creative and deeply participatory design project evolved under which the following processes were undertaken-

- Working closely with communities
- Documentation of existing slums—settlement profiles
- Selection of eligible households
- Procurement of agreements



# The Bhubaneswar BSUP Project



In October 2009 as part of a national capacity building workshop 5 municipalities from Orissa visited Mumbai and Pune and were invited to interact with Pune Mahila Milan.

Seeing potential in exploring new ways to deliver subsidies which were presently drawn down by the state but not actually converted into projects, the officials returned to Orissa and began a process of linking to the Alliance to get the Pune procurement processes translated into Odissi, and putting out tenders to convert stalled and non starter projects to be delivered through slum dwellers.

## The Impacts of the Bhubaneswar BSUP

Under the Basic Services for the Urban Poor (BSUP) scheme of the Jawaharlal Nehru National Urban Renewal Mission (JNNURM), the SPARC-NSDF-Mahila Milan Alliance has been engaged in planning and facilitating the *in-situ* upgrading of houses and infrastructure in three settlements - Dumduma, Nayapalli Sabar Sahi and Bharatpur in Bhubaneswar, Orissa, beginning in late 2009. The direct impact of the projects will be to provide necessary infrastructure and security to slum dwellers. Increased leadership and ownerships has been another impact of the project. The aim of the federation is therefore to demonstrate how the community led process can be integrated in the implementation of the project. Sustainability of the project by setting up committees to supervise and monitor the construction activities have been initiated by the Federation and Mahila Milan.

## How has Mahila Milan and The alliance leveraged this project

Site Name	to be constructed	Completed	Ongoing
Nayapalli Sabar Sahi	73	16	36
Dumduma	280	1	49
Bharatpur	225	2	126
<b>Total</b>	<b>578</b>	<b>19</b>	<b>211</b>

The Alliance has been able to leverage its reputation and experience to mobilize communities to save towards a 10% contribution as per the guidelines of the JNNURM. The MM and Federation have faced challenges in collecting the community contribution -

- Most of the families are daily wage earners
- Local corporators discourage members to save
- Men tend to spend most of their earnings in drinking

In spite of these challenges, Rs.1,50,700 as community contribution has been saved.

## Taking up construction contract under BSUP and challenges faced

In each site two Mahila Milan members act as contractors and further sub-contract the work. This in turn helps them to supervise and monitor work themselves and thus are in a position to better deal with goods and quality. In Bharatpur 63 houses are being constructed by Orissa Slum Dwellers Federation / Mahila Milan and 44 are being constructed by the eligible members themselves, in Dumduma 42 are being constructed by OSDF/ MM and 7 are being constructed again by the community members. In Nayapalli 30 houses are being constructed by Mahila Milan contractors and the remaining 10 by the community members.

Some of the challenges faced during construction -

- Delivery of poor quality materials
- Irregular payments from the Municipality
- Maintaining on-site supervision and quality control
- Eligible members list prepared by Bhubaneswar municipality did not match with that of the Alliance
- Plane table surveys conducted were outdated



# The Puri BSUP project

Present Status of the project



The BSUP is now being carried out in three settlements of Puri and the progress is as under -

Of the 111 houses to be constructed in Gokha Sahi, 21 are under construction.

40 units in Mangala Sahi and 13 in Mishra Nolia Sahi have to be constructed of which construction has not started in any of these.

The initial process settlement profiles, household surveys have been completed in Gokha Sahi.

100 families have been issued biometric ID cards.



Puri BSUP preparations and procurement process

SSNS first bid on the Puri in-situ upgrading project in February 2010.

AS SSNS was the sole bidder, the bid was rejected and in May 2010 SSNS had to bid again and in September–October 2010 SSNS officially won the bid and obtained approval to the project.

Initial meetings and mobilization activities started in January 2009 between UDRC, SPARC and the community members.

In March 2009, they started their first savings group and so far 6 savings groups have been formed in Gokha Sahi.

Exchanges to cities where similar projects are ongoing were initiated to understand the project, increase and build capacities of communities /technical team to conduct surveys and enumerations.

The Federation and MM have been working with a team of architects from Architects Without Borders, Sweden between September–November 2010 to design and develop different housing typologies.





# Precedent setting And Cycles of Scaling up



Understanding how the alliance looks at setting precedents, scaling up and calculating leveraging our investments and involvements

**Setting precedents:** Poor communities learn best by doing and their advocacy works best when they demonstrate in practical terms what they seek to secure for changes in policy.

**Setting precedents at different levels and in different locations:** Often the first precedent is a modest and tentative process, a house model, then it moves to replicating that concept with a project and then moves further to scale it up. At each level, precedents have to be set up in the management delivery, systems development and finances.

Often the same strategy has to be initiated at different levels in different locations and rules and regulations of different states and convincing different local authorities means demonstrating the different stages again and again. The difference being that having done it elsewhere leads to more people knowing about the strategy and more community leaders being able to defend it.

**Understanding how to deal with scale:** Learning is necessary at each levels. Constantly exploring one level after the other is essential both to retain the potential for the process to move to the next level. Often a modest process can be overwhelmed and drowned in the process that opposes it.

**Managing risks:** All explorations to undertake new possibilities are full of risks. Alliances share risks with individuals and communities. Often mistakes get made while exploring new possibilities. Identifying the mistakes, learning about them by correcting them is a vital part of this process. At each level while one group explores the process, many others come as part of the learning exchanges and learn along with the group as they go through the whole project. This is yet another way to mitigate risks.

**Creating basis of calculating leveraging our investments.** With the long gestations it takes to develop strategies that work for the poor, once the process is developed it gets leveraged to achieve scale for the federation as well as work for others through changes in policy and practices. However we don't constantly calculate the financial leveragability but more the constant creation of solutions that work for the poor and move towards getting universal applications



# In transition JNNURM and RAY



2005 to 2012 are the 7 years of JNNURM. As of April 2011, it is not clear whether there will be a JNNURM Phase 2. In 2009 RAY (Rajeev AWAS Yojana) was announced by the President of India and there are many challenges that are part of the formulation of RAY. The alliance has been involved in a range of policy making forums to discuss these issues which are further challenged with the integration of these programmes with the 12th 5 year plan of the government of India.

Creating inclusive cities and inclusive growth is the challenge of the 12th PLAN, especially since government announcements acknowledge that 60% of GDP is produced by cities and 25% of residents of these cities on an average are excluded from adequate shelter and basic amenities.

The Deepak Committee set up by the Prime ministers office ( where the alliance was represented by its Director) clearly recommended that while RAY was very welcome, it had to have some embedded relationship with JNNURM type governance reform and had to face head on challenges of financial institutions inability to lend to the informal sector.

The Planning commission having instituted a steering committee to address urban inclusive growth ( of which again the alliance is represented by its Director, faces serious challenges of addressing urban poverty at scale.



Creating roles and functions for CBOs and NGOs in this process.

Creating central participation for communities

The ministry of Housing and Urban poverty of the government of India, unlike its counterpart ministries of Education, Rural Development and Health and Panchayati Raj, has no experience of working with NGOs and CBOs. Its interaction with larger civil society is maintained to be through the municipalities who are to interact with these groups.

Paradoxically, given the challenges of seeking secure tenure and amenities for the urban poor, very few NGOs work in this area and by and large a very small cohort of organizations are involved nationally in seeking strategies that are community friendly.

Creating such roles and functions, being accepted and acknowledged as crucial advisors to seeking innovations that can scale up to address this mammoth challenge is the focus of the alliance.

In Collaboration with SEWA and PRIA, SPARC seeks to develop a national network of organizations seeking to make RAY community centered and creating relationships between communities, cities and NGOs to initiate new ways of working.

Social audits of BSUP projects undertaken under JNNURM indicate that a overall lack of community involvement in design and delivery of habitat has led to communities being dissatisfied with what they have, with many houses being built but families unwilling to live there and many projects either incomplete or not started.

The challenge of getting state governments to acknowledge this first of all as critical failures in design and delivery and follow that with exploring alternative ways remains a challenge to complete BSUP and start RAY.

The projects started by the alliance although modest and only in three states, have become beacons of demonstrating potential for community participation and laboratories of scaling up new forms of partnerships.

The alliance has sought to demonstrate how gathering data, creating savings processes well in advance of starting projects and developing design and delivery with communities is both desirable and possible.



Planning commission of India invites representatives of membership based organizations to discuss inclusive growth.

The Alliance along with other urban and rural membership based organizations was invited to a meeting by the Planning Commission to present their work and to share issues and challenges they believed the government has to take up.

The Alliance suggested -

- There has to be a new means to measure urban poverty
- The 12th plan should be seen as a learning to deal with urban poverty
- Collective support to community vital to reach the poorest.



## Urban poverty challenges

We have to accept the irreversibility of overall urbanization. Presently, the default position remains that if you undertake rural development, urbanization will be curbed. However, worldwide, this trend shows urbanization is here to stay.

The State has very few programs to address urban poverty and most of them have not shown any success. In fact, the non-absorption of whatever meager funds are allocated further underlines how poorly the programs are designed and how supply-driven they are.

If HUPA has to be the Ministry that deals with urban poverty, its pivotal role requires improved staffing, deeper intellectual capacity and deeper clout to change how cities and states perform. Many more programs, better monitoring, more innovative experiments and pilots at scale to catch up with existing urban poverty and take on the challenge of future poverty in cities are needed.

Different states are at different levels of urbanization and need a spectrum of different strategies to address their levels.

Similarly, large mega cities and cities and towns of different sizes also need different strategies and creating this "cafeteria" of possible strategies and policies to address their challenges has to be devised in the 12<sup>th</sup> Plan and through HUPA.

RAY has to be an initiation of a multi-decadal program to address "inclusive cities and commit to habitat and livelihoods to the urban poor." Universal provision of tenure security and basic amenities on the one hand and increasing acceptance of livelihoods of the poor form the foundation of the urban safety net.

RAY has to be perceived as a "no eviction" campaign in all local urban areas, with a commitment to decent relocation based on a nationally accepted policy like the rural relocation and rehabilitation policy presently being formulated. This relocation has to be minimal, has to protect habitat and livelihoods affected by public infrastructure; and transformation in planning has to acknowledge all existing slums.

People, whether rich or poor, come to urban areas and continue to live there for a number of reasons. The foremost reason is that they are able to earn a better livelihood and have better chances of employment in the urban areas. For the poor, urban areas offer livelihoods but also a constant set of insecurities. They live in physically inhuman conditions. In spite of all the difficulties, they work towards improving basic infrastructure and housing, incrementally, from *kuccha* to *pucca*.

RAY is an important program focused on the urban poor, which envisages housing security for the urban poor and, more ambitiously, it envisages property rights. But RAY should recognize what people have already built with their hard-earned money and facilitate a process to improve it further. It should be a program of tenure security and basic infrastructure, rather than government building houses for the poor.

## Understanding informality:

Informal is presently also illegal and is seen as negative and criminal. Rather, it needs to be seen as what asset-less households undertake to do incrementally over time when cities and the state refuse to acknowledge their presence and penalize them instead.

15-80% of present urban agglomerations are informal. They are not noted on plans and zoning/reservations on these lands for other purposes often leads to the courts demanding evictions.

Demolitions of informal settlements and livelihoods further deplete assets created by the informal poor through years of toil and sweat equity and have never been calculated as their contribution of subsidizing the city and its various trades and lifestyles of formal households and businesses.

# Choosing Relocation for secure tenure

## Making tough choices: when do communities choose relocation

One of the toughest choices that poor neighborhoods in cities have to make is to decide when they move from fighting to defend their rights to stay in a particular location where they have squatted to exploring relocation options.

This is neither easy nor automatic. However when households cannot secure tenure even after three decades of fighting for their rights, their grand children are born there and they cannot even improve or upgrade their homes and the choice reminds them about when they chose to leave their village and come to the city and they begin to explore alternatives.

In 1981 when the Chief Minister of Maharashtra first sought to evict households from Senapati Bapat Marg he put them into buses and dumped them outside the city limits. The city protesters took a case to defend their rights to the supreme court, which in 1985 gave the city the right to evict them after giving them a notice. That is when women on pavements began to think of an alternative.

NSDF and Mahila Milan now have a team from different slums that works on this issue

Gunashkehar and his team of men and women, have assisted and supported many communities to get organized and each time they help a new federation they have more men and women join the teams. The objective is to involve the households and neighborhoods in the process from start and build their capacity to manage the process



## Creating space for communities to participate in design and relocation

Activists working on human rights often accuse SPARC of being co-opted into accepting relocation rather than fight for the rights of the pavement dwellers and others to stay where they are. However very few actually examine what they are saying.

Right to stay in a 35sq feet house on pavements which are refurbished every year at the end of monsoon ends up costing the same as an EMI for 20 years for a larger home if such an opportunity came their way?

Should households 3-5 feet from a railway track stay there and constantly fear children straying on to the track to be killed? Or watch a body of a relative or friend who was crossing the track to defecate?

The alternative that the alliance is developing seeks to anticipate locations where the city rules however they get bent will not allow the squatters to get any permanent tenure and to create a way to design and plan relocation with communities.

## Locating such households living in untenable locations

Houses located along the water pipes, and water bodies, houses along the sea side drowning during high tide, along slopes which collapse during the monsoons.



**PUNE : Hadapsar.** In the early 1990s Pune Mahila Milan identified Hadapsar land owned by the municipality for their housing option for households along the water bodies who got submerged every year. A spate of evictions had begun in Pune for slums abutting the road widening project. Quoting Mumbai Urban Transport Project II (MUTPII) and MUIP in Mumbai to develop a relocation strategy for the households the Alliance worked with the corporation and state to utilize VAMBAY to construct houses in which these household facing eviction will move into with their assistance and support.



Seeking relocation is a very tough decision that only gets taken when households and slum dwellers do not see possibility of getting secure tenure in situ.



# Making tough choices and coping with consequences

Making lists of communities to assist and support

Addressing the consequences of relocation with committees who have been relocated.

MUTP AND MUIP PROJEKT SPARC M.M.R.D.A.								
Sl. No.	Sl. No.	Name of the Building	Total Rooms	Name of the Society	Name of the Area	Name of the President	Phone Number	Project Name
1	91	SANGA	144	GANGA CO-OP. HSG. SOCIETY	BUDHA COLONY	MAHESH KUMAR	9824444881	S.C.L.R.
2	92	HAMBANA	155	TAMARINDA CO-OP. HSG. SOCIETY	BUDHA COLONY	ALKA	9805334111	S.C.L.R.
3	93	GOVINDWAR	144	AGARSHI CO-OP. HSG. SOCIETY	BUDHA COLONY	ARJUN SHANKAR	9826862480	S.C.L.R.
4	94	VANUSHNA	144	PRUSHNA CO-OP. HSG. SOCIETY	138 / A	SHANKAR SHANGLAD	9212355918	RAILWAY
5	95	KOVANA	144	KOVANA CO-OP. HSG. SOCIETY	TURBHE M	PROF. KAMAR GAURY	9773227287	RAILWAY
6	96	SAVIBE	144	SAVIBE CO-OP. HSG. SOCIETY	SABALE NAGAR	RAJESH KUMAR	9826862480	S.C.L.R.
7	97	SARUWATI	144	SARUWATI CO-OP. HSG. SOCIETY	SABALE NAGAR	RAJESH KUMAR	9826862480	S.C.L.R.
8	98	CHANDRANAGRA	144	CHANDRANAGRA CO-OP. HSG. SOCIETY	138 / A	MADEKAR	9964373200	RAILWAY
9	99	PUNCHANGANGA	144	PUNCHANGANGA CO-OP. HSG. SOCIETY	TURBHE MANDALA	PROF. KAMAR GAURY	9866492300	RAILWAY
10	100	BARANA	144	SHRI BARANA CO-OP. HSG. SOCIETY	138 / A	KHARAT	9305227888	RAILWAY
11	11	INDRAYAN	144	SHREE ADHYANAN CO-OP. HSG. SOCIETY	GAJI NAGAR	PROF. KAMAR GAURY	9114777112	S.C.L.R.
12	12	MANDAVI	144	MANDAVI CO-OP. HSG. SOCIETY	138 / B	SANDEEP DUTTA	9800344204	RAILWAY
13	13	SHABHUB	144	ANANMALCO CO-OP. HSG. SOCIETY	138 / B	HANNA RAMANI	9806799488	RAILWAY
14	14	NANMADA	144	JAI NANMADA CO-OP. HSG. SOCIETY	TURBHE MANDALA	SHANKAR KOLHUR	9862684947	RAILWAY
15	15	BHAGIRATHI	144	BHAGIRATHI CO-OP. HSG. SOCIETY	138 / A	SHANKAR DANGAR	9229189888	RAILWAY
16	16	SHAHAPURTA	144	MAHATMA GANDHI CO-OP. HSG. SOCIETY	TURBHE MANDALA	ANKU	9780244100	RAILWAY
17	17	SHRIPA	144	SHRIPA CO-OP. HSG. SOCIETY	138 / A	MANJALI PARICHANDRA		RAILWAY
18	18	SATLAI	144	SATLAI CO-OP. HSG. SOCIETY	138 / B	PROF. KAMAR GAURY		RAILWAY
19	19	SHANGLA	144	SANGLA CO-OP. HSG. SOCIETY	138 / B	MANU PATEL	9221981091	RAILWAY
20	20	TILAM	144	JAI HANGLAM CO-OP. HSG. SOCIETY	TURBHE MANDALA	PROF. KAMAR GAURY	9326416100	RAILWAY
21	21	SINDHU	144	SINDHU CO-OP. HSG. SOCIETY	138 / B	MAHESH KUMAR	9867978657	S.C.L.R.
22	22	SHYAM	144	SHYAM CO-OP. HSG. SOCIETY	138 / B	PROF. KAMAR GAURY	9302222222	S.C.L.R.
23	23	SALUNAGAD	144	SALUNAGAD CO-OP. HSG. SOCIETY	SABALE NAGAR	KOCHHAREKAR	9229184300	S.C.L.R.
24	24	SHYAMNAGAD	144	SHYAMNAGAD CO-OP. HSG. SOCIETY	RAHA NAGAR	A. BALU	9824228784	S.C.L.R.
25	25	SHYAMNAGAD	144	SHYAMNAGAD CO-OP. HSG. SOCIETY	RAHA NAGAR	PROF. KAMAR GAURY	9323440011	S.C.L.R.
26	26	SHYAMNAGAD	216	SHYAMNAGAD CO-OP. HSG. SOCIETY	INDRA NAGAR RURA			S.C.L.R.
27	27	SHYAMNAGAD	216	SHYAMNAGAD CO-OP. HSG. SOCIETY	RAHA NAGAR	SHUBASH	9328441100	S.C.L.R.
28	28	SHYAMNAGAD	72	SHYAMNAGAD CO-OP. HSG. SOCIETY	RAHA NAGAR	DADA	9221757000	S.C.L.R.
29	29	SHYAMNAGAD	144	SHYAMNAGAD CO-OP. HSG. SOCIETY	TEAK NAGAR	NARAYAN	9821520000	S.C.L.R.
30	30	SHYAMNAGAD	144	SHYAMNAGAD CO-OP. HSG. SOCIETY	TEAK NAGAR	MAHARAJ	9808801130	S.C.L.R.
31	31	SHYAMNAGAD	144	SHYAMNAGAD CO-OP. HSG. SOCIETY	SABALE NAGAR	MAHARAJ	9833199400	S.C.L.R.
32	32	SHYAMNAGAD	144	SHYAMNAGAD CO-OP. HSG. SOCIETY	RAHA NAGAR	MAHARAJ	9789271000	S.C.L.R.

There is no question that any form of relocation creates challenges for anyone, and much more for the households whose lives and livelihoods are dislocated.

The Alliance now works with all these households and their leadership to explore what the range is and examine ways to address it.

One of the most tough challenges is badly designed buildings, and while this cannot be changed it is now being suggested to SRA and housing departments to be addressed through changes in policy.

Clearly health indicators have improved but household incomes have not. With huge inflation in food basket, these have become a major challenge and now require two to three members of households to be working.

The first three years are the toughest for households and most of the crisis in this period create incentives to seek rent houses. Getting households away from renters who don't leave, or getting amnesty from the state to ensure they don't loose houses for making that mistake are some of the issues being addressed.

With very large numbers of households in one location, good policing is vital and police Panchayats and new police stations in such locations are being set up to address crimes.

Loss of livelihood especially for women is crucial in most households and a range of possibilities are being examined.

Increasing exchanges between groups facing similar problems and helping them network and learn from each other is also being facilitated.



Seeking relocation is a very tough decision that only gets taken when households and slum dwellers do not see possibility of getting secure tenure in situ.



# Ongoing challenge of relocating Pavement Dwellers in Mumbai

## Byculla Pavement Dwellers Show the way



In 1985 soon after SPARC was set up, the Supreme Court Judgment on Pavement dwellers announced in the press in July 1985 allowed the Municipality to evict pavement dwellers to be evicted in November of that year. Panic and fear induced pavement dwellers to look at different options being suggested by well wishers within NGOs and political parties they sought advise from.

Pavement dwellers especially women from those settlements in Byculla came to SPARC and sought advise only to find they were asked to reflect on what they wanted. The answer was "first to stop evictions and then to look for a secure home".

It was with them that SPARC undertook the first enumeration WE THE INVISIBLE and created a pavement dwellers federation. Spearheaded by 536 households from nine pavement settlements in Byculla E ward, a strategy emerged in which

- every household began to save, they began to put money aside for their housing and set up a loans program to increase household incomes.
- they numbered their households and compiled documentation about each of them.
- They began to look for land, and located land in Mankhurd for which they struggled until 2000 and built their first building in 2005, around the time the municipality also announced the pavement dwellers relocation policy.

Today all federations undertake these rituals and have got houses long before all pavement dwellers got theirs.

The period between 2005 and 2010 was a difficult one as the policy to relocate pavement dwellers was in place but the spirit of collaboration and engagement to facilitate pavement dwellers to participate in the relocation was missing and the attempts of the alliance to create the engagement was not reciprocated at the Municipality.

This got a fresh life in 2010 when the municipality renewed its engagement with the alliance and now lists of pavement dwellers whose documentation was done in 2005 are being refreshed and communities are being assisted to organize their documentation for initiating relocation.

Homeless International which has supported the pavement dwellers quest to seek secure tenure since 1986, have in their latest project contribution which ended in 2011, completed an evaluation conducted on its completion by Banashree Banerjee. Report is available on request

**66 pavements yet to be squatter-free**

**PENDING BMC fails to meet 2009 deadline to rehabilitate slumdwellers in the island city**

**Byculla** By 2009, the island city's pavements should have been clean, encroachment-free and beautiful but the project is stuck because the civic body claims it does not have space to relocate squatters.

The Brihanmumbai Municipal Corporation (BMC) was to remove and rehabilitate 25,000 slumdwellers settled on the island city's pavements under the Mahatma Gandhi Path Krazee Yojna by December 2009, but it has not cleared even 10 per cent of these slums.

"The municipal corporation has surveyed and identified 72 pavements to be made encroachment-free but only five have been cleared in the last three to four years," said a civic official requesting anonymity because he is not authorised to speak to the media.

So far, the municipal corporation has partially cleared D'Mello Road, Sarapati Bapat Marg, Barrister Nath Pai Road, R.A. Kidwai Road and Zakaria Bunder Road.

"Of the 25,000 slums located on pavements in the island city, only 2,500 dwellers have been rehabilitated. The rest of the work is stuck because there aren't enough tenements to rehabilitate people," said an official from the Parul ward office where the project is being coordinated.

He added that the municipal corporation has asked the Mumbai Metropolitan Region Development Authority (MMRDA) for this.

The state government has appointed Deputy Municipal Commissioner Dr Kishor Kshirsagar as project manager. Kshirsagar has to coordinate with the MMRDA and the state government. He was not available for comments despite several attempts.

The MMRDA, however, said tenements are not an issue. "We have already given the municipal corporation tenements three to four times for this project and tenements are available with the MMRDA," said Dilip Kawabkar, joint project director of the MMRDA.

The state government declared the municipal corporation as the implementing authority in 2006. It involved cleaning, repairing and beautifying them and securing them with garis within a specified time frame.

The state had fixed deadlines for each phase of the project, starting from the survey of slums, and the deadline for the entire project to be completed was December 31, 2009.

Rahul Shewale, chairman of BMC's Standing Committee, said, "If the project is good for the city, I will take this issue up with the municipal commissioner."

**HOW THE PROJECT WAS TO PROGRESS**

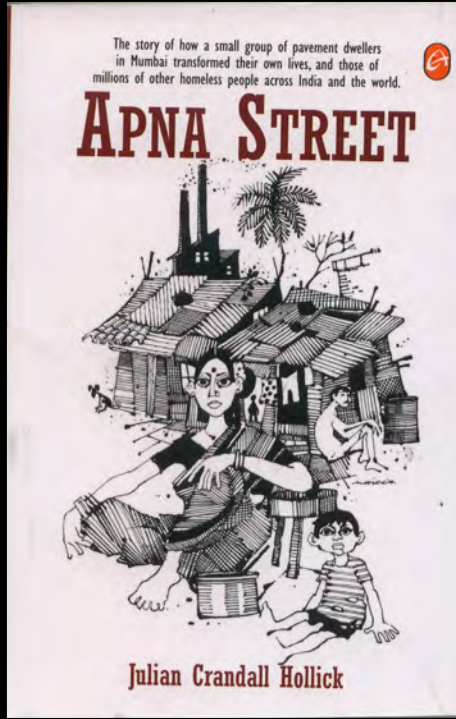
NOVEMBER 15, 2007	Formation of project management unit
DECEMBER 31, 2007	Completing survey of slums
JANUARY 15, 2008	Finalising draft for rehabilitation
JULY 30, 2008	Rehabilitation of first 10,000 slums
JUNE 30, 2009	Rehab of remaining 15,000 slums
DECEMBER 31, 2009	Completion of project

• The civic body has identified 72 pavements to be made encroachment-free.





# First Apna street audio documentaries, now a book



## First the audio tapes on Apna Street:

In 1986 a strange Englishman walked into the Byculla Area Resource Center and took out large microphones and interviewed many from SPARC NSDF and Mahila Milan.

Later he returned in 1989 with a grant to develop a series of radio programmes for NPR and while documenting all of our voices and opinions on tape, he trained many of us to become sound engineers and learn to script audio documentaries.

These 36 programmes are available on the net even today and are a amazing archives of our evolving years as an alliance.

## Now a book

Last year Julian and Martine( his wife and business partner) retired from this profession and Julian came to spend a couple of months re-acquainting himself with what we are doing several years later and wrote his book. The book was edited by Kalpana Sharma who is a trustee of SPARC .

Julian Crandall Hollick spends time with Mahila Milan in Byculla after ten years of making audio programs



Checking names and locations of households entitled for relocation on pavements in Mumbai



Julian with Byculla Mahila Milan leaders





# Mumbai Urban Transport Project II (MUTPII)



## Railways Slum Dwellers and MUTPII, precedent setting at Scale!

### The Railway Slum Dwellers Federation

In 1987-88, the Government of Maharashtra commissioned the study of slums along the railway track to SPARC. NSDF and MM, engaged the community volunteers from slums in Bombay as well as those from the railway slums to map slums and undertake the survey. From that emerged the RSDF.

Despite all efforts to seek a relationship with the railways, the alliance could not budge the Railways from their position that encroachment was the business of the state government to clear and not their problem even if they squatted on railway lands.

In 1995, the Mumbai Urban Transport Project II (MUTPII) which kept going into cold storage was brought out to address the public transport crisis in the city, and the World Bank was once again negotiating a loan to be taken jointly by the state government of Maharashtra and the Indian Railways. As part of that process, a task force to design the policy was created - of which SPARC was a part and through which NGOs and communities got the right to participate in design and execution of relocation processes.

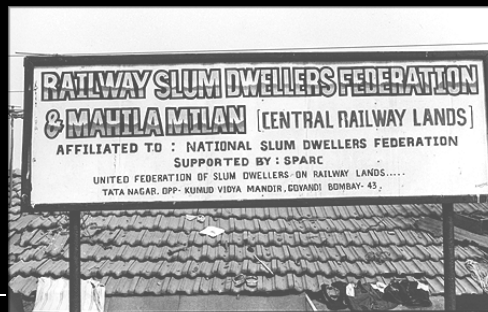
In 2000 the first 1900+ households were moved into a MHADA colony in Mankhurd, and have developed rituals and practices of how slum dwellers who now live in building manage them.

This strategy has ensured that 10% of project costs when spent on relocation actually saves the project huge delays and reputation losses.

The alliances saw its investments in creating this federation through grant funds having an amazing potential for leveraging both within this project as well as setting precedent to inform other projects and policy.

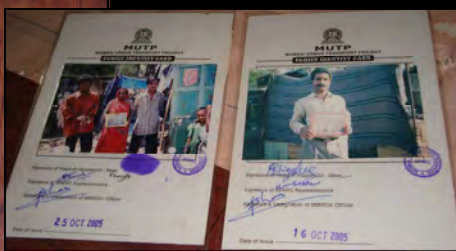


Over the years 1800+ such households have been relocated from the railway track. The strategies developed in this process have been adapted from the processes developed by the Pavement dwellers federation, whose policy of relocation finally came through in 2005 and who are still being relocated through that as we write this report.





# What it has facilitated others to explore



The rituals now adopted by others that this process ensured the government adopted formally and what still remains to be accepted.

## What has not yet been accepted and built into development practice in general:

The creating of federations of all households who live on land of a particular land owner which has been a practice of the NSDF has demonstrated that long before a project emerges, if communities are organized and have resources to reflect what they need and how they can articulate this to the officials from the land owners side, a win-win solution can emerge. It is clear and evident that once a project is announced, if the households and neighborhoods are not organized prior to this process it produces opportunistic behavior of conventional leaders and often the bottom 30% are pushed out of the process.

But who finances this process? In the past as is the case presently, the alliance seeks grants from foundations to undertake this patient work, however increasingly grant makers are going the project way and do not see the leveraging potential in what they invest in.

## The strategy that is now accepted in relocations and is demonstrated through contracts that SPARC now undertakes is:

- Creating a baseline survey after mapping and numbering households and structures.
- Creating documentation for each household including biometric ID cards to ensure claim.
- Developing 50-100 household groups along natural community formations and building their leadership and representation to facilitate communication and dialogue.
- Ensuring participation in design and relocation potentials and planning relocation along their time lines.
- Post relocation support to deal with consequences of relocation such as loss of livelihoods, management of formal systems such as running their housing co-ops, paying bills and taxes etc.





# Precedents for large land owners to accept relocation rather than evictions

## Mumbai Airport

### Airport slum rehab: CM asks officials for comprehensive policy



EXPRESS NEWS SERVICE  
MAY 9

THE state government will soon come up with a comprehensive policy regarding the rehabilitation of slum-dwellers who have encroached land within the periphery of the Chhatrapati Shivaji International Airport. Speaking at a meeting organised on Monday in Mumbai, the Minister for Urban Planning and

habilitation of the slum-dwellers was discussed," said a Mumbai airport official, declining to give details. The eligibility of slum-dwellers has been a tricky subject as the state government has to ensure that if a well-protected area on the structure of land.

# MUMBAI Newsline

## SPARC of hope for airport rehabilitation plan

### BACK TO SQUARE ONE: NGO hired to restart process of enumerating families squatting on CSIA land



80,000 families according to the Mumbai International Airport (MIA) and the Maharashtra State Government. The official tasked with the job of conducting a survey of the slum-dwellers is SPARC (Slum Rehabilitation and Company) which is a joint venture of the Maharashtra State Government and the MIA. The survey is being conducted by SPARC and the MIA. The survey is being conducted by SPARC and the MIA. The survey is being conducted by SPARC and the MIA.

**REHAB RERUN**  
MAY 2006: MIA, spent 12,000 families will be moved by 2006.  
MAY 2007: Survey of slum-dwellers by a private contractor is abandoned.  
MAY 2008: Survey of slum-dwellers by a private contractor is abandoned.  
MAY 2009: Survey of slum-dwellers by a private contractor is abandoned.  
MAY 2010: Survey of slum-dwellers by a private contractor is abandoned.  
MAY 2011: Survey of slum-dwellers by a private contractor is abandoned.

Many years of dialogue and negotiations with multiple agencies

The Mumbai Airport Slum Federation is one of the oldest members of NSDF. In 2008, the state government directed the Mumbai International Airport Limited (MIAL) to resettle the more than 60,000 families currently living in slums on municipal airport land. According to the current policy, families on airport land who can prove that they have resided there since before January 1, 2000 are eligible for resettlement. The MIAL was directed to shift these families to new housing within a distance of 3 to 7km from their existing hutments and complete the process in five years, by 2013. To date, the MIAL have acquired two plots: one at Kurla (West) is capable of housing 17,000 tenements, and the other at Kurla (East) can hold 6,000 tenements. However, land acquisition has not yet been done for the remaining 37,000 families.

For the inhabitants of these settlements, as well as the remaining airport slum dwellers, in September a new survey and enumeration process was announced. Beginning in October 2010, the enumeration will be carried out by several agencies, including SPARC, and will survey the slum dwellers currently living on airport land, helping to determine more specifically who is eligible for free resettlement. SPARC is currently in the beginning stages of conducting this survey.

In February 2011 it was decided that the Alliance should take the lead in not only conducting a survey of the airport slums, but also facilitating the resettlement so that it would be conducted in a way that best supports the needs of the current inhabitants.

The Alliance is in the process of signing a contract with the airport authority to help facilitate the resettlement of more than 100,000 households currently living in the airport slums. Specifically, the Alliance will be contracted to prepare for and conduct a household enumeration for the settlement, including issuing biometric I.D cards.

The Alliance will also help the inhabitants of the slum prepare for relocation, including reviewing the available tenement housing and working to make sure it is suitable, organizing savings and planning logistics for the move in such a way as to keep the community as intact as possible. Post-relocation, the Alliance will work to ensure maintenance of the buildings is kept up and help support households through the transition phase, helping them get ration cards, complete any final paperwork and re-start work.

### Times City in Transit

## Show us the plan first, say 80,000 families

### Airport Expansion Moves At A Crawl Because Evacuees Want To See Details Of Resettlement Before They Agree To Survey Of Homes

Need for more land

20,000 FLATS BEING READIED, P.1

The Airport Slum Federations of Mumbai have been associated with NSDF since its inception. It has attempted several attempts to negotiate with the National Airport authority to create spaces for the upgrading of airport and demonstrated in the last to show how relocation should be done. The alliance will deepen and strengthen this process through this present project, seeking to ensure that the relocation works for the airport but also for the residents many of whom work in the airport itself.



# Precedents for large land owners to accept relocation rather than evictions:

## MBPT: Mumbai Port Trust

Many years of dialogue and negotiations with multiple agencies

In 2000, the MBPT slum federation was created and since MBPT is the largest urban land owner and has many slums it has not acknowledged, the alliance has been exploring a range of possible ways to create a precedent by which in situ development or relocation forms the possible options to address the security of tenure for slum dwellers residing on MBPT Land.

This opportunity came through the issue of resettlement of slum dwellers living on land owned by the MBPT and the Central Railway in 2008-9 when the MBPT wanted to build a dedicated goods line between Wadala and Kurla, it commissioned SPARC to undertake a Baseline Socio-Economic Survey (BSES) of households that would be affected by this work.

The Baseline Socio Economic Survey strategy developed during MUTPII is now used in resettlement and rehabilitation projects. It records an individual's housing status, employment, education, and income and forms the basis of entitlement to relocation. The BSES for this project was first prepared in 2007 and then updated in 2008. 1500-2000 structures would be eligible for location depending upon the final alignment of the goods line and the eligibility criteria used.

The Mumbai Metropolitan Region Development Authority (MMRDA) whose tenement construction for R&R, offered tenements for these families at Mahul, a location which many project affected persons (PAPs) have rejected in the past because of its poor access to transportation.

Through negotiations by the alliance with MMRDA tenements available at Lalubhai Compound acceptable to the MbPT PAPs were identified. On 19<sup>th</sup> January 2010, the MbPT agreed to resettle 1,728 households to Lalubhai, while retaining the slum dwellers' current location for a continuation of their commercial enterprises and livelihood activities.

It took eight year effort and negotiation process for the Mumbai slum dwellers federation to manage sustaining the government's interest in this possibility and also not letting communities loose heart; It shows how patience and perseverance in dealing with government bureaucracy can result in a solution that is beneficial to all.





## Tata Power

Now Private companies also seek to make R&R part of their projects and seek intermediation to assist



Tata Power Company, which produces and supplies electricity to Mumbai and other cities, is in the process of expanding its production and distribution networks and in that process, it needs to upgrade its distribution towers.

One of the problems identified when planning for the upgrading was of slum dwellers squatting under and around the towers.

Removing the slum dwellers was vital, but the company did not want to be party to evicting them.

Having seen the work of SPARC NSDF and Mahila Milan in the relocation undertaken for public projects, Tata Power approached SPARC to explore the possibility of working together to plan relocation for these households.

A total of 2000+ households would be affected by the upgrading project; due to this size, the relocation will be carried out in two phases, first to focus on Mumbai and later on the rest of the metro region.

In the first phase, around 283 households in Mumbai, ranging from Antop Hill to Sion Koliwada, would be relocated.

The Alliance was expected to assist in the undertaking of the baseline socio-economic survey, work with communities to locate alternative housing, work with Tata Power to obtain tenements from MMRDA and to facilitate the relocation itself. As of today, all 238 families have been shifted to the relocation site at Bhakti Park, Wadala.

The number of households has increased because when the foundations of the structures are moved, many adjoining houses begin to crumble indicating that the space needed to upgrade them is greater than what was anticipated.

Plans to support households to get additional livelihood assistance is also under way.

**This is a crucial precedent - for private sector to undertake such a process without coercion from the state. However there is need for a policy that requires such commitments from the private sector as well.**





# Cuttack Planning for relocation for over 7 years



The alliance has made several proposals about the strategy for relocation of households along the ring road.

## It takes a decade to cook up projects here!

It was almost a decade ago when the Cuttack federation brought out the plight of households along the ring road facing evictions. At that time through a UNDP linked process, the possibility of developing area location policy and through that developing a relocation for households facing evictions to develop the ring road were undertaken.

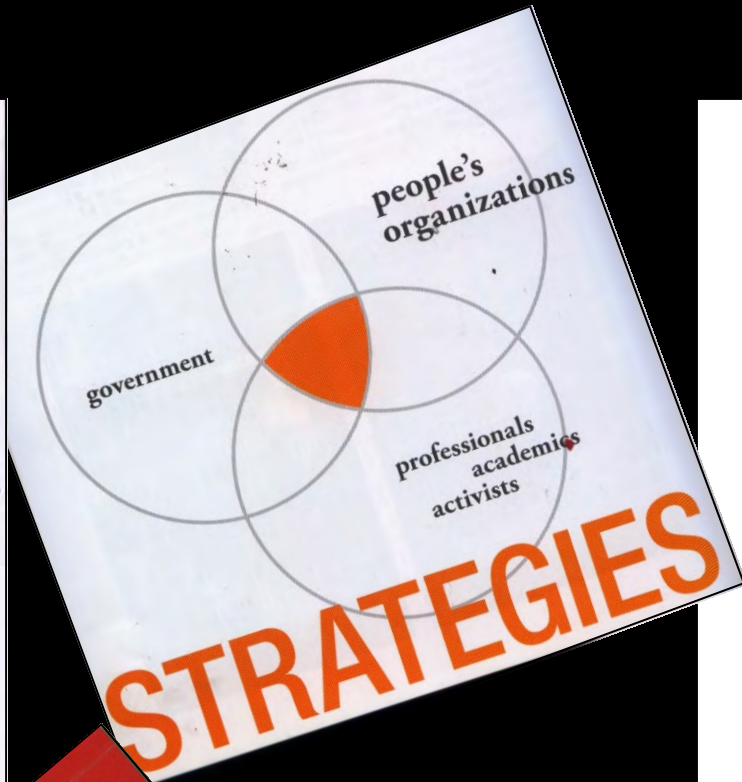
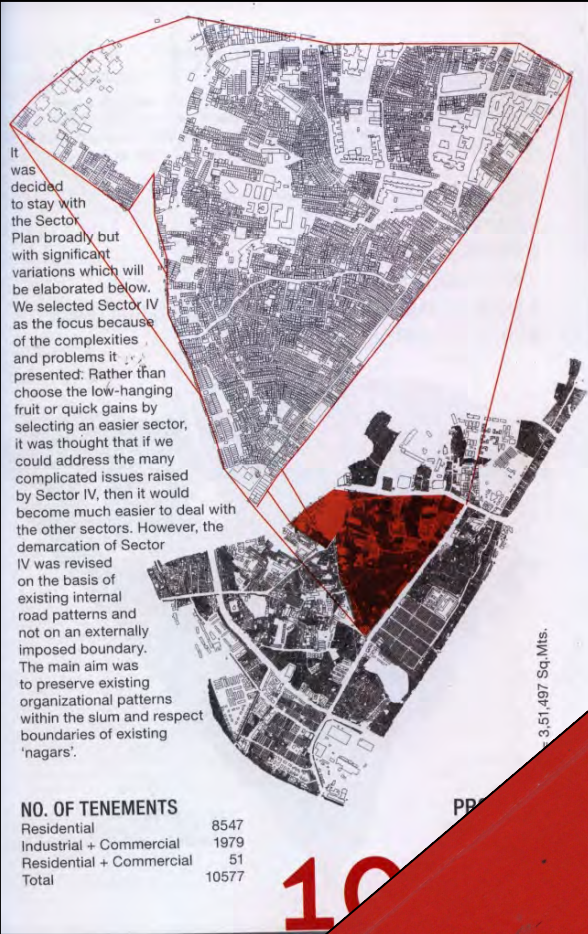
Since also most of the projects are linked to the capacity of the IAS officer and the leadership in the city to take up these issues, this process lay in the files until now. The present Commissioner of Cuttack supported by the state has actually purchased land and plans to relocate households.

The surveys were done by the federations and the communities approve of the relocation site. SPARC will assist the city to develop the Detailed Project Report and assist the communities in this process.

Cities and communities have been inching along such partnerships a bit at a time and the alliance as a facilitator of this process is learning from its own negotiating experience to anticipate challenges and has begun to address them earlier rather than later.



# Creating demands for communities to make choices about their redevelopment



In collaboration with KRIVA, the Alliance has produced a book which documents how communities can collect information and produce a planning protocol to redevelop and design difficult localities, such as Dharavi, in a way that is participatory and community-driven.

The book outlines the history of the Dharavi Re-Development Project from the viewpoint of the community and the Alliance and the role of collective action in highlighting the weaknesses of the DRP. The book also showcases the planning and design project with the Alliance undertook with the community in Sector 4, to develop an alternate, participatory development plan for that sector.





# Dharavi Redevelopment

## Update on Dharavi

International tenders for the Dharavi Redevelopment Project (DRP) were to be opened earlier this year but, for reasons that can only be surmised, the date for doing so was postponed twice- the second time indefinitely. Elections to the State Legislature then took place and a new government has recently been installed. Though not officially announced, it appears that the old tender cannot be processed any longer both because circumstances have changed dramatically since its first publication (e.g. the global economic recession), and because many international partners of consortia have resigned. Rumor has it that there are not enough players left in the field to have a proper competition. Another problem is that when the eligibility of residents in one sector of Dharavi was scrutinized, about 63% were found ineligible, because they could not prove they were there before 1995 or because they lived on 1<sup>st</sup> or 2<sup>nd</sup> floors, or because they are renters. No scheme can be implemented if such a large proportion of residents are ineligible.

In 2007, SPARC helped initiate the Concerned Citizens for Dharavi group, which is a coalition of professionals, retired government officials and NGOs, that has sought to engage with the State and Central Governments by bringing the residents of Dharavi into the center of the development process through dialogue, lobbying and media campaigns. As of its order dated 3<sup>rd</sup> February, 2009, The Government of Maharashtra (GOM) appointed our group as a Committee of Experts to supervise the planning and implementation of DRP. Meetings, which for months had been held on an informal basis, are now given legitimacy by GOM. This gave us greater confidence that we could have a meaningful and significant impact upon project design and implementation.

## Current Situation at the Community Level

Because SPARC's involvement in Dharavi dates back to 1986, we have had many years to build relationships with local housing cooperative societies and residents' associations. Our entire focus has been on educating communities about government plans, organizing the community groups, and analyzing available data to come up with alternatives while closely working with professionals. The Dharavi Bachao Andolan (DBA) is an umbrella front of various political parties, those who run small businesses in Dharavi and residents of Dharavi. DBA members are keenly watching developments and seek to actively participate in designing solutions to their problems. Out of dialogue between community representatives, DBA members, and SPARC, attempts are being made to identify clusters of residents who can be brought together on the basis of common social, linguistic, ethnic and other attributes or on the basis of physical location in Dharavi. These clusters could become the nuclei of future housing cooperative societies that could play a proactive role in designing future developments.

## Current Situation at the SPARC Level

As partner to National Slum Dwellers Federation (NSDF), SPARC has been supporting its local offshoot, the Dharavi Vikas Samiti, for many years. Along with its sister concern, SPARC Samudaya Nirman Sahayak (SSNS), SPARC has supported community construction under the Slum Rehabilitation Authority (SRA). Again, SPARC initiated the establishment of the Concerned Citizens for Dharavi and has acted as its secretariat for the last few years. It continues to provide back-up to the Committee of Experts (CoE). SPARC is also working with national and international partners to raise the profile of Dharavi; to get scholars and artists to produce work on Dharavi; to build a media campaign to inform and educate local people, citizens of Mumbai and the international community. Even when there is disagreement, individual SPARC representatives have been regularly interacting with government officials in order to keep lines of communication open in search of a consensus. Moreover, SPARC has been interacting with groups of professionals, particularly the Kamala Raheja Vidhyanidhi Institute of Architecture (KRVI). KRVI's faculty, staff, and students have been researching alternatives for the redevelopment plan.

## Current Situation at the Committee of Experts (CoE) Level

The CoE has come to the unanimous conclusion that the original DRP plan is deeply flawed and that an alternative plan is needed. The CoE has given broad directions to KRVI to work with local residents to generate an alternative plan for one sector of Dharavi. They are taking the strategy of breaking the single cluster into smaller clusters organized along the existing physical barriers and social networks in the area. The consensus reached is that there must be a Master Plan - to be produced and implemented by State agencies - which will take care of infrastructure connections like road networks, water, sewerage, electricity and the like. Then, when they are ready to do so, small clusters can plug into the Master Plan with community upgrading proposals.

## Planned Activities

There are three sets of activities that are planned: 1) building community capacity, 2) providing professional support, and 3) searching for alternative developmental models. Building community capacity is crucial to enabling groups in Dharavi to understand and explore the different options available, such as the terms of the use of FSI, building height limits, the legal status of small industries, the various entitlements (or the lack of them) promised to different categories of occupants - including owners of structures, renters and those who do not meet the eligibility cut off date of January 1<sup>st</sup> 1995. It will be necessary to hire staff and encourage volunteers to network with the communities even as they raise awareness regarding the various options that are possible in the redevelopment of Dharavi. The second set of activities has to do with enabling professionals from KRVI and other institutions to work with community groups. Together, they can jointly collect data, analyze it and discuss the pros and cons of different alternatives along the dimensions of technical, financial and social viability. Often, professionals tend to look down upon community representatives, and they in turn may distrust them or have a sense of inferiority. It will be necessary to facilitate a positive and participatory working environment. The third set of activities is to support the Committee of Experts in its efforts to remove the flaws in the existing plan and to offer advice on the formulation of an alternative. Interacting regularly with government authorities to explain the CoE point of view is an important part of this effort. Work is at an advanced stage on preparing an alternative plan for one sector of Dharavi. Most data has been collected and is now being cross-checked and verified. Outlines of new road networks are being prepared, detailed technical and financial calculations are underway and it is expected that this work will be completed in 3 to 6 months time.

**The Outcome We Seek** The outcome sought is the creation of consensus around a plan to redevelop Dharavi in a manner which meets the aspirations of the residents of Dharavi; which is technically and financially viable; and which works for the city of Mumbai and is acceptable to the relevant authorities.



# Creating innovative governance structures in slums



building No.10 of Lallubhai compound, a married woman with her two children was often beaten by her husband and was ill-treated by her mother-in-law. She never complained about all this to her parents due to their poor and bad economic condition. One night since there was no food in the house, she went out to buy bread with her husband's permission. On returning without bread, she was badly beaten up by her husband and was made to sleep hungry. The next day she went back to her parents' house and narrated the whole story. Her parents approached the police panchayat for help who in turn asked her husband to come and meet them. He refused thrice and then was threatened that if he doesn't come, the team of police panchayat would come to his house. With great effort he met them but was not convinced to take his wife back but wanted a divorce from her.

The PP thought of teaching him a lesson and asked the girl's mother to inform them whenever he comes to meet his wife or children. Suddenly after weeks when he did arrive at his in-laws' place, they immediately informed the police panchayat and they said unless you come and meet us you will not be allowed to meet your family.

A meeting between him, his wife and in-laws was held wherein he was made to understand the importance of being in a family and that he shouldn't ill-treat his wife. He admitted that he was wrong and was ready to take his wife and children back.

The role of Police Panchayat here was to first be soft and tackle the situation calmly but when things didn't work out, they even go out of their way to solve cases. Panchayat takes the initiative of first deeply understanding the case and then with the collective decision of their team takes actions against the culprit.

Initially the police Panchayats start with simple cases, like family disputes. Both parties are called for a meeting; complaints are noted in a register; and through discussions and dialogue a solution acceptable to both is agreed and signed off.

Gradually, as the Panchayats begin gaining confidence in solving small cases they also began to solve Dowry cases, Divorce cases, illicit liquor cases, robbery cases and even court cases. As more and more social matters get addressed in the neighborhoods the police start focusing on more serious crimes and law and order.

"Police stations have seen a 25 to 40 per cent decline in the number of non-cognizable offences in areas where panchayats work efficiently," said retired DIG Maharashtra, A N Roy

Mahila Milan has delivered this message not only in Maharashtra, but also started working with other countries like Tanzania in Dare-Salam and in 2011 initiated possible strategy for Delhi. Whether for Indian and international cities, the police and community are invited for an exchange to Bombay to meet their counterparts and explore the process and if they like the possibilities then encouraged to initiate this in their own city.

Cases solved by Mumbai Police Panchayat				
Zones	Family Matters	Property Matters	Criminal Matters	
5	181	69	187	
6	53	11	15	
7	3	0	11	
8	5	1	2	
9	28	3	10	
<b>Total</b>	<b>5</b>	<b>270</b>	<b>84</b>	<b>225</b>

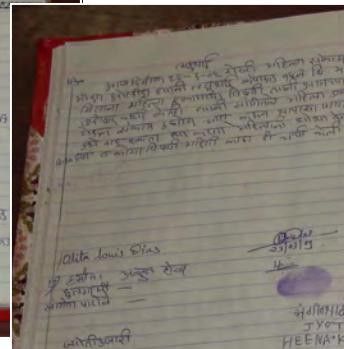
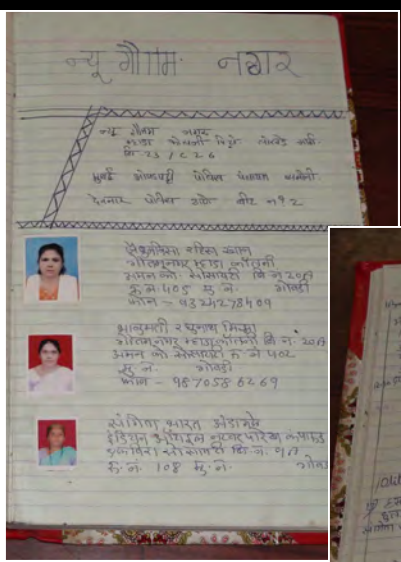


Sometimes a community center on top of a toilet is also the location for the Police Panchayat. Communities are encouraged to make multiple uses of all the collective spaces they have and making the toilet a location for the Panchayat to meet also makes it's a symbol of safety and security.

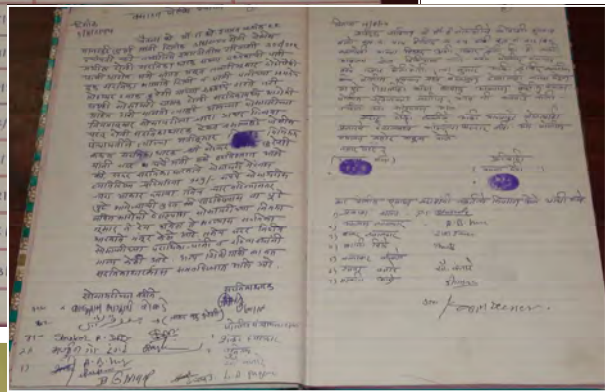


# Police Panchayats: safety and security

The term Panchayat is the traditional village governance concept where five chosen leaders in the village address a range of village governance issues. Over the years, this term Panchayat has been used to deal with rural governance, where by the 73<sup>rd</sup> amendment to the constitution, the Panchayati Raj Bill, now has elected representatives from the village to manage it. So it also happens that citizen collectives in urban areas especially Mumbai and Pune had linked the



क्र.सं.	वार्ड क्र.सं.	वार्ड
1	37/310	बी० इन्डियन स्ट्रीट रत्नाकर
2	37/315	बी०बी०-भाऊजी रविचंद्र भांडे
3	37/316	बी०बी०-उस्ताद गिददार रंजित
4	37/317	बी०बी०-रुक्मी अशोक रंगरे
5	37/318	बी०बी०-सुखेसा ज्योतर रंगत
6	37/319	बी०बी०-त्रिमिता राजार रंगत
7	37/320	बी०-बाळासाहेब गोविंद रंगे



In Gautam Nagar, one of the relocated sites at Mankhurd; an old lady living with her daughter wanted to rent her house as she wanted money for her daughters illness. She went through a middleman who cheated both the owner as well as the tenant of money and ran away. Once the 11 month agreement of giving her house on rent was over, the old lady was refused by saying that he paid extra Rs.1 lakh to get an extension. The owner unaware of this went to the Police Panchayat for help. In the mean time, the tenant approached the media trying to threaten Police Panchayat. The PP committee had to involve a senior police officer Mr. Bhalerao, and had meetings with the tenant and the owner to listen to both the parties. Later on the media was also involved and got introduced to Police Panchayat. With lot of discussions the case was solved and keys were handed over to the owner of the house. Mahila Milan also mentioned that as part of role it is our duty to see that no tenant take over possession of house from the actual homeowners thus one of their goals is to not allow owners rent their homes.

term Panchayat to Police Panchayat which seeks to develop a citizen collective which draws in the city police to deal with day to day conflicts in slums and informal settlements.

Police Panchayats are a decentralized network of community representatives that work with the city police. They meet routinely in a publicly known space and give advice or listen to complaints that individuals, neighborhoods may have against others, dealing with small disputes, quarrels between husband-wife and small children or even youths, etc and providing a bridge between police and the poor. The Panchayat comprises of 10 community members nominated by a neighborhood of which 7 are women and three and men, and a local policeman from the nearby police station for a 11 member team of the Panchayat.

The purpose of starting Panchayats emerged from the realization that the city police do not have enough police to cover all slums, and often the quarrels and complains from slums are such that they need social rather than police interventions. Apart from that slum dwellers have many reasons to fear police whose relationship with them has been at best difficult. NSDF and MM along with the Police Commissioner seek to develop these Panchayats with the multiple purpose of seeking to provide assistance and support for community members addressing as many complains and conflicts through social interventions, but also facilitating those issues that cannot be resolved at community level to be registered as FIRs at police station. Conversely the police can also seek assistance from the Panchayats to make inquiries into slums and examine ways to deal with cases that are registered by the police stations.

When Panchayats work well apart from complaints they are consulted by local households and individuals before a marriage alliance is fixed, or before renting a shop. Members are even invited to festivals, irrespective of their religion. The coming of slum Panchayats is slowly changing the perception of police as oppressors. People are now beginning to report things to police that they would have never done before, like a young girl hanging herself or a body that was discovered by kids while playing. Sub inspector B N Panpatte of Trombay police station recalls a double murder case last year. He could find no clues. Abbas, a Panchayat member, then tipped him off on the sudden absence of two of his acquaintances, who were hoteliers. They were traced and found guilty.



# Slum Sanitation Challenges

## Lack of toilets costs India \$54 b: Study

Agence France-Presse

New Delhi, Dec. 21

Lack of toilets and other proper sanitation facilities costs India nearly \$54 billion a year, a World Bank study has found, mainly through premature deaths, especially of young children.

Asia's third-largest economy loses \$53.8 billion or 6.4 per cent of its gross domestic product through hygiene-related illnesses, lost productivity and other factors stemming from poor sanitation, according to the World Bank.

"For decades we have been aware of the significant health impacts of inadequate sanitation in India," said Christopher Juan Costain, leader for the World Bank's South Asia Water and Sanitation Program.

"This report quantifies the economic losses to India, and shows that children and poor households bear the brunt of poor sanitation," he said in remarks posted on the group's Web site.

The lack of proper sanitation

creates major health risks, raising the threat of potentially fatal illnesses such as typhoid and malaria.

The study in East Asia showed annual per person losses from poor sanitation in the range of \$9.3 in Vietnam, to \$16.8 in the Philippines, \$28.6 in Indonesia to a high of \$32.4 in Cambodia, said Costain.

"In contrast, India lost \$48 on a per capita basis, showing the urgency with which India needs to improve sanitation," he said.

Earlier this year, a UN study found far more people in India have access to a mobile phone than to a toilet.

The World Bank report said early deaths and other health-related impacts of inadequate sanitation such as cost of treatment for illnesses such as diarrhoea, malaria and intestinal worms, cost India \$38.5 billion.

This was followed by productive time lost, as people seek out proper sanitation facilities or places to defecate, at \$10.7 billion.

The main focus is to create a separation of habitat from feces, then its safe disposal where communities are involved in the process.

The MDG that have not even come near its target is sanitation. Separating fecal matter from human habitats is a social, economic and political issue.

It was only in 2009 that finally India got a cabinet approval for a National sanitation policy that sought to demand that cities prepare a sanitation plan to cover all its inhabitants.

The campaign to create open defecation areas in rural India have been more successful than in cities, because strategies for collective and individual behavior change have been successful in changing defecation habits.

In urban areas however, the attitude of city and its administration on the one hand and dense slums on the other where homes are often small make putting a toilet in the home very difficult.

There is a huge backlog of informal settlements where there is no place to defecate for the poor. Lack of adequate water, disposal of fecal matter where there are no sewers and treatment facilities. Many land owners are not giving permission to provide sanitation to slum dwellers even though cities can do so in the pursuit of overall health requirements.

**BUT MOST IMPORTANT IN THE REALITY THAT THE CITY DOES NOT WANT TO GIVE THE POOR SANITATION .**

Exploring individual sanitation options through provision of loans through Mahila Milan savings groups

### WHY FOCUS ON COMMUNITY SANITATION FACILITIES?

In the alliance, we look pragmatically at the choices that we have. In dense slums with very little spaces within homes (less than 20 sq meters), and no means to dispose collected fecal matter safely, community toilet blocks even with a septic tank are better than nothing. When cities have meager budgets the challenge is to reach out to as many as possible and community blocks provide that opportunity. Most importantly we also see the management of the maintenance as a litmus test towards capacity development in the locality to be organized. Bad maintenance demonstrates intrusion from the outside to destroy local capacity to manage sanitation, which the alliance hopes will gradually lead the committees to undertake other activities for their neighborhoods.

### WHAT ABOUT INDIVIDUAL TOILETS?

Where there is space, and cities permit it, the alliance supports strategies to get individual toilets. In a recent initiative, communities have sought loans for constructing toilets for themselves. This loan is given through the local savings group and returned back through them.

In some instances, the towns provide a modest subsidy as well and community groups are encouraged to check with the municipal administration for such potential.



Two of the many women who stand proudly in front of their newly constructed toilet facility.



# Federation responses

The different projects during the scaling up

## PUNE: 1995-98

The Alliance began working in a significant way on community sanitation in slums of Pune with the Pune Municipal Corporation in 1999. Within a year, we constructed more than 10,000 seats in community toilet blocks benefiting at least 500,000 slum dwellers. This was the first time an Indian city achieved such scale in slum sanitation. Equally important was the mode of implementation: a precedent-setting partnership between the municipality, NGOs and community-based organizations. The Corporation provided land, capital costs, water and electricity, while NGOs and CBOs designed, constructed and maintained the community toilets. Traditionally, the government builds toilets without community participation, resulting in poor quality construction, a lack of water and electricity supply, and the absence of proper maintenance, setting off a wasteful cycle of demolition and reconstruction. We have seen substantial improvements in community-based sanitation and related policies and programs, and the program in Pune set an excellent precedent for success.

## NIRMAL MMR ABHIYAN:

Under the Nirmal Bharat Abhiyan toilet scheme of the central government, where the goal is to make Mumbai open-defecation free, SPARC was contracted to construct 367 toilet blocks in 10 ULBs. As of March 2011, 289 toilet blocks with a total of 5780 toilet seats have been constructed, though problems relating to land, CBOs, politicians were faced, the alliance has been successful in completing the project.

## MSDP in two stages

In the Mumbai Sewerage Disposal Project Phase II (MSDP) the Municipal Corporation of Greater Mumbai (MCGM) asked SPARC to construct 150 toilet blocks in the city. Of the 150, 37 toilet blocks have already been constructed and handed over; of the remainder, construction is in progress at 29 sites, and 16 sites have been cancelled due to certain problems relating to community discontent over the chosen tenders, land, and political issues. Work has not been started on 15 sites.



The toilet blocks constructed by the Alliance have special features which makes them different from the toilet blocks constructed by the municipality. First, there is community participation at every level - designing, constructing and maintenance. Second, the toilet block is ensured to be connected to the main sewer line with access to adequate water and electricity. Third, there are separate entrances and areas for men and women, and a separate squatting area for children. Fourth, a caretaker is appointed by the community to take care of the maintenance of the toilet block. Fifth, there is an overhead and if needed underground water tank. Finally, our model is much cheaper and more affordable for the community, as we have monthly family passes which cost Rs.20-25 per household, irrespective of the number of family members or the number of times they use it. In the past and in other toilet blocks, everyone had to pay per use and there was no family pass as such. This made the toilets expensive and at times unaffordable to the poor communities. Income is also generated from passers-by who pay per use, at a rate of Rs.1/use.



Family Id Card for using toilets managed by communities.

APSDF / SPARC Community Toilets Membership Card CARD No. 38 FAMILY DETAILS				
S.No.	Name of the Family Member	Age	Sex	
1	S. S. S. S. S.	37	F	
2	S. S. S. S. S.	37	M	
3	S. S. S. S. S.	12	M	
4	S. S. S. S. S.	13	M	
5	S. S. S. S. S.	13	M	
6	S. S. S. S. S.	13	M	
7	S. S. S. S. S.	13	M	
8	S. S. S. S. S.	13	M	
9	S. S. S. S. S.	13	M	

MUMBAI MAHANAGAR PALIKA Mumbai Sewerage Disposal Project SLUM SANITATION PROGRAMME Office of Community Based Organisation (C.B.O.)		TECHNICAL DETAILS	
Sr. No.	Particulars	Details	
1	Type of toilet blocks	a. Demolition and reconstruction b. Old toilet blocks	24 seats 36 seats
2	Total area of toilet blocks in sq. mtr	147.330	
3	Type of disposal system	a. septic tank	
4	Details of amenities provided	a. size of under ground tank 2.43 m x 3.6 m number 100 x 100 m	
	a. Water	a. size of overhead water tank 3.0 m x 3.0 m x 3.0 m number 100 x 100 m	
	b. Septic tank	Size of septic tank 1.5 m x 3.0 m x 3.0 m number 100 x 100 m	
5	Total cost of toilet block	Rs. 50,500.14	
	Name of construction agency/Contractor	MS. SPARC Surya Construction	

The detailed register with each cooperative developed for maintaining toilets



# Sanitation solutions explorations



All slums on central government lands don't have access to sanitation. The alliance along with many other organizations is seeking universal access to water and sanitation for all in urban areas as a integral part of RAY.

A crucial aspect of this is to seek compliance from all municipalities to ensure that water and sanitation access is assured while HUPA ensures that all landowners do not obstruct this process.

## Developing innovative strategies for design.

The strategy of seeking design assistance from Architect Rahul Mehrotra is to examine ways to define some elements of the project in a way that will improve some of the strategies by which the project can use while scaling up.



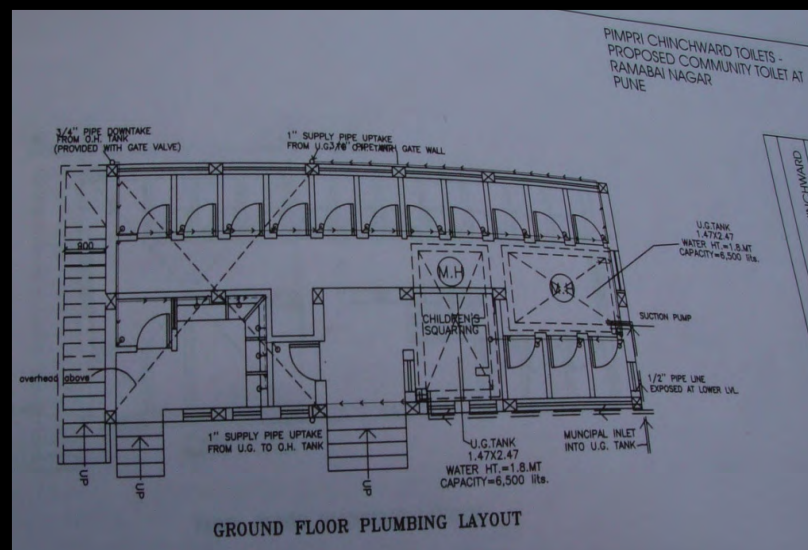
## Ongoing alliances Sanitation work

### MMR Sanitation

Work order received -588  
 Work order cancelled -180  
 Total blocks to be constructed - 396  
 Total blocks constructed -289

### MSDP II

Work order received -97  
 Work order cancelled -16  
 Work not started -15  
 Total blocks constructed -37  
 Total under construction -29





# Community Sanitation delivery

Started when the pavement dwellers wanted to design their settlements

Why community toilets and the logic of making this the dominant choice



The toilets have to have the following features:

- Equal but separate toilet sections for men women and children
- Adequate water access to electricity
- A space for the toilet caretaker and his family
- A community space of it fits in the budget

The city average usage is 50 persons per seat. This puts a lot of pressure on maintenance and unrealistic pressure on access to water and septic tanks.

## Challenges and risk management

Although the MMR and MSDP were planned to be completed in 2 -3 years, its progress is delayed due to reasons which are common to both projects—

- Land ownership issues
- Resistance from the communities and local politicians to explore new possibilities
- Delayed payments from the Municipality
- Formation of CBOs resisted by competing sections
- Community participation from below suppressed
- Unapproachable sites
- Supplying water and electricity in the toilet blocks
- Non-availability of alternate arrangements
- Lack of space to construct toilet blocks due to overcrowding
- Sites reserved for Metro Rail/SRA projects

The reality is that over 400 crores needs to be spent in Mumbai alone to ensure universal access to toilets, however the situation in two thirds of the area is that the spaces don't exist to construct toilets and in many places there will be many laws that will not permit it. The irony is that people continue to have no choice but to live there



In Most cities, community sanitation blocks have a life of 3-5 years. The life of the blocks is now expected to be between 15-25 years.





# Events and Conferences



A panel discussion at the 361 degrees conference addressing issues of Dharavi as well as about housing in Mumbai

There have been many events this year when the visitors have been drawn into Dharavi since the events of residents of Dharavi seeking redevelopment that works for them has generated a great deal of national and international attention

This process usually consists of a overall presentation and then a visit around some neighborhood to meet residents and look at the manner in which homes and livelihood intertwine in Dharavi



## Speaking about Women and Health at University of Pennsylvania:

In a presentation called Victims or Warriors the alliance presentation interpreted implications of slum dwellers especially women being organized and working on their habitat and basic amenities and its implications on health. Professionals from various field all sought to address the health challenges within their context and looking at social determinants of health.

The papers will be published as a book by the program organizers

## UDRI Workshop - 'Negotiating Urban Form in Mumbai' 25<sup>th</sup> February 2011

The alliance presentation sought to illustrate that the only way the poor get access to the city is to squat or to negotiate with illegal squatters and get the right to live in the neighbourhood.

Others discussed issues of planning and city on a range of other issues.



# Visitors and Volunteers & Interns



One of the most visited locations in Mumbai along with Pavement dwellers in Byculla, and Dharavi are the households relocated by RSD from the railway track.

International, national and local visitors get the journey of how the communities undertook the survey, created identity cards, located places they wanted to move to and how after relocation have created cooperative societies and manage their buildings.

All federation members see this process as having two way benefits. By sharing what they have done, the constant reminder of the amazing process they have been part of they keep the process alive and more and more leaders articulate their story.

Once the visitors realize what communicators can do, they begin to consider possibilities of designing solutions differently.

The more this process gets legitimated the greater the chances are of creating projects that allow communities to design and develop the processes.

The city and government in India also get reminded about this process because often with changes in administrators and politicians, major breakthroughs get forgotten. Visitors remarking about their experiences to officials remind them about the remarkable processes that occurred in their city.

**Visitors from NEPAL:** GTZ Lumanti and communities come to visit Mumbai to look at relocation.

BRAC, Bangladesh, came to learn and understand how the Alliance works with the urban poor.

Delhi Development Authority on a learning exchange in order to try and implement a slum upgrading project with Micro Home Solutions.

Mahila Housing Sewa Trust, Ahmadabad visited the Alliance in Mumbai and Pune to learn about different housing projects, strategies adopted to obtain land ownership, community involvement and how the savings and credit system works with the urban poor.

**Educational institutions visiting SPARC**

GTZ summer school, participants with urban planning, public policy, architecture, social work background visited Dharavi to understand the political context of re-development.



Melbourne law school with students come to SPARC to know about the work and the urban issues facing the urban poor.

Columbia University visited the Alliance housing projects at Dharavi

Harvard Business School to work on the business angle of a project which is currently underway between the Harvard Graduate School of Design and the Mumbai Port Trust.

Ashoka Foundation visits to explore the kind of work we take up under construction and have plans to produce a document about innovative practices across the world

**National Geographic Research Team** a team from the Board of National Geographic and the Committee of Research and Exploration Experts at National Geographic came to Dharavi, to learn about the Alliance's work there and see the community firsthand.

**Visitors from BHUJ, Kutch, Gujarat**

The slum dwellers and technical professionals working with them came to see the work of the alliance on land tenure and services and now are in regular dialogue with the alliance



**Some Interns and volunteers this year**

**Andria P.Ellis** from the University of the Pacific School of Engineering and Computer Science

**Ankita Suthar, Prageeja K, Sarbeshwar Paharaj, and Mansi Mohanty** from CEPT University, Ahmadabad worked with federations in the Summer for their placements

**Liz Kalina**, Yale University

**Nataya Friedman**, Columbia University

Alyssa and Avery worked on many projects with the staff of SPARC and federations



The Filipino federation is also undertaking housing construction and has an ongoing exchange with India to learn from the process. Here the group of young professionals spent a week in Mumbai and Pune to observe and share what each group was doing.

Since they were also going to embark of a multi city survey of households in slums, the exchange was timely and useful to both country federations



The Pune BSUP project visitors meet the corporator who supports this process.



# Alliance Planning Monitoring and Learning



Commitments made by NSDF and MM cities during the National Convention held in Mumbai in 2011

## Maharashtra

### Pune

1. 750 houses to be completed under BSUP
2. New Shanti Nagar to be completed
3. relocation of 2500 houses at Hadapsar Warje (6000 units have been constructed)
4. Strengthen federation to expand to 100 leaders
5. 35 new villages are included and we will work with them
6. work on livelihood improvements for slum dwellers with Pune municipal corporation

### Mumbai-Dharavi

1. Share the Dharavi redevelopment with others
2. Others should help out

### Pavement Dwellers

1. Relocate pavement dwellers
2. Work on sanitation in Mumbai
3. Those who are in buildings to stop them from selling and renting out flats
4. Support registration and help federations on relocation
5. Dialogue with the state

## Pimpri Chinchwad

1. 111 slums out of which 64 are legalized
2. Get other slums legalized
3. Survey to be done
4. House modeling
5. Learn from pune

### Nasik

1. Set up police Panchayat
2. Build toilets
3. Strengthen slum federation
4. Maintain relation with municipal corporation

### Ahmed Nagar

1. 600 houses to be constructed
2. Build a strong federation
3. Household survey
4. Need Pune and Mumbai support

### Malegaon

1. Build toilets in the city

### Bhadgaon

1. Toilets need to be built
2. 8 areas survey done
3. Inform about housing schemes

## Tamil Nadu

### Tiruvallam

1. Will link with NSDF and MM
2. We will make houses from state scheme
3. Want NSDF to stay in touch with us

### Thiruvanamalai

1. Work to build organization
2. Government schemes to get houses
3. Land which the state has we will get it to make houses for 150 houses
4. Expand our work

### Chennai

1. Canal development and metro rail is creating demolition
2. Will copy north
3. Want NSDF and SPARC to work with us
4. Will link with NSDF and MM
5. We will make houses from the state scheme
6. Want NSDF to stay in touch with us

### Trichi

1. Improve loan repayments
2. Build toilets
3. Want people to come to Tamil Nadu.
4. expand mm groups

## Karnataka

### Bangalore

1. 138 slums from 1053 slums/543
2. GIS mapping of 332 slums done, will finish rest
3. Work with all authorities to work for upgrading
4. Will assist Tamil Nadu for GIS

### Mysore

1. Discuss setting federation
2. 15 slums to work on housing and sanitation
3. Send money for this work

### Mandya

1. 63 slums to work about nsdf and savings
2. Work on housing and toilets
3. Individual toilets
4. Survey of households and settlements



A participatory planning, monitoring and action cycle has been the manner in which the Alliance has evolved and grown. Community federations gather issues and possible activities from their base and these are discussed with SPARC, NSDF and Mahila Milan to form the basis of the three to five year plans on which financing is sought. Specific projects and processes are assisted, different levels of organizational reflections take place and these cycles continue. However, this entire process is informal, oral, ongoing and rarely seems to be completely documented for external consumption. Often as a result there can be a perception that it does not exist, or that it is not adequate. Much of this perception stems from the general reality created by NGOs who document to produce evidence of their existence. However, the outcomes demonstrated to have been achieved by the Alliance contradict this position and demonstrate that there is a robust process in place which does not want to be accountable all the time externally for its learning capacity building and strategy formulation. Conventional evaluations by grant makers have, by and large, been unsatisfactory and have not contributed to improved insights or refining learning processes. Instead, we have been subjected to the biases and assumptions of evaluators that contradict what community processes seek to do and cannot see value in community driven processes.

In more recent years the general field of monitoring and evaluation has been reflecting on its processes and the Alliance has engaged in many of these discussions and debates. Within this exploratory framework, reflections on how these processes work when driven by communities has led to a much healthier interaction about sharing insights strategies and adding value through joint exchange, leading through our engagement with SDI to exploring the LME processes. It begins with accepting that such processes continue, but then how to share them with external actors who want to support and learn with communities and how to use the engagement to deepen the federation's understanding of the changing developmental world globally and locally so they can position themselves better. This process has begun this year and will continue in the next three years.

The NSDF MM affiliates from different states and cities understood while sharing their activities of the previous years, that reflecting on their own experiences, and listening to what others were doing helped them widen possibilities to exploring what they could take up next year.

When choices to decide what to do next year had to be made, they had to be linked to what was happening outside in the policy and government domain. How to understand what was happening, how to anticipate what they would find useful and how to link to that constituted the plans they needed to make.

This cycle of reflections, assessments and planning was something they had been doing in their annual and regional meeting, now it was more organized.

## Pondicherry

1. MM savings to be increased
2. Housing schemes to work for federations
3. MM get educational opportunities
4. RAY engagements
5. Exchanges
6. Survey and enumerations

## Orissa

### Puri

1. 164 houses to be constructed
2. Work with all slums in the city
3. Want to build 2 community centers
4. Start explore doing more houses
5. Survey all slums
6. Authorize all slums

### Bhubaneswar

1. 1500 houses to be done
2. Survey of the beneficiaries
3. Make slums authorized
4. Train the leaders to push for 1000
5. Toilet construction
6. Improve documentation

### Cuttack

1. Sanitation projects
2. 1025 houses to be constructed on land given for households along the river
3. 340 areas household survey
4. GIS slum profiles /50 slums left

### Paradeep

1. Surveys to be done
2. 20 houses to be constructed

## Gujarat

### Surat

1. Want help from sparac and NSDF to speak to the city federation
2. Have not been able to get a transit camp done in the year
3. What about sanitation
4. Why is the survey taking time
5. Seek for transit housing
6. Survey slums in Surat and Baroda
7. RAY engagement

### Ahmadabad

1. Need a strong organization
2. Communication with commissioner
3. Slum exposure from pune
4. Will construct 2 toilet blocks
5. 100 houses to be built at the same space
6. Those who have had demolished will get 200 transit houses
7. 2 sanitation units to be constructed

## Uttar Pradesh

### Kanpur

1. Pune exchange
2. Explore building houses
3. Explore government schemes
4. Need assistance to facilitate the exchanges
5. Conduct a state meeting in Kanpur

### Delhi

1. Build toilets
2. 8 savings groups to get housing
3. Worried about the demolitions



# Slum Dwellers International : News and activities.

**Influencing international organizations to develop city community partnership:**

**Working in multi city projects in Uganda and Ghana:** Cities Alliance and SDI have worked together to get resources from the Bill & Melinda Gates Foundation which will help SDI build capacity and skills of communities and cities to undertake a city wide slum survey and map amenities, tenure and develop a joint strategy to upgrade all informal settlements.

**Harare in Zimbabwe and Lilongwe in Malawi** have MOUs with their cities to similarly undertake joint responsibility to work on issues for slums and their upgrading. All SDI federation leaders support this process and build local capacities to undertake the activities. Exchanges, pilot projects and women's savings groups are processes which deepen and sustain the federating process and build confidence in the city to engage the urban poor.

The **URBAN POOR FUND INTERNATIONAL** set up by SDI also assists national federations to explore potential of communities designing and undertaking construction. The Board of Governors of UPFI are ministers from countries of the SDI affiliates and learn along with slum dwellers how to develop a more sustained relationship with the communities in their countries and engage other ministers to undertake these sorts of activities.

**Taking railway linked project experience from India to Kenya and Uganda:** Having seen how communities can drive relocation, the Kenyan and Uganda federations have sought to engage the World Bank offices in their countries and SDI has helped engage the headquarters to learn from the MUTP II project in India and have railways work with communities to undertake these types of processes in their countries.

**Engagement with UNDP:** UNDP having invited an SDI member on its civil society advisory council now agrees to explore a deeper commitment to address urban poverty in its various programs.

**Exploring the creating of a network of global organizations working on issues of urban informality:** Slum dwellers working on Habitat (SDI and ACHR) and other organizations working on issues of waste recycling, vending working in homes have increasingly sought to develop a voice to represent themselves in the global stage.

**UNHABITAT:** Having a new Executive Director SDI awaits to examine the potential for working closer with UNHABITAT on issues of citywide upgrading, seeking alternatives to evictions and seeking global principles of how inclusive planning should be promoted to address the challenges poor face in cities.

**SDI signs MOU with Association of African Schools of Planning:** Starting with their experience in Nairobi and Cape town, SDI has initiated a strategy to facilitate schools of planning to link to various affiliates. Many affiliates have also explored linkages with other academia.



All federations affiliated with SDI now undertake enumerations, and communities check their names and data before it gets compiled for public scrutiny. This instance is Kenyan federations undertaking this process



The NSDF and MM hosted a workshop of 8 countries that are all working at developing citywide survey capacity in Mumbai and Pune. The discussions began with exchanges of how the process emerges in different countries, sharing how to learn from each others solutions.

During the visit to Pune, the project in Yerawada, which Pune Mahila Milan is undertaking, shared how the detailed survey mapping and group discussions helped them identify households who needed to get their homes redeveloped, and the documentation needed for the project was created from the survey.

In collaboration with IIED's Human settlement program, SDI plans to undertake a documentation sharing these experiences in the 2012 journal of "Environment and Urbanization".

Federation leaders from India who participated, shared their present challenge of being able to get recognition from the city to undertake these surveys instead of the professional outsider; of creating a digital data base over which they had control.





# SDI : some engagements involving the Indian alliance

April 2010 to Feb 2011: creating a learning Monitoring and evaluation framework for SDI

In a process that began in April 2010, in Nairobi, SDI and its affiliates combined their past systems of learning from each other and reflecting and planning together into a strategy which systematized and articulated this process in ways that others who had not participated in exchange events within the SDI process and those who were outside it could understand and know about these processes.

It was also seen as a vital aspect foundational to evaluations which donors or outsiders may consider undertaking, could utilize as well.

In a meeting in Mumbai those who had undertaken these processes at national levels shared it and developed a strategy for the next three years



January 2011: taking the house model exhibition to Seattle for the annual Gate meeting

The Bill and Melinda Gates Foundation invited SDI to attend the annual meeting in Seattle during which SDI put up a Model of a pavement house in its actual size for the staff of the foundation to get a sense of the dimensions within which families of 7-10 people live on the streets of Mumbai. The walls were made with actual photos taken of a real house inside and outside and really shocked the viewers .

Linking to other global informal networks of the urban poor



Nov 2010 Meeting with Donors Ministers and evaluators in Namibia

The Government of Namibia and the Namibian Federation Hosted SDI and its grant makers for a event in which Ministers of several African countries, municipal officials and community leaders joined for a wide range of activities and programmes.

Evaluators of the SDI processes presented their findings to sdi and grant makers.

Everyone visited the government's settlement upgrading program in which federations play a vital role of organizing communities. The visits also included meetings with the Namibian homeless peoples federation.

A two day workshop with all participants brought various issues and strategies undertaken to show case potential partnerships in countries.

SDI board and council met to reflect on the proceedings and to conduct SDI program planning and review.

November 2010 Cities Alliance annual meeting in Mexico

Soon after that a three member delegation represented SDI at the Cities Alliance annual meeting in Mexico.

The meeting also provided opportunities to have discussions with various mayors and officials who had come for the UCLG meeting that was the main event which had bought most of the CG members of CA to meet as well.

An exchange from South Africa visited Mumbai to understand how a wide range of habitat upgrading and relocation is undertaken through negotiations between federations and city officials.



Jan 11: Presenting SDI perspective and evaluators conference in Hague, Netherlands.

In a event arranged on the invitation of Irene Gudjt, where evaluators had their meetings, SDI presented its challenges in being evaluated as a projects when it sought to create a social movement to change the politics of habitat and the urban poor. Issues around evaluation for what purpose and to serve whose learning needs were discussed at length. It was useful for SDI to learn about global trends that sought evaluations more to justify audit needs of large organizations and the attempt to distance evaluators to make them objective.

SDI participates in preparing for a Exhibition through intros from Rockefeller Foundation

Through a connection created by the Rockefeller Foundation, SDI and some of the networks of Informal livelihoods are pooling artifacts about their processes, videos and photos to be exhibited at an event which will be inaugurated at the UN in October 2011.

Cynthia E. Smith Curator, Socially Responsible Design, Cooper-Hewitt, National Design Museum, 2 East 91St, NY, NY 10128, 212.849.8464

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SDI has a continuous stream of activities going on somewhere amongst all its affiliates.

In this report we just share some highlights from events the Indian alliance participated in. for more information visit website of SDI : the [www.sdi.org](http://www.sdi.org)



# about the alliance

Since 1984, SPARC has been working on issues of urban housing and infrastructure in partnership with two community-based organizations, the **National Slum Dwellers Federation** and **Mahila Milan**. Together, they are known as the **Alliance**. A junior Partner in the alliance is **Sadaak Chaap** that seeks to support street boys access night shelter and a safe passage to adulthood. In 1998, SPARC and NSDF/Mahila Milan created **SSNS** ( SPARC Samudaya Nirman Sahayak to take on construction activity which federation members sought to take up. Today, the Alliance works to produce collective solutions for affordable housing and sanitation in over 70 cities in India. The Indian Alliance is also a founding member of **Slum/Shack Dwellers International**, a transnational network of the urban poor in over 30 countries that supports community federations affiliated to Slum//Shack Dwellers International (SDI) to share knowledge , assist each other and represent the interests of the urban poor globally.



The **National Slum Dwellers Federation** organizes communities living in informal urban settlements and mobilizes them to articulate demands, explore development strategies and negotiate with city authorities. Originally formed to fight evictions, NSDF has moved from a protest model to one that encourages poor people to see themselves as active partners in development.



**Mahila Milan**—“Women Together” in Hindi—is a decentralized, settlement-level network of poor women’s collectives that manage savings and credit activities, slum surveys and mapping, and housing and infrastructure projects. MM empowers women to become active leaders in community and urban development.



The **Society for the Promotion of Area Resource Centers (SPARC)** is one of the largest Indian NGOs working on housing and infrastructure issues for the urban poor. SPARC provides professional support to its grassroots partners in order to build their capacity to play a proactive role in developing solutions to urban poverty and creates links between the CBOs and formal



**SPARC SAMUDAYA NIRMAN SAHAYAK ( SSNS)** is a section 25 not for profit company managed by SPARC and NSDF and MM to support collective community driven construction of houses and amenities for the urban poor.

Thank You to our grant makers:

Misereor

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Homeless International

SDI

All material produced in this report is taken from various reports made to grant makers who support SPARC NSDF and MM.

All Photos come from an archive of SPARC in which many contributors who are from federations, from visitors who share their photos with us, and photos taken from video documentations we undertake.

We are happy if you use them provided you acknowledge that they are from this report. Please contact us if you need more information about any of the issues or activities we have in this report.



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