SPARC

2012-13

Society for the Promotion of Area Resource Centers

Annual Report

Creating a Voice for the informal inhabitants of the city requires the creation of institutions they can own, through which they can create new knowledge, leadership that explores new possible solutions and a confidence to negotiate with those who traditionally make decisions in the city. The federation of NSDF and MM demonstrates possibility

SPARC
Society for the Promotion of Area Resource Centers. SPARC is a registered NGO as of 13 December 1984 and has 25 years of experience till date in mobilizing the urban poor to gain access to basic facilities.

NSDF & MM
SPARC began its work with Mumbai's pave-ment dwellers and in 1986 tied up with the National Slum Dwellers Federation (NSDF), a broad-based organization of the urban poor founded in the mid-1970s.

In partnership, SPARC and NSDF formed another community-based organization, the Mahila Milan (MM) (a decentralized network of poor women's collectives).

SSNS
Set up in 1998, SSNS undertakes/manages construction projects with the partnership of organized informal dwellers for affordable housing and sanitation.

SSNS collaborates with the following partners, based on whose recommendation projects are undertaken:

Note from the Director

In 2012-13 the alliance reaches three decades of unraveling a strategy to design, develop and demonstrate an emerging contribution by the urban poor towards building inclusive cities via developing representative organizations of the informal and urban poor, a seriously missing stakeholder, that needs to take on the challenge to move the urban poor from being consumers and beneficiaries to active stakeholders in development of cities of the present and future.

We see a crisis that global development actors (multilateral, bilateral national and grant makers) focusing on assessments of Millennium Development Goals face while examining what should be done post 2015 about climate change and its challenges and a host of other globally anticipated issues. Few have dug deep **into addressing the real challenges of urbanization... the** changing geography where these processes will unfold and the rising inequality between the rich and the poor. At the heart of all this future gazing is the reality that the global economic order has increased the divide between the rich and the poor. More poor people than ever before are moving to cities; and cities with their historical legal and planning infrastructure and legal framework continue to exclude and marginalize them.

India faces some of the most critical challenges of addressing poverty. It remains one of the many countries whose economic growth has yet to address the volume of poor in its urban and rural regions. Its definitions of what constitutes poverty in urban contexts defy common sense. While planning should anticipate developmental challenges, there is no clear strategy in place to address either the rapid urbanization the country is in the midst of or the increasing urbanization of poverty.

The most significant failure has been the complete lack of capacity within state governments and cities to utilize this opportunity to develop a new frame of

Some SPARC and SSNS Governing Board and staff members at a retreat to discuss the future of the alliance.

reference and governance to produce inclusive development. Money to plan and design projects is often hastily allocated, and most projects remain incomplete and funds remain unabsorbed.

This inability to use much required capital is a major indicator of a lack of capacity within the government to design and develop an overarching strategy within which projects become specific tools to demonstrate transformation. An inability to develop well formulated projects also reflects a readiness to claim money by state institutions without real systemic accountability to execute the projects. Almost all development linked investments of nation, state and city show unutilized budgets in sectors of health, education, welfare and slum development. This does end up reflecting on national commitments to address poverty.

The Basic Services for the Urban Poor (BSUP) program under Jawaharlal Nehru National Urban Renewal Mission (JnNURM) which is managed by Housing and Urban Poverty Alleviation (HUPA) a Ministry of the Government of India. This program directly impacts the urban poor on several counts; its focus on a housing subsidy which (even if it was fully utilized) would not have reached even 5% of the households living in slums in urban India remains only partially utilized. The projects were designed poorly and remain incomplete. Most tragic of all is the fact that insight and analysis of why things did not work are still not part of new investments in the 12th Five Year Plan of the government of India.

Many innovative safety nets developed for the rural poor for employment such as the National Rural Employment Guarantee (NREGA), Rural Heath Mission and others do not have an urban counterpart. In a country that is rapidly urbanizing these deficits in development planning and delivery continue to be neglected.

Seeking equity, inclusion and voice is a matter of demanding rights for the poor in cities. This remains a difficult and long term process. In the absence of a top down policy based commitment to be inclusive, it requires creating capacity and confidence amongst the poor. In turn this depends on developing their institutions which create robust organizations of their own to manage, to create knowledge, and to produce solidarity amongst the excluded. It also requires exploring solutions the poor can co-create to address their challenges and advocate them. These emerging organizational entities are required to deal with government institutions that have capacity issues themselves, as governance in cities remains a huge deficit. Since these processes take a long time, often decades, these institutions of the poor also have to have the ability to remain mobilized for ex-**tended periods of time while these engagements proceed at snail's** pace.

SPARC faces all the challenges that NGOs supporting social movements of the urban poor face in general. Having created a VOICE of the poor, the alliance is now expected to represent this stakeholder in events, meetings, workshops and conferences. However its ongoing pursuit to retain and grow the community organization process **has few investors or grant makers. The reigning mantra is "become entrepreneurs" "become self sufficient".**

We believe we are entrepreneurs, and communities have designed and executed many activities and projects and demonstrated their potential at scale. We have developed strategies that demonstrate new ways of dealing with issues that professionals and academics or the state have not been able to address. And while we will continue to pursue our commitment to deepen and strengthen community federations and make them as sustainable as possible, it is tragic that in an urbanizing world this process and its potential to demonstrate **new possibilities remain unrecognized for it's true contribution.**

Sheela Patel

Sheela Patel
Director SPARC

Annual reports are typically all about what the organizations did each year. The alliance, however, rarely has activities that are undertaken at an annual basis. Instead each Annual Report speaks of decadal commitments to produce strategies for secure habitat, about exploring innovations and precedents and developing them to scale and getting the state and city to buy into this strategy

About this report

Each year, the annual report details the important issues, explorations, activities and reflections that we undergo as an alliance. Since our projects are organic and usually progress for numerous years, the annual report does not specifically account for the achievements of this year but for what is ongoing. Thus, if we produce more succinct project reports, the background, history and the unique perspective underlying the activities are lost. The concise reports are limited to the grant givers and those who need specific project reports. For many specific issues we publish articles, upload material on blogs, publish a Citywatch India, and maintain the SPARC website.

By documenting the processes which have a fifteen to twenty year historical backdrop, we are able to ascertain the challenges, explore possible solutions and develop insights. Much of the logic behind our own actions emerges from these reflections and many strategies, actions and advocacy explorations emerge from this as well.

Our website, www.sparcindia.org, shows the evolution of our work. The annual report allows us to deepen our collective understanding of what we do and why we take up the issues, projects and activities; refresh our resolve to take the risks necessary to deal with uncertainties when we don't have clear solutions; bolster our belief that change is needed urgently and we need to explore how to create the paths for change

This report has three sections: movement building, acting for change, harvesting learning. Each section seeks to explore a different dimension of what the alliance strives to accomplish and how we can monitor and assess what we do next.

The first section, "MOVEMENT BUILDING" emphasis the most crucial part of our work which is to build, deepen and expand organized communities who participate collectively to produce the voice of the urban poor. Our aim is to develop the Federation model; its various rituals and knowledge creating mechanisms remain our most foundational commitment without which nothing we do is possible. The alliance constantly strives to strengthen the strategy by which the communities develop insights into developing solutions; strives to publicize the insights and solutions to large numbers of slum dwellers, thus granting them accessibility. Our commitment to build a space and voice for women within the leadership of slum dwellers is directly connected to the practice of forming savings groups that women nurture within slum communities and network them with other such groups to form Mahila Milan.

In 1986, we committed ourselves to developing alternative dwellings for the pavement dwellers. Between that year and now it has ebbed and flowed, sometimes creating policy, sometimes facilitating relocation; often hampered by long periods of inactivity when the government's recedes. In several processes, the momentum picked up this year through the collaboration with the Municipality in Mumbai. Again, this indicates a lot of activity that we have to be prepared to take on.

Embedded in these discussions is the issue of Rights and entitlements and the manner in which the communities, through NSDF and Mahila Milan have appropriated their RIGHT to seek a place and voice in cities. Their unique capacity to blend the needs and rights of the poor to produce strategies that both demand inclusion and demonstrate how they can co-produce these is at the center of this section. In the next section we share the various multiyear activities in Housing, Relocation of vulnerable households, sanitation, and other allied activities.

The second section "ACTING FOR CHANGE" underlines how advocacy and action go hand in hand. The logic of the NSDF and Mahila Milan leadership is clear and simple; it is as important to demonstrate solutions to their own constituency as it is to showcase them for the officials and politicians - "SEEING IS BELIEVEING". Communities usually align with the federation after they have exhausted all avenues towards change. The federation teaches the communities to exploring solutions; take risks to explore them knowing there will be some failures; and redifines what communities can do themselves or what they seek from the city to do for them.

The NSDF and Mahila Milan are increasingly taking more field based activities leaving SPARC the challenge of exploring new bridges to build between the state and the urban poor; exploring ways to address the concerns of the poor to the state. In recent years these issues are linked to how the poor view vulnerabilities and poverty and how these should be targeted. Climate change and exploring voice for the poor in national and global development debates are also emerging new areas to explore and incorporate in our ongoing activities.

The next section, "HARVESTING LEARNING" seeks to communicate our ongoing reflections about the challenges we face; how we reviewed what we did; and how we need to embrace change to ensure that we contribute to solutions and seek to impact future development of cities. Urban development is a emerging challenge for development; almost all its valuable lessons indicate that sustainable alternatives need decadal commitment to design and to produce change, something most developmental actors do not recognize.

As someone who proceeds to read this report, we seek your comments and suggestions, your commitment to make cities work for all, and your help to allow the voices of the poor and their organizations to be given recognition for their contribution and their need to be present in decision making to make cities safe and inclusive for all.

SPARC Society for the Promotion of Area Resource Centers

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Building capacity through exchanges, peer learning, enumerations, savings groups and precedent setting

Contracts from government to undertake community activities

Grants from local and international donors

Nurturing organizations of the poor to first focus on internal processes and strengthening internal governance is clearly non negotiable.

Building Capacity and confidence to develop their own institutions, explore internal governance and create trust to work together

1. If you want change in habitat organizing in small numbers does not work.
2. Exploring solutions for the bottom 30% is crucial

Creating the Institutions:
Area Resource Centers (ARC) assist federated communities to locate themselves in a physical location which SPARC finances but which the communities own. They meet each other, network with others whom they need to have meetings with, collect data and savings and link to each other.

Creating Knowledge and Practice that challenges state data and exploring new solutions

1. Get inspired that change can happen through peer exchanges
2. Learn to do surveys, manage savings groups

Developing systems and practices:
The capacity to undertake data collection about themselves and using it to identify issues to work on, produces agency and proactive explorations to develop strategies for themselves.
Managing savings and loans produces trust, builds leadership cadres and demonstrates internal governance and transparency. It especially builds women's collectives to participate in federations.

Facilitating negotiations to ensure that the poor design and execute solutions for themselves

1. Show Cities and Government what you know
2. Demonstrate what is possible through precedent setting
3. Explore projects to show scale is possible

Designing and setting precedents:
Whatever the poor need is rarely within the existing framework for development in cities. The state has shown no inclination to experiment or change this situation. Through precedents, the federations explore new possibilities, and demonstrate strategies through executing these to seek a change in norms, standards and policy.

Creating policy and changing norms and standards of how development gets delivered to the poor

1. Based on demonstration, change norms and standards at city level
2. Change procurements to allow communities to take on projects for their habitat
3. CHANGE POLICY

Demonstrating sustainability and managing challenges of scale:
India is a graveyard of pilot projects. Developing a new possibility is no longer good enough; it has to be robust enough to scale up and get adopted by main stream institutions. To do that it has to change policy, procurement practice and be financially viable. Federations seek to fulfill all these conditions.

"The Alliance is a laboratory for transforming how cities address issues of informality of habitat.
In development, where the scale of the challenge is huge, it is vital that every activity, whether experimental, exploratory or otherwise has to serve many ends. This process begins with identification of issues, creating an information base to develop priorities, designing and testing the strategy or solution, then building skill sets and capacity of federation members or slum communities to manage the process, for developing financial resources that can be blended to invest in the project, **and finally it's potential to impact city, state and national policy."**

- Sheela Patel

creating institutions and practice

EXCHANGES BETWEEN APRIL 2012-MARCH 2013		
S No	Exchanges	No. of Exchanges
1	City	27
2	State	4
3	National	3
4	International	5
	Total	39

State and National level exchanges were held between federations of Tamil Nadu, Karnataka and Pondicherry to strengthen the federation and Mahila Milan. Federation and MM members of Pune and Mumbai have been involved in exchanges at all levels.

Total Savings Groups		
States	2011-12	2012-13
Maharashtra	122	131
Tamil Nadu	319	319
Andhra Pradesh	83	84
Pondicherry	99	99
Gujarat	19	19
Orissa	151	157
Uttar Pradesh	38	38
Karnataka	95	120
Delhi	1	1
Total	927	967

MAHILA MILAN LOANS		
	Loan amount	Applicants in the group
Total	45500	19

RMK LOANS		
	Loan amount	Applicants in the group
Total	480000	65

Informal and urban poor communities are often locked in traditional identities emerging from language, religion, caste and geography in India. Based on these identities political parties also divide them while rarely contributing towards facilitating improved inclusion into city development processes. Often the nexus between political and administrative attention to slums leads to the vacuum being filled by a local leader; whose connections with the external world produces a strange combination of assistance to the residents without any real engagement with the city.

The federation process demands community groups to come under the *umbrella identity of the poor* in cities and to view this identity as one that seeks to help them develop a strategy to seek change. Maintaining federation systems and processes has to be like breathing - constant and undertaken in perpetuity. Investments in managing ARCs and facilitating learning exchanges have emerged as rituals that facilitate sustained mobilization, continuous networking, knowledge transfer, exploring relationships with other stakeholders in the city and exploring ways to develop new solutions to address challenges of being marginalized, invisible and excluded in cities.

Federation Rituals

1. Peer Exchanges
2. Survey and Enumerations
3. Women managed Savings and Loans
4. Precedent Setting
5. Negotiating with the State.

The processes mentioned above have emerged from exploring a wider range of activities and remain the major focus as they ensure the strength for sustaining the social movement of the poor. Eventually explorations developed jointly by community leaders and professionals are taken over by community leaders while the professionals back stop these activities through a range of processes.
The professionals assist by computerizing data, documenting processes, setting up and facilitating internal peer audits. In addition, professionals aid in building bridges with city officials and other stakeholders to initially recognize the processes and acknowledge the value of what organized communities of the poor can do; and over time, negotiating for contracting communities to undertake these activities wherever there are state projects.
Federations are built on volunteerism and about 98% of all processes emerge from the community. The remaining 2% processes and activities are financed from projects and grants which pay for modest fees for professionals. Either way, the community leaders give full time to the processes.

SPARC was founded to create this institutional architecture. Developing this alliance and the federation model of organizing has emerged from this collaboration.

the pavement dwellers of byculla

Highlights 2012-13:

The Milan Nagar community have finally secured housing. Originally, the Milan Nagar community had created the crucible of processes of survey, savings, designing solutions and negotiating with cities for joint execution of projects. Their strategy has helped numerous communities before it reached them. It remains the most valuable and symbolic aspect of how the alliance functions—to stay on course for however long it takes. It also demonstrates that firstly, RIGHTS have to be fought for and are **not "given" easily and secondly, rights based discourse and language does not start and end with shaming and blaming, and needs a much deeper transformation of 'victims', communities,** as well as the state. Much remains to be done and the Alliance, Milan Nagar and Pavement Dwellers Federation acknowledge Homeless International, Sida, Ford Foundation, Miserior, Cordaid, Rockefeller Foundation and Bill and Melinda Gates Foundation who have supported us and continue to support us.

Water Street, Byculla

Before and After

How the Alliance's History
has produced its strategies

In 1985, the Pavement Dwellers of Byculla, after facing mass evictions, demanded that SPARC work on their long-term housing issues. Their demands led to the creation of the participatory enumeration strategy (We the Invisible).

In 1986, NSDF joined the Alliance and walked Mahila Milan and SPARC through the process of building a collective capacity to demonstrate how pavement dwellers could demand secure tenure from the state. This culminated in a HOUSE MODEL Exhibition of homes designed by pavement dwellers. They also started savings and loan **processes managed by women's collectives that** are trained by the Mahila Milan.

Between 1987-2000, NSDF and Mahila Milan spread throughout India and also founded the Slum/Shack Dwellers International (SDI). Through the SDI, informal communities of the poor federated themselves across nations, undertook their own surveys, set up savings groups, explored solutions to their problems and negotiated with cities and states for secure tenure and basic amenities.

In 2000, Government of Maharashtra gave Byculla Mahila Milan a piece of land to construct their houses; the first building was completed in 2005.

In 2005, the pavement dwellers from Sophia Zubair Road and Dimtimkar Road moved to Milan Nagar. The state announced the Mahatma Gandhi Pad Path Kranti Yojana to relocate pavement dwellers to state owned tenements.

Between 2005-2011, over 5000 households living on pavements were relocated to tenements under the MUIP (Mumbai Urban Infrastructure Project). However, since the land on which three other buildings of Milan Nagar were to be built was occupied by households from another federation, the buildings could not be constructed.

In 2012-13, the Municipality of Mumbai agreed to give the other Milan Nagar households vacant tenements and move the residents from Milan Nagar land. The Alliance will construct the rest of the tenements and move other pavement dwellers into these homes as well as into other tenements jointly with the corporation.

THESE PROCESSES HAVE FACILITATED THE ALLIANCE AND THE SLUM DWELLERS INTERNATIONAL TO APPLY THESE STRATEGIES WITH OTHER SETS OF FEDERATIONS GLOBALLY.

02 building knowledge for change

HOUSEHOLD SURVEYS		
City	No of slums	Households Surveyed
Pune	15	652
Mumbai	35	1095
Mumbai	29	509
Mumbai	3	12
Mumbai	2	143
Pune	1	90
Orissa	3	935
Total	88	3436

In Mumbai, the household surveys were conducted for R&R projects: Tata Power, Metro Rail and MUTP. In Pune the surveys were conducted as part of the JNNURM-Relocation project at Warje and Rajeev Awas Yojana (RAY) Pilot project. In Odisha, household surveys were conducted under RAY.

Creating knowledge and producing change

The role of knowledge in any change process is significant. Rituals and practices can either reinforce existing behavior or it gets replaced by access to new knowledge and insights that change behavior to produce new practices, demands expectations and choices of actions. In the case of the poor, most of whom are first or second generation migrants, the hostility and marginalization they face from the formal city and its elite, reinforce their self images of being in perpetual servitude; survival in these situations often crushes aspirations of mobility and change. Yet cities and urbanization has the potential for transformation, new generations born in cities have different aspirations, many possibilities emerge and often opportunities are seized. It is from the deepest pain of evictions that the concept of the federations emerged.

SPARC conducts survey for Metro Rail III

SPARC was appointed by Rail India Technical and Economic Services (RITES) to prepare a survey report of SOCIAL IMPACT ASSESSMENT FOR PROPOSED METRO-RAIL III (COLABA-BANDRA-SEEPZ) in May 2012.
Since Mumbai is the financial capital of India, the phenomenal growth in population has produced a need for additional infrastructure to alleviate the growing traffic congestion. To this effect, in 2004, the Delhi Metro Rail Corporation (DMRC) prepared a Metro Master Plan for Mumbai which consisted of 145.6 km of new rail network. The plan is to be implemented in three phases in order to provide multimodal access to the CSIA airport and also to provide metro connectivity to/from major parts of the city.
SPARC has carried out socio-economic surveys at station locations along the alignment where **properties are likely to be acquired. SPARC's main** objectives in these surveys were to prepare a complete inventory of Project Affected Families/ people as well as to compile a socio-economic profile of these people through census socio-economic survey.

Enumeration: the right to research

Cities and identities in cities emerge from being "counted". The poor, especially those living in the slums are rarely adequately counted; even when they are counted, they seldom benefit from that exercise or have access to that list or use it in any way to seek identity in cities.

"Enumeration" in federation language means to count and survey yourself. Federations in India and SDI survey their settlements and their own community households and individuals in those households to produce data. The data first creates locational identity, gives their settlements **"names" they have given their neighborhoods', numbering their homes** and producing data about themselves on the basis of which they set their own priorities as well as have a dialogue with the state and city administrations.
Federations emerge from the first surveys that are often initiated by leaders from NSDF and MM who visit them. Once the first settlement successfully carries out the experience, they begin to assist others in the city to form federations , eventually creating a network of slums comprising in forming a city federation. A city federation can form links to other cities.

Evolution of enumeration and their assessments are seen in three stages:
1.   Enumerations to form identity and federate processes
2.   Enumerations to challenge state data
3.   Enumerations done by federations for city/state.

All surveys done by federations have to fulfill several criteria to create identity, to expand capacity to survey, and finally to legitimate data collected by the poor as essential to state planning and development delivery.

process
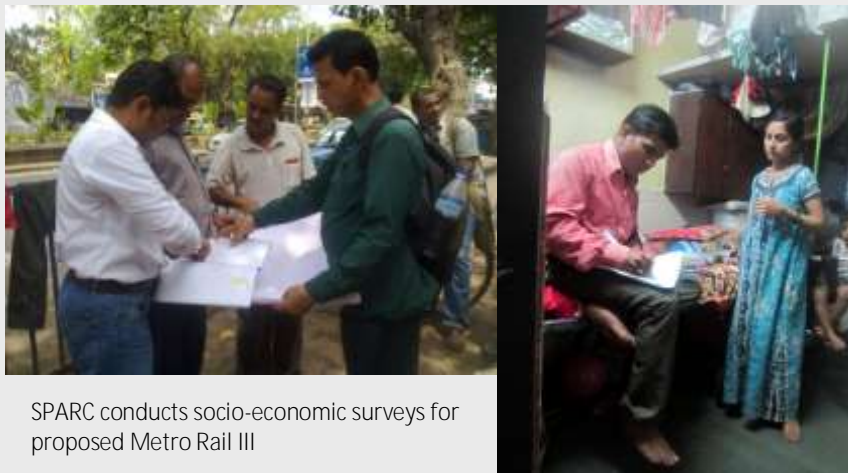
SPARC conducts socio-economic surveys for proposed Metro Rail III

Tools for Participation

Building of the concept of RIGHT TO RE-SEARCH, the Alliance has for many years shared its strategies with other federations who are affiliates of SDI.

Recently, through a collaboration of SDI and the Santa Fe Institute, SDI has begun to standardize and collate data about cities across its affiliates. Slum profiles of over 4,500 Indian settlements is part of that data base development.

In collaboration with Society for Participatory Research in Asia (PRIA), SPARC has developed a four module e-learning tool for those seeking to initiate enumerations in a participatory way. http://www.pria.org/about-pria/our-divisions/piall/piall-distance-education/overview-current-course-offers/appreciation-courses/participatory-enumeration-and-mapping

Academics and researchers have used action research, PRA (Participatory Rural Appraisal) and Participatory Research, to extract information creatively. Even though the academia have become analyzers and users of that information, they have failed to build capacity and have failed to transform how the poor could create and use this knowledge.

It is the mission of the Alliance to ensure that we engage academia and development institutions to change this process and to engage the poor as real partners for change.

Three forms of data collection:

Through enumerations:
1. Settlement profiles: Slum dwellers create a profile of their settlements and locate their settlements in a city map.
2. Household and Individual data: they collect\data about themselves at individual and household level.
3. Surveys about issues: e.g. sanitation, evictions, etc.

Management of data collected
1. Community keeps all data with them.
2. City level data collated and computerized centrally by SPARC and maintained in a data base.
3. Project linked data for design and monitoring longitudinal explorations to capture impact, access and change that is shared with the state.

How this data is used:
1. To share and exchange ideas and strategies by communities
2. To develop identity and documentation in city
3. To challenge how the state builds development investments based on their own data.
4. To challenge slum dwellers exclusion from research activities
5. To demonstrate the real meaning of participatory research

In 2012 SPARC and SDI edited a Journal of Environment and Urbanization on Enumeration.

SETTLEMENT PROFILES

Projects	Settlements Profiled
NSDF SP	5120
Sanitation Survey	1800
Other project Related	151
Total	7071

This table gives an overall picture of the settlement profiles conducted over a period of time under different projects. These were conducted in 56 cities.

02 equity within alliance for women

Creating equal space for women in the quest for secure tenure and identity in cities

In social movements, the challenge of creating space for women to be part of the process and aspire towards leadership is vital. Even though the NSDF had all male members, they realized early on that while men were good at short spurts of resistance, the quest for secure tenure and **identity was a marathon which needed women's participa**tion. In addition, secure tenure was linked to what women sought most. The Alliance seeks to build upon central participation of women whose leadership must be at the center of change and management of the organization. A vital element of this process has been to embrace and institutionalize how to bring women into the process and to build their capacity, confidence and self image to play these roles.

A focus on women for transformation

Social movements have to constantly gauge the voice, space and visibility they provide to women. In addition, it has to maintain an ongoing and wide spread assessment to keep examining challenges and constraints that keep cropping up in the larger social and cultural environment within which the social movements and community organizations function. Thus, the alliance has to keep track **of the community's internal governance structures and** community and household rituals that keep pushing women back into the margins while plying them with duties, obligations and responsibilities.

Equally, the alliance need to analyze and understand gender neutral policies within the community and gender blind policies that either make women invisible or that deprive them of the rights and entitlements they should get. Creating space for women to examine and explore these issues and make representations on their collective behalf is essential.

Creating role models, facilitating, mentoring, and building safe spaces for women and monitoring the renewal and expansion of this process across the urban organized communities is a commitment of SPARC, NSDF, and Mahila Milan. The most important parallel focus is to create space for men and women to work together to address poverty. Unless men change the manner in which they operate in public and private spaces there can be no change in the manner in which social movements can successfully produce the changes they seek.

process

Savings and loans managed by communities

The creation of savings groups amongst the slum community, starting with the poorest and most vulnerable, is a starting point of drawing women into the organizational and leadership process. The deep changes needed by community organizations and the social movements they facilitate have to become ritualized; only then the required outcome of keeping women at the center of the processes can be achieved.

Women collecting small change that remains at the end of the day is contradictory to the community's traditional leaders objective of keeping the women oppressed. Saving money, even in small amounts, allows vulnerable women to start getting financial literacy; they give loans to each other and make connections with all of the women in the neighborhoods. It is by linking their collective with networks of other women's collectives that Mahila Milan nurtures these women to begin to explore public spaces, visit municipal offices and assist communities with situations their male leaders were not able to address successfully.

On the one hand, the women's ability to recover public goods afforded to their neighborhoods, such as ration cards, hospital services and school admissions and on the other hand, to get the support of the Alliance in the face of evictions changes the way the community views the role of women. In addition, it enhances how their families view their participation and finally how they look at themselves. In turn, the Alliance supports and celebrates the transformation of families and communities. Mahila Milan and NSDF help women who are ready to take on city, state and national leadership to represent the slum communities at various levels.

How do women get chosen and their leadership developed?

1. Women self select the possibility of becoming leaders by volunteering to help conduct surveys and savings.
2. NSDF and MM play a critical role to create space and opportunities for them.
3. Their leadership levels evolve as they evolve.
4. Their exposure to possibilities also evolves as they move up the leadership ladder.
5. Their personal transformation creates space for changing self image, and images of them as seen by family and communities.
6. This entire process is non-formal but in its own way systematic.
7. Men and women in the Alliance seek collaboration for transformation and not competition between men and women.

Designing their homes is very close to every woman's heart. A federation ritual facilitates a process which begins with imagining a secure home, its layout its costing and finally to developing a "model" house to show city federations and government officials what they seek.

02 precedent setting for change

Precedent Setting and measuring risk sharing

Since development that is equitable does not happen automatically, there is a need for social movements seeking/demanding changes that fulfill the aspirations of the excluded. Different theories on how to bring about change sets off by analyzing the architecture of what maintains status quo; strategies for change seek to first explore how to bring about change to breach the walls that do not allow change. Many of these processes depend upon a range of variables. For the Alliance, the demands are focused on three things. Firstly, to demand that the nation state takes responsibility for the poor in urban areas, acknowledging and investing in their needs. Secondly, for social movements and organizations of the poor to stop being passive recipients of change and to participate in designing solutions. Thirdly, accepting that solutions don't become perfect at the first go and have to get refined and improved through multiple cycles.

What constitutes the steps in a negotiation for change

- *Locating the issues and activities that are not permitted yet the poor need to undertake them.*
- *If the people actually undertake an activity, what norms and policy obstructs it.*
- *What does it cost the city and the poor to do such an activity illegally.*
- *How can solutions demonstrate how changes in practice and policy make a big difference.*
- *Produce a solution in which there is a clear practical demonstration that invites the state, the community and professionals to view such solutions.*

EXAMPLE:
The poor in Mumbai and other cities have used stolen electricity *for which they have paid more than thrice what the companies charged its legally connected citizens.* The connections were denied because the slum dwellers were squatters. In 1987, for the first time, BEST (Bombay Electricity and Transport Company), owned and managed at that time by the Municipal Corporation of Mumbai, was presented with a study about how much it cost the city and the pavement dwellers for the stolen electricity. *In the precedent setting activity, pavement dwellers and Mahila Milan Byculla, installed meters and began to pay the utility for electricity usage.*

process

What Precedent Setting seeks to do

- Ideally, the new strategies demonstrated by the poor while undertaking a process is adopted by the state or the market. In reality demonstrations are often financed by a combination of grants from donors and communities of the poor.
- The money invested in the demonstration as and when it gets repaid, gets revolved to other precedent setting activities devised by the Alliance.
- Often the precedent setting activity needs to be demonstrated in different localities to assist the poor in different cities and different state governments.
- When the precedent setting activity gets into scale, other challenges emerage. Both city and community capacities have to be built and new systems have to be designed.
- Finally the process has to be mainstreamed and under-taken "routinely".

And there are scales for precedent setting too

- Experimenting with a possibility
- Demonstrating it works
- Scaling it beyond present numbers and location
- Supporting others (cities and communities) who under take the precedent setting activity.
- Post policy being framed, projects and programs undertake the precedent setting activity

A precedent setting activity is seen as a research and development crucible to find solutions that include the needs of the poor. Grant funds, we believe, are more than adequately leveraged when the precedent setting activity gets mainstreamed.

Types of precedent setting

Slum Census: started as an experiment, that is now financed in many states of India, for slum dwellers to undertake.

House Model Exhibitions: non-confirming designs that both slum dwellers and city agrees to emerge from these exhibitions.

14 feet house with a mezzanine: one of the outcomes of the house model process has been the mezzanine when the house spaces cannot be increased horizontally.

SRA Housing undertaken by slum dwellers: soon after the 1995 SRA Act by the government of Maharashtra the Alliance has demonstrated how communities could undertake the construction of housing.

BSUP Subsidy Housing: Under the JnNURM program, the Alliance has demonstrated the changes needed to make the investments work for the poor.

Community toilets: the design developed in the 1987 is now integrated in many cities to counter open defecation in cities and towns.

Relocation managed by communities: in situations where secure tenure cannot be accessed by communities they design alternatives.

03 negotiating for rights

Moving from evictions to secure tenure

1 Stop being victims and organize

2 Agree internally for priorities for change

3 Design and demonstrate alternatives

In cities the issues of address, identity and access to amenities are tightly connected. With city planning continuing to be exclusive, an increasing numbers of the poor live as squatters. While housing policy seeks to be inclusive, the governance structures do not enforce changes in planning norms that ensure legality of land for the poor who presently live in informal and illegal settlements, nor do cities have the possibility of developing such options for those who will need security of tenure in the future.

Despite making an international commitments not to undertake evictions without adequate relocation, cities continue to undertake demolitions as a routine activity. The demolitions have little impact since the slum dwellers usually return to their locations because they **don't no an alternative.**
Evictions deplete the assets of the slum dwellers since they lose work days and have to replenish materials and household goods that were confiscated.

The Alliance sees strengthening federation as a crucial strategy to transform the victims into potential designers of solutions that solve their security needs while helping the city to address its development needs within reasonable limits.
The federations seek to transform their own self image from being victims to being problem solvers; to develop collective strategies to change the manner in which they deal with cities and the informal institutions which took rents from them and created vote banks from their sense of insecurity and inability to interact with the city.

process

Three forms of evictions

It is empowering for a slum community, especially the women within the community, to be able to defend their own rights with the support their own network, professionals and others. Women have stories of anguish, despair and anger when their homes were destroyed and often saw members of the communities being taken away by the police for defending their homes.

Even though the courts have at times stopped or delayed the evictions, their role as interpreters of the law forces them to uphold evictions; the law is based **on defending the "development plan"** and the various acts that provide the governance architecture for city governance.

The Alliance has sought to design solutions and explore ways to have policies that facilitate ways by which security of tenure is possible in-situ for as many slums as possible. For those that are required to relocate because they live in hazardous places, (pavements, sea-side or river beds, railway tracks) should get alternative structures to relocate.

By getting organized and participating in the creation of a solution, federations assist communities to stay together and to undertake the journey for relocation. Relocating is a tough and difficult process that produces huge disruptions and setbacks and requires time to make it work for the households.

Yet given the context within which choices are made, federations seek to assist and support families to the extent they can; deepening and strengthening learning to improve and strengthen their strategies while seeking additional involvement and support by the city and government to make this transition work.

1 Age old: demolish and evict

2 Remove for public purpose (infrastructure)

3 Capital investments and gentrification

03 negotiating for rights of street kids

Governance and policing : the street children "Sadak Chaap"

1 Segmenting the homeless

2 Mahila Milan and the street children

3 Assist cases that go to the police station

The idea of federating or creating an identity is a clear and crucial element of our Alliance. Since 1987 UNICEF announced its campaign to work on issues of street children. NSDF was especially drawn to this as many of its leaders had themselves run away from home. In our internal reflections it was clear that young people who were with their families, however poor, were still more protected than young people who were alone and living on the street.

Girls were more vulnerable than boys and while both girls and boys faced sexual assaults, girls were often pushed quickly into prostitution. Police and welfare agencies had institutional solutions for girls (many of which have clearly failed to protect the girls in the homes).

Given our set up and our overall manner of functioning, we acknowledged that we had neither the skill sets nor the capacity to manage to provide institutional support for young girls (although many Mahila Milan members have provided such shelter to girls in their own homes).

In 1987, at a *Mela* or a gathering of street children, over 5000 children to spent two days with Mahila Milan and NSDF at a public play ground. The children asked NSDF and Mahila Milan to help them find a safe place to sleep, to be able to live there without harassment.

They formulated the rules which would apply to all who accepted this offer; no drugs and alcohol, no violence and a readiness to engage with Mahila Milan and NSDF.

Process

The Honorable Supreme Court of India in Writ Petition No. 196/2001 PUPL (People Union for Civil Liberties) vs. Union of India and others has mandated for provision of Night Shelters to the Urban Homeless, living in cities. The Urban Development department, Govt. of Maharashtra vide Govt. Resolution No. MISC-2010/CR-45 (Part 2) /UD-20 dated 14th July 2011 has issued guidelines for implementation of night shelters. Although the cities where the Alliance works, cities have approached us to take over the management of such shelters, we have refused. On the one hand the specifications cannot be fulfilled as they almost seem like the specifications for a prison! On the other hand the strategy itself is flawed.

In cities there are thousands of families who live on the streets (these are not pavement dwellers who have built their homes) who are expected **to be housed "temporarily" in the shelters.** Eventually alternatives for their homes and livelihoods have to be found and they have to leave the shelter. The strategy would have worked if the city had a few or maybe a hundred such households and the city had adequate welfare management systems.

As an Alliance, where we have taken a decade to initiate alternative housing even for pavement dwellers, getting involved in such a process goes against every aspect of the values and strategies we are committed to.

Reflecting on this we see several issues emerging

1. The concept of *rehen baseras* or shelters in Delhi and North India that helped migrants to withstand cold nights seems to form the basis of this.
2. Neither the judges nor the activists are acknowledging the manner in which urbanization has already created informality and with so many more coming in, how this strategy misses the issues.
3. Financing and identification of spaces for these structures (even if this was to work) are often in abandoned structures that municipalities own.

1
Blanket policies that don't work

2
Taking charge of transformation

3
Area Resource Centers as night shelters

03 Values behind negotiating for rights

Federation and internal challenges linked to governance

1 Focus on most vulnerable

2 **Challenges of gender and women's inclusion**

3 Creating the right to fail

While seeking inclusion and recognition from the external world, community based organizations have to equally and in parallel address internal governance as well. While creating the Alliance between SPARC, Mahila Milan, and NSDF we were aware that we were aligning two different sets of institutional arrangements and tying up our institutional identities together.

SPARC which is a registered trust and the legal and financial face of the Alliance has a governing board, Director, and staff. NSDF and Mahila Milan have their own governance structures which are separate. All city federations nominate their leaders to the council. It is a matter of pride and joy that over 65% of the national council are women. A cadre of men and women work full time on stipends decided by the NSDF and Mahila Milan to assist city federations to learn skills, explore projects and activities and facilitate exchanges and all activities that are undertaken with SPARC.

The Alliance is committed to -
1. Developing robust and long term scalable strategies that work for the poorest 30%.
2. Demonstrating the central role of women in developing community organizations that identify priorities and develop solutions.
3. Creating a culture of constant knowledge creation and learning from their own experiences and those of others and what can be learnt from external sources. While learning, it gives us all permission to fail, to make mistakes and to learn from those mistakes.

process

Federation and external challenges linked to governance

To have been invisible and continuing to be invisible in the midst of being vote banks is a paradox that the urban poor live in. So to be counted and yet not being served represents yet another serious governance deficit that the urban poor, trapped in informality, face. Informality remains the most strategic way to allow the poor to come to cites, work in the informal markets, serve the formal city and yet be denied their rights.

City development plans have never seriously documented where the informal poor live unless the formal city wants to develop that land and fund them there.

Over the years, those slum dwellers that have survived evictions and have become critical to votes have gradually gotten incremental recognition; they are not evicted, given some sanitation upgrades and so on. Even though the MDGS continue to give data about what the governments have done, their visibility in volume needed to make impact is not seen in cities.

When two to three generations are trapped in informality of habitat and livelihoods, distortions of a wide variety of issues emerge. Health and education suffer, mobility for improving lives and aspirations seem to depend of the acts of others and the feudal and patronage system that trapped poor in rural areas re-enacts itself in cities.

The federation process seeks to create the opportunities for communities of the poor to create their own institutional identity as members of the federation; to explore new possibilities, demand inclusion, explore solutions and make representations to the city and state.
Most importantly the federations seek to reinterpret what PARTICIPATION and EMPOWERMENT of the poor means and they look for a process to make it happen.

1 Exclusion due to informality

2 Exclusion from opportunity

3 Exclusion from decision making

Practice, Precedents, Scale and Policy

Creating a double helix for transformation

Change rather than projects is the focus of the Alliance

The alliance's aim is to encourage change in city development to include the slum dwellers in its outreach and access. The flaw of the existing programs came to light through negotiations and deeper studies; unfortunately, the design of projects and how they were to be executed excluded the very people for whom they were meant.

Out of that insight came the early recognition that just advocacy and changed policies were not enough. Recasting the design itself and how it could be executed also needed to be changed. While undertaking the task, the alliance realized that it needed more than a few people learning to explore this recasting for the scale that it would ultimately be needed for.

Initially a small group of NSDF, Mahila Milan and SPARC worked with a local community which was struggling to change the policy and norm that excluded them to ultimately gain solutions. For example, the women from Mahila Milan in Byculla, who were pavement dwellers, developed the survey of households out of sheer exasperation that no one else wanted to do it for them. The survey fortified the women with the data needed to demand shelter. Through this, the issues of housing and the roles that communities need to play to get secure homes emerged as a central feature of the Alliance. The women believed that since returning to the village was not an option, they had to find a solution in the city itself.

But where was the land? When the development plan was examined, it became evident that the land earmarked towards housing for the poor was already in use by others. In addition, the land they found they could use was not available for a variety of reasons.

Thus, the federated pavement dwellers would strive to get included with slum dwellers first so they too could access to policy and programs, and work on a strategy where they could demand for land and build their own homes.

Developing an institutional mechanism to manage construction

Initially, all of the projects were legally and formally accepted by SPARC. However, SPARC realized that the sheer volume of projects in numbers and costs exceeded the ongoing process/work of SPARC to assist federations. Financing of projects required loans and creation of a separate set of professionals to assist the communities. Thus, in 1998, SSNS (SPARC Samudaya Nirman Sahayak) a not for profit company was set up by the Alliance (see SSNS annual report).

SSNS is assigned the projects designed and negotiated by the Alliance in which construction is required. The Alliance continues to overlook building capacity, linking others to learn from the processes and projects, advocating for changes in policy and project delivery with cities and governments. This exploration helps create yet another institutional arrangement that works in partnership with communities.

Advocacy followed through with action

Advocacy that does not show tangible results cannot sustain mobilization of the poor in large numbers over long periods of time. Fighting for rights and entitlements is critical. Unfortunately, those fighting injustice do not see its return, especially in the case of the poor fighting for their own rights. The NSDF and Mahila Milan have produced a series of short term and long term milestones of how empowerment and strategies devised and experimented with, produce identity and access to benefits for family and communities. Such demonstrations increase federated settlements and produce the volume of participation needed for advocacy to produce dialogue for change. The strategy to devise solutions, actively engage communities to form federations, support slum dwellers into devising and actualizing a solution produces three critical outcomes. Firstly, they contribute crucial ingredients essential for change; secondly when they themselves participate in negotiations and design they understand hurdles and develop the patience essential for productive outcomes; and thirdly when they succeed, the become the demonstration of the example or *MISAAL* from which others draw inspiration.

Having successfully completed the process, the participants can then mentor others, producing a multiplication process which ensures that many more explore the solution which forces policy makers to incorporate it; that in turn makes those who know how to design and manage this process multiply faster.

Projects - and strategies

Managing a portfolio of projects:

Community federations assisted by NSDF Mahila Milan and SPARC have developed a range of projects that will be described briefly in the next few pages. They reflect changing roles and functions of empowered communities, especially women's collectives who struggle to appropriate new roles and manage projects while working with city and governments and sometimes the private sector to demonstrate what they can do. These projects stretch our resources - human, financial and organizational to the hilt, often producing risks that have to be taken to change roles and relationships in development.

Imageries of our project portfolio: 100 kichdi pots. Possibilities for communities to take initiative and explore solutions is related to the demands being explored. The logic is that only some elements of the solution are in our hand, the rest depend on the administrative and political situation in the city. In essence, you keep stirring the pots and when opportunity strikes you increase the fire and add more ingredients.

Measuring levels of precedent setting through projects:

1. Some communities devise a strategy and demonstrate it.

2. It gets adapted by many other communities in the city and across cities.

3. City or state institutions explore solutions and provide resources to this strategy.

4. It produces policy at city, state or national level.

5. Slum/Shack Dwellers International (SDI) affiliates explore the solution, and this 5 step process is repeated at their level to reach international strategy formulation.

Scale and leveragability come out of strategies or outcomes that are tough to achieve but critical for solutions to outreach and assume the scale necessary to address the problems. Alliance such as ours, are crucibles for developing such strategies and are the real entrepreneurs of creating inclusive pubic goods through their actions.

From an idea to a demonstration of scale and sustainability:

Initially, the pavement dwellers in Byculla sought to seek land and build their own homes. They designed 4 house models and a sanitation facility with the assumption that they would be required to relocate since living on the pavements was not an option. They began to save, document their settlements, and formed a proposed cooperative. In 1987-88 their house models were shown to the federation of pavement dwellers, the city and state government officials and also to planners, architects and engineers. A model now known as the 14ft model was selected. The pavement dwellers estimated the costs, trained themselves to locate the materials and evaluate its cost, manage construction, and approached banks for the loans needed to complete their plan.

In 2000, the pavement dwellers were given land and in 2005, the first building was completed and the families moved into it. That was also the year when the Pad path Kranti Yojana was announced to relocate all pavement dwellers in Mumbai. Between 1998 and 2005, this twofold strategy to form federations of people facing the same problem and building their capacity to advocate for change with the state as well as to begin developing solutions that the communities could participate in began to be taken up by other groups in Mumbai as well as in other cities in India.

The process is not a cookie cutter approach but more a recipe that women share completely with others. It allows the communities receiving the recipe to understand that some ingredients are non-negotiable but sequence and alterations are always possible. The strategy gets refined and robust as more and more communities explore them.

Three types of PROJECT categories have emerged from this process: HOUSING, RELOCATION AND SANITATION. This section will report on projects emerging from these processes.

Practice Precedents Scale and Policy

Portfolio upto March 2013

Government TDR scheme:

No household amt
Developer incentive

Housing

Government Subsidies BSUP:

90% Government
10% by households

Government Grants
100% money

SSNS Initiatives to encourage incremental upgrading
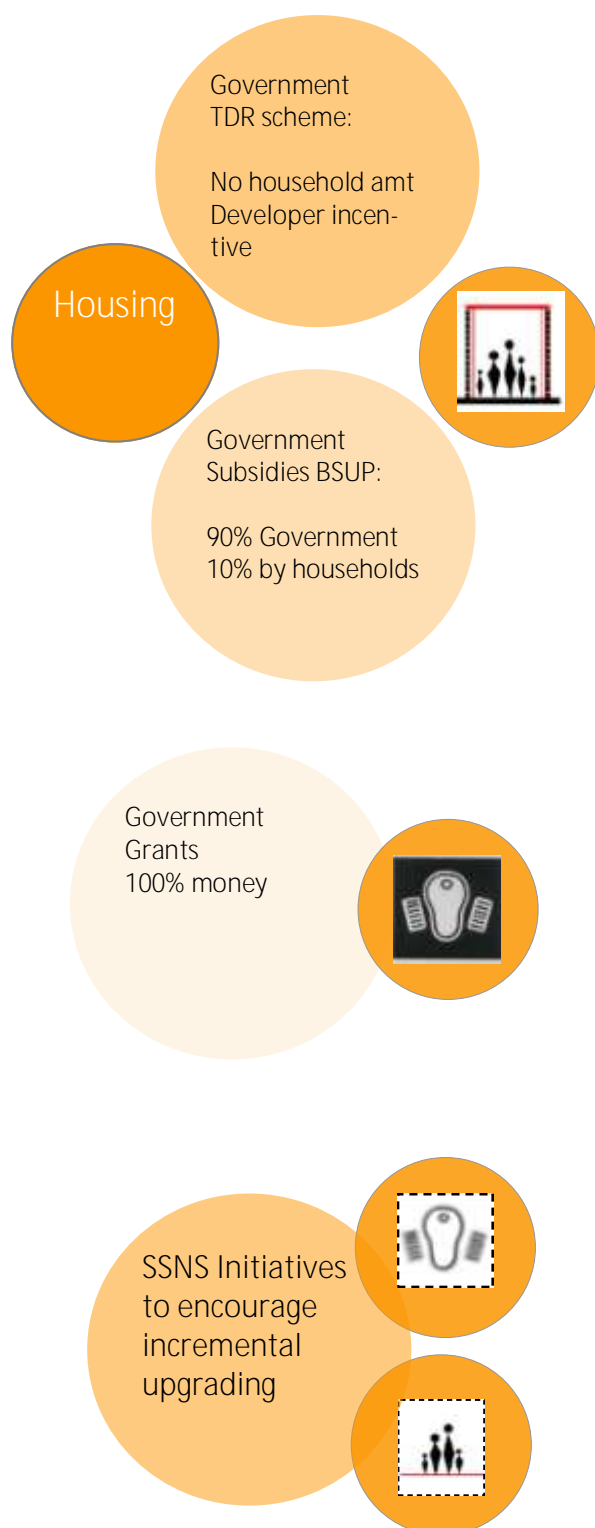
REDEVELOPMENT

- 6 completed projects, 2476 households
  Rajiv Indira-Suryodaya (In-situ)
  Bharat Janata (In-situ) Phase 1
  Milan Nagar (R&R—MUTP) Phase 1
  Oshiwara I (In-situ and R&R—MUTP)
  Kanjurmarg II- Jollyboard (R&R—MUIP)
  Oshiwara II— Phase 1
- 1 ongoing, 2563 households
  Oshiwara II (In-situ and R&R, MUIP) Phase 1
- 4 in the pipeline - Joint venture
  Oshiwara II Phase 2
  Kanjurmarg III
  Milan Nagar Phase 2
  Bharat Janata, Phase 2

IN-SITU CLUSTER UPGRADING

- 5 completed projects, 1581 households
  Hadapsar
  Solapur Bidi
  Solapur Mathadi Kamgar
  Sunudugudu
  Nanded
- 5 ongoing, 2765 households
  Pune Phase I
  Pune Phase II
  Kanjurmarg III
  Bhubaneswar
  Puri

COMMUNITY TOILET PROJECTS

- 9 completed, 703 blocks
  MSDP Lot 8
  BSDP Lot 6&7
  MMR Abhiyan
  Vijaywada
  Pune Phase IV
  Tirupur
  Vizag
  Pimpri Chinchwad
  Orissa
- 3 ongoing, 617 blocks, 6 lakh users
  MSDP Lot 9

INCREMENTAL UPGRADING

- 129 individual house loans.
  Average loan size varies from Rs.20000 to Rs.30,000

Research, Studies, & Documentation

REASEARCH/STUDIES

SUBJECT	COLLABORATOR	START –END YEAR
Study on the Organization's History	SPARC-Equalin Rights (a Dutch NGO)	2009-10
Study on Incremental Housing	SPARC	2010-11
Unintended Consequences	SPARC	2010-11
Sanitation Study	SPARC – Harvard Humanitarian Initiative (HHI)	2010-11
Poverty & Vulnerability Study	SPARC	2010-2012
Study of BSUP Implementation in 11 Cities	SPARC –NTAG	2011-12

DOCUMENTATION

SUBJECT	YEAR	TYPE	NAME
Incremental Upgrading Study Book	2010 - Ongoing	Book	Incremental Upgrading Study Book
Apna Street	2010	Book	Apna Street – a book by Julain Crandall Hollock in collaboration with SPARC on the life of Pavement Dwellers
Re-Dharavi	2011	Publication	Re-Interpreting, Re-Imagining and RE-Development
Cuttack Book on Data Collection	2011 –Ongoing	Publication	Cuttack Book on process of data collection for design and proposed house and settlement designs
BSUP -11 Cities Review	2011	Report	BSUP -11 Cities Review Report
Sanitation Analysis	2011	Report (In-house)	Impact of sanitation facilities on diarrhea in infant
Victims or Warriors	2011	Document	Victims or Warriors: Transformation for Human Rights - implications of slum dwellers especially women being organized and working on their habitat and basic amenities
Unintended Consequences	2012	Report	Unintended Consequences Report on post-relocation changes in rehabilitation projects by SSNS
Procurement Guidelines	2012		Compilation of the limitation of current procurement guidelines for preparation of Detailed project reports
Ongoing		Website	SPARC website
Ongoing		Website	NIRMAN website
Ongoing		Blog	City Watch

Housing

Learning from survival strategies

1 Developing solutions by communities

The first step in developing solutions is assessing what is useful to retain and what needs to be left behind. Building a strategy as a collective helps develop prototypes which the community can then discuss with the city and relate to other communities.

2 Challenging policy with precedents

Byculla Mahila Milan designed a home with a mezzanine to provide privacy in very small spaces for a three generation family. They then developed that concept in a three story walk up building, keeping the toilets outside their homes to increase space as well as to avoid gentrification.

3 Demonstrating scale and sustainability

Taking the vision of an individual unit, the residents of Dharavi are seeking to develop neighborhoods and area layouts so that their homes, their livelihoods and their communities can integrate with the city. It takes years to develop internal consensus AND sustain commitment to seek agreements with the state,

Following are two examples of communities learning how to survive and bringing about positive change in face of it:

1. The residents of Dharavi and slum federations in Mumbai and other cities now explore a route to secure habitat by building on aspirations of individual communities and creating scale and sustainability through this aggregated consensus which is presented to the state.

2. The challenges brought about by evictions of pavement dwellers in 1986-7, led to the creation of a federation of pavement dwellers. Women designed home units which they put into a walk up housing complex. In 2000 the government gave them land known as Milan Nagar, to demonstrate this precedent. In 2005, the first three neighborhoods moved to Milan Nagar. Today, the pavement dwellers of the city are being relocated in collaboration with the municipality.

City planners are continuing to ignore the presence of slums and informality, cities continue to become a battle ground where the poor have to survive despite the state rather than with assistance and support from the state.

The survival strategies of the poor have strengthens and weaknesses. The Alliance has sought to build on strengths such as incremental upgrading, collective management of neighborhoods, acknowledging the role women in play in slum upgrading.

Change through precedents, demonstrating how slum upgrading led by residents to change policy is a slow and uphill task, but one that works for changes that communities of the poor find essential in their habitat upgrading.

By the communities

Three forms of interventions

The transition from helplessness to defending your neighborhood against evictions is difficult to achieve. Even tougher is to produce alternatives that become policy and to demonstrate elements of that policy which communities can trace to their advocacy. For the Alliance the three main aspects in which the possibilities for secure habitat fall within three major forms: leveraging market based studies, leveraging government subsidy, and leveraging self help with credit.

In Mumbai, in addition to other cities, slums can access a market subsidy to cover redevelopment. Here the Alliance has sought to demonstrate how the residents can participate in the process; how design and execution needs to accommodate the challenges of temporary relocation; and when they finally move in, how they manage their new habitat, its maintenance and ongoing management.

Accessing state subsidies for in-situ upgrading forms the next form of blending self involvement and state assistance. Since 2005, federations in four cities have negotiated to undertake in situ projects. While these remain critical learning practices which also seek to change the manner in which development investment is designed and executed, each project seeks to demonstrate the potential of community-city partnerships in slum upgrading and its potential to demonstrate city wide upgrading.

The largest segment, which is yet to be recognized, is the self financed upgrading which is undertaken by 95% households outside the subsidy process. The Alliance, for the last five years, seeks to develop an extension of its loans to upgrading housing incrementally to demonstrate the policy and financial framework that is necessary to assist upgrading in all cities and towns across India in the scale and volume that is necessary.

1 Leveraging Market based subsidy

Through the collaboration with communities in Mumbai the Alliance demonstrates how formal institutions can collaborate with slum dwellers to build 25 sq meters homes which are able to involve communities and access the market based subsidy for construction through the Mumbai Slum Redevelopment ACT.

2 Leveraging government subsidy

The Government of India and many state governments provide housing subsidies that are often unutilized. The Alliance demonstrates how the communities themselves can be assisted to access these subsidies and improve upgrade or redevelop their homes and improve neighborhoods.

3 Leverage self help with credit

For every home that gets subsidy there are thousands that don't. Mahila Milan gives loans to those who can incrementally upgrade or expand their homes. This loan can be taken for housing as well as for infrastructure such as access to sanitation, water, improved roofing etc.

Relocation

Housing via Relocation

Learning from survival strategies

1 Reflections on when to accept relocation

Often communities opt to maintain the status quo by staying in hazardous conditions for a few years. Eventually, communities seek to take the risk of exploring relocation for a more long term improvement in the quality of their lives. This began with pavement dwellers in Byculla, Mumbai .

2 Defining what communities can do

By balancing the aspirations of the slum communities with what is feasible, networks of communities have shown in the last 15 years that they can walk through envisioning the process and taking steps to plan and prepare for relocation. The community do this knowing that the fundamental challenges will continue to exist.

3 Preparing for challenges

Moving from village to city and from location to location is the history upon which this preparation is built. Seizing opportunities is also equally valuable skill that emerges in this process. People who will seize the opportunity are many and options available are few. Since the process takes a long time, patience and persistence is crucial.

The relocation of households and settlements is one feature of modern cities that is not only thought provoking, it also represents the painful challenges that cities and communities face. The rights of those who are forcefully evicted in addition to the global data available on such evictions has led to demands and expectations of planned relocation when relocation is undertaken for "public good".
For the bottom 10% of the city, vulnerability is exacerbated with the uncertainty of their habitat security since they cannot get tenure where they squatted. The work of the Alliance has been to address the challenge of relocation, since it has always sought to focus on those with such uncertainty fraught with evictions .
Since very little national study is available on relocation, practical experience and reflections is the main contribution towards creating a policy. The Maharashtra Government policy for Mumbai Urban Transport Project (MUTPII) in 1996 represents the first instance where communities already seeking relocation participated, via the Alliance, to develop the policy with a role and contribution of communities towards designing and executing relocation.
In all instances, the Alliance has opted for relocation of households after every possible alternative was considered and once the communities explored implications and agreed to move. It is never simple, and the initial years are difficult.

Videos to watch :
- Beyond the Beaten Track
- MUTP Partnerships R&R
https://www.youtube.com/user/sparcnsdfmm/videos

By the communities

Projects through collaborations

Learning managing with scale

Defending one's own rights with support from your network, professionals and others is a empowering process. This transition works only if communities see this as an alternative **that 'they' choose.**

Many public works have begun to produce relocation possibilities for households who otherwise would never have had legitimate alternative secure housing because of the backlogs in infrastructure development in the cities. For example, pavement dwellers, slums on railway land, airport land, ports, defense, lands by the side of water pipes, canals and riverbeds; all knew the dangers of living in these locations but were trapped since they had made the choice of living at these locations. Others, who lived in non-hazardous conditions were given in-situ tenure after many years.

Investments in large projects has produced the opportunity to engage and negotiate, whereas beforehand it was not possible to do so with land owners. Getting compensation to at least an alternative habitat has become the starting point. Ideally the goal should be the total rehabilitation to attain improved standards once a comprehensive relocation policy gets enacted. Unfortunately, the communities and those that assist them have to make the decision whether to seek secure alternate habitat or continue to fight relocation.

Large projects produce large numbers that need relocation. Engineers generally anchor these projects and rarely consider that communities of the poor can contribute to a solution to their large projects, they often believe as cities do - that the poor should be grateful they were not evicted.

1 Relocation due to infrastructure for city

City	Projects On going
Mumbai	MUTP : Railway
Mumbai	MUIP: Road widening
Mumbai	Water Safety: slums on water pipes
Mumbai	Pavement Dwellers: Road Safety
Mumbai	Bombay Port Trust:

2 Relocation from vulnerability to disasters

City	Projects On going
Pune	Households affected by annual flooding of rivers
Cuttack	Expanding the ring road and solving

Our practice demonstrates the following insights:

1. Cities generally do not accept relocation with community involvement unless it impacts their "projects"
2. Most thumb rules indicate that 10% of project costs, if invested in relocation that involves communities, actually facilitate fulfillment of development objectives of helping the most vulnerable as well as ensuring that projects are completed on time and within costs.
3. Unless communities anticipate relocation, their organization can never be ready to explore self determination.
4. All relocation, however well planned and organized, is traumatic and requires support from the state and community networks.
5. Transport networks, access to basic amenities, health and education are crucial, yet city planning somehow never plans for this when large ticket infrastructure projects that may require relocation are undertaken.
6. Rarely do teams emerging from good project delivery of community networks and city officials repeat this work in other projects; but when they do, project delivery gets improved, systems get refined and insights gained help improve the process.
7. Senior leadership of organizations taking on projects have to be involved, as many new precedents need to be set on making projects work and these decisions cannot be taken by the project staff.
8. The first phase is always one that is longest and tests every-one's patience and is hardest on those from the communities.

Relocation

Two project cases

Pune : Relocation of 1200 households to Warje

1 BSUP housing for Relocation

SPARC is contracted to to relocate 1200 households from 12 settlements. It requires each household to agree to relocation; make a contribution of Rs. 10,000 as well as take a loan from a bank for the remaining contribution; complete inspection; and move to the relocation site.

2 Strategy of Mahila Milan for projects

The first phase, comprising of 400 or one third of the households, has taken a long time because developing of a community driven process takes time. The city requirements continue to shift and change as they themselves build capacity; community groups who are not part of the Mahila Milan have to feel comfortable with what is being offered and take charge of the process.

3 Learning to learn is a challenge itself

Cities, communities, and Mahila Milan Pune have had to learn to learn together. The most significant aspect of all initial phases is that all issues contradictions, confusions misunderstandings and attitudes or hostility and misconceptions towards each other play out in this phase; they have to be dealt with to produce a transformed partnership. City administrators seeking efficient management need to understand the logic of facilitating community participation and getting beneficiaries transformed into partners. Communities and their organizers have to acknowledge that when the state produces asset transfers, red tape has to be dealt with as documentation forms the basis of audits that departments have to undergo. CO PRDOCUTION OF CHANGE IS EASIER SAID THAN DONE.

Since 2000, the bulk of the relocation projects in Mumbai have been carried forward **in accordance with the city's investments in** infrastructure. The investments clearly are inadequate. The relocation and rehabilitation policy for MUTP in 1995, prepared the possibility of a structure for the structure relocation compensation provision for slum dwellers impacted by the laying of infrastructure. For the first time in the urban context associations of those to be relocated undertook the surveys and executed the relocation themselves.

In this segment we examine the transfer of this knowledge and experience to Pune and Cuttack. These cases demonstrate the urgent need for a national urban relocation policy which has been in draft form for a decade. Given the large investments envisaged and beginning to take place in urban India, this complete lack of experience and the need to constantly reinvent the wheel, to deny the role and contribution of the households being moved will delay projects and increase costs at the same time making the relocation process fraught with fear anxiety and poor delivery.

In the case of Pune, 4,000-7,000 units were built on municipal land to relocate households squatting on DP reservations with the assumption they will relocate; neither they nor their politicians were willing to move. Even though the houses began to be completed, there were no families moving in.

Then alternative communities, those who were affected by flooding and other issues were identified; two NGOS, SPARC being one of them, were commissioned to prepare the process of executing the relocation. This scheme is completely managed by Pune Mahila Milan.

By the communities

Projects through collaborations

Cuttack Ring Road linked relocation

The Cuttack story is one still waiting to happen and reflects the long frustrating delays that often destroy win-win solutions. Orissa is only 17% urban and one of the poorest states in India. An over-whelming 47% of the households live below the poverty line and a constant series of climate based disasters have exacerbated the inability of the state to overcome these poverty and development challenges. Much of the migration in the last few years has been a push to cities because of these disasters. Cities themselves have grown and now grow around and beyond villages that have quickly become slums themselves.

The Orissa slum dwellers federation and UDRC, an NGO that works with them, began to work with unplanned evictions and communities dumped on the outskirts of the city in the mid 1990s.

Networking with the Alliance through exchanges between the federated informal settlements across India increased the possibility of anticipating dislocations and exploring possibilities of making improvements.

Cuttack, which has developed between two rivers, is climatically vulnerable. Along the entire length of the riverside slums have to relocate to the road when the rivers swell and move back after it subsides.

With the development plan seeking to expand the ring roads, over 1500 households face the potential crisis of evictions. This is their story.

1 The long pursuit of this possibility

 A UNDP project in Orissa almost over a decade ago, began to work with the Alliance to explore the possibility of developing a relocation policy. The strategy was developed and just when it was about to take off, the officers in-charge changed and the project closed down.

Settlement map of Radhakishorepur: one of the ring road settlements as drawn by Cuttack Mahila Milan

2 The DPR design and its abrupt end

In 2010-11 and 2012 a team of professionals from SPARC, KRVAI and Architects without Borders, Sweden worked with the Orissa federation in Cuttack and UDRC to document the settlement and develop an alternative; collaborating with government to give alternative land on which to relocate households through a planned relocation. The presentations were made to slum dwellers and state government as well as the development authority of Cuttack. Then, it was found that the land was under litigation! It appeared that the state officials knew about it but thought it would be resolved, but it was not. This has put the whole process in cold storage for the second time.

3 The Alliance that never gives up

These experiences have begun to indicate the deep dissonance in the way the state addresses issues involving the poor. It is part inability and part value framework which does not accord these issues priority although these are very much in the political rhetoric. Urban reality and constantly changing fabric of cities means the city itself is on the move and anticipating this, managing to ride the wave of change is something the poor have to undertake to get the state to work with poor communities to create solutions that work **for city and it's poor.**

Sanitation

The sad state of sanitation in Urban India

1 Developing solutions by communities

2 Challenging policy with precedents

The Bombay Sewage Disposal Project (BSDP) was launched in 1995 by the World Bank and the Municipal Corporation of Greater Mumbai **(MCGM) which intended to expand the city's sewage treatment plant** and improve its sanitation infrastructure. In 1998, three NGOs were invited to undertake pilot projects to demonstrate how sanitation could be improved in the slums, despite their lack of connectivity to existing sanitation infrastructure. SPARC constructed a community toilet block **based on the designs it had implemented in Pune. The toilet had pour-**flush latrines in equal numbers for men and women, specially designed **children's latrines, and a community hall and a caretaker's room on the** upper floors. In the first and second phases of MSDP, the Alliance developed a strategy where communities form organized groups as part of NSDF and MM, are trained to do surveys, identify locations for toilet blocks, work with architects/engineers for appropriate designs, take on construction and save for maintenance. These strategies have demonstrated through practice a community-led process of providing access to basic services that continue to be refined and scaled up with other projects. In addition, the challenges such as land disputes, labour and material shortages, political interference and community objections that the Alliance has had to learn to negotiate with in each project form part of a learning and capacity building process.

The pilot project was a success and in 2001 the Slum Sanitation Project (SSP) was launched using this model.

It was also replicated under the Nirmal Mumbai Metropolitan Region Abhiyan (MMR) project in 2007 that envisaged the construction of 1,00,000 public toilets across the Greater Mumbai Region in two years. The first phase of the project officially sanctioned the construction of 30,000 toilet seats in 14 Urban Local Bodies (ULBs). SSNS was specifically selected because of its demonstrated success in earlier projects.

Unfortunately, "In India people have more access to mobile phones than toilets".

The inability to deliver minimum sanitation universally remains one of the major urban challenges along with transport, garbage collection, and the general inability of the city to address the ongoing informal growth of cities.

As the lack of investments to develop a wide range of solutions backed with planning, capacity building, research and infrastructure increase, the sanitation challenge remains ignored, politically misused and administratively set aside.

Between past lapses which did not provide trunk sewers in slums, (cost of retrofitting is now very high) and no real scalable technological alternative, open defecation is rampant. Actions by households and communities in the absence of an overarching and underlying back up from the city means that all strategies and solutions however well intentioned remain less than ideal.

This seems in contrast to the political and administrative data about rural sanitation in India. The central, state governments and their rural development ministers and administrators have joined an international campaigning strategy to make the provision of sanitation in villages a critical issue with high visibility and impact. Unfortunately, there is an assumption that campaigns and individual motivations can transform urban sanitation statistics. It is under these conditions that the Alliance seeks to forge partnership between cities and slum communities to develop universal sanitation for all in cities.

By the communities

Scaling up strategies

Projects enhance the capacity of the Alliance but our goal is also to prove that poor communities have the ability to participate in and maintain services provided by the MCGM or MMRDA. Almost all projects carried out under such schemes are contractor-led and it is the aim of the Alliance to demonstrate a community-led approach that is successfully implemented. Through community participation and involvement, the federation and Mahila Milan have set norms for allowing the urban poor to take part in the tendering, designing, and implementation process in constructing toilets under various government schemes.

1 **The Alliance and other organizations began advocating for 'defecation free' cities in 2003 which became a national policy in 2008-9.** The Ministry of Urban development has since rated 400+ large and medium towns and found almost all having very poor sanitation services, Since then, Procurement guidelines have changed to allow NGOs and CBOs to partake in slum sanitation projects.

Our advocacy to form CBOs was recognized by MCGM which now included this as part of the procurement process so that every contractor hired has to form a CBO prior to starting construction.

2 Initial grant funding was used to explore community-led and managed sanitation projects/demonstration toilets). These were precedent setting projects.

3 Precedents were instrumental in winning contracts to build community-managed toilet blocks in slums under World Bank funded MSDP 1 project.

4 Success of MSDP 1 enabled SPARC to leverage municipal funding to help improve city's sanitation infrastructure in the second phase.

SANITATION		
Project Name	Toilet Blocks/ Seats	Status
		ONGOING
MSDP LOT 9	100	40
Sub-Total	100	40
		COMPLETED
MSDP Lot 8	68	68
MMR Abhiyan	367	367
BSDP Lot 6 & 7	208	208
Vijaywada	6	6
Pune Phase 4	13	13
Tirupur Toilet	13	13
Vizag Toilet	16	16
Pimpri Chinch-wad	5	5
Orissa	7	7
Sub-Total	703	703

With huge backlogs for the provision of basic services and an even greater backlog for sanitation, Maharashtra as a whole and Mumbai as a city have a huge challenge to make it OPEN DEFECATION FREE in Five years
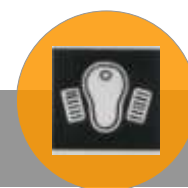
Sanitation exploration of the city of Mumbai

Transition into developing solutions and exploring new options

1 Obtaining a space and location

There are many major impediments -
1. Dense slums have no open spaces.
2. Facilities require to be linked to sewerage pipes but most toilets have septic tanks that overflow due to heavy usage.
3. Access to water is often a challenge.
4. Land owners take cases to court to object to construction of toilets.
5. Nobody wants a toilet next to their homes.

2 Challenges to construction in slums

1. Regular construction businesses find small projects unviable to take on, and NGOs have to train masons and contractors to undertake construction.
2. Material gets stolen despite community participation.
3. Transporting materials into slums with no access roads is very tough.

3 Developing maintenance strategy

1. in many slums the political leadership feels the need to appropriate the asset.
2. In fighting between factions in the settlements creates a no mans land in slums.
3. Sometimes income from maintenance can be diverted to other uses.

The Slum Sanitation Program (SSP) of the Mumbai Municipal Corporation (MCGB) working with SPARC and Pratha, two NGOs, have undertaken a survey of all toilet blocks (500+) constructed by the corporation so far to assess long term insights into construction, design and management of these facilities.

New strategies for collective learning:

The past: Between 2000 and 2009 the municipalities acknowledged the value of providing sanitation and undertook policy and practical investments to initiate this process. However, capacities to design policy, execute, and supervise on the hand of the municipality and delivery mechanisms by NGOs including ourselves were fraught with many challenges. Communities faced new demands and expectations from the project to contribute money and manage the maintenance of the toilet block. In essence, the city paid for sanitation capital costs and community maintained the toilet.

In 2011-12, while making a commitment to make Mumbai defecation free, a review of what has been done was undertaken in a study contracted to two NGOs, one of which is SPARC. The NGOs will review 500+ community toilet blocks constructed and examine what is working and what is not; understand the issues and challenges faced by the communities; and develop solutions.

The most significant aspect of this process is the commitment of the senior administration of the Municipality that brings municipal project managers, ward officials and NGOs together to discuss and strategize on how to move forward.

All toilet locations are in the process of being digitally mapped. While the project will digitally provide the location and status of sanitation facilities provided by MCGB, another parallel process will map all the toilets built by MHADA, MLAs, MPs and Municipal elected representatives.

By the communities

Making Mumbai Defecation free in 5 years

In a national campaign to make urban India defecation free, each city has to develop a plan to make its informal settlements defecation free.

In this instance we share the challenges that the city of Mumbai faces -
1. The Government of Maharashtra and the municipal corporation have a system of defining whether slums are notified (slums in the municipal register or in the state government register) or Un-notified.. Un-notified slums cannot get access to amenities.

2. Municipality needs a NOC (no objection certificate) from other land owners to provide amenities such as water and sanitation, garbage collection; and most other land owners do not give such permissions.

3. The CRZ (Coastal Regulation Zone) framework to protect water bodies does not permit any toilet to be built in these zones, so slum dwellers along the sea front who defecate near the water cannot get sanitation.

4. As slums get dense, space to construct community toilets is not available, so at present older toilets that are not functioning are demolished and new multi-storied toilets get built. But that hardly reached out to 6-10% of the population in need of sanitation.

5. Exploring ways to build toilets by relocating households who are willing to move has its own challenges:
- The present regulation states that only households with 1st Jan 1995 documents will get alternative housing.
- Even where that is possible, those alternatives need to be in the same ward - Needing inter-agency collaboration.

1 Impediment

- LAND OWENERSHIP
- INFRASTRUCTURE DEFECIT
- DENSITY OF HUTS
- CONTESTED LEADERSHIP IN SLUMS
- INSUFFICINET DATA BASE

2 Explorations of possibilities

- THINKING OUTSIDE THE BOX FOR SOLUTIONS
- CREATING A COMPREHENSIVE DATA BASE FOR ANALYSIS
- EXPLORING DIFFERENT SOLUTIONS
- DEVELOPING PILOTS TO TEST ALTERNATIVES
- ADVOCAY WITH TO SENIOR POLITICAL AND ADMINISTRATIVE LEADERSHIP

3 Dire need of alliances

- THERE IS A NEED FOR A PRIMARY ALLIANCE BETWEEN Municipal administration its political leadership and communities.
- THERE IS NEED TO REVIEW LEGAL FRAMEWORK
- NGOS AND TECHNICAL PROFESSIONALS CAN EXPLORE NEW POSSIBILITIES

The sheer over whelming usage of the community toilets produces a wear and tear that was never anticipated. Yet many communities continue to make things work. Others have many challenges both organizational and structural.

The alliance assisting informal settlements

Ongoing challenges of Habitat for slum dwellers

1 Dharavi Redevelopment Plan

The dilemma of how to develop Dharavi and the inability of the institutional arrangement of the DRP (Dharavi Redevelopment Project) to engage communities to develop solutions leaves the township in limbo with development activities frozen officially since 2005.With elections coming in next year political parties are raising their own challenges leaving residents watching the tug of war.

2 Mumbai Airport

The privatization of the Mumbai airport was accompanied by contractual agreements with a construction company to relocate all households and structures around the airport. The first 10,000+ houses are under construction and more than half are ready, but residents networks refuse to move as they feel willing to move only for direct infrastructure needed for the airport and not for malls, hotels and convention centers. This year this contract has also been withdrawn and HDL has gone to court to contest this action. MMRDA which has been commissioned by the government of Maharashtra to facilitate relocation, has to decide how to engage the communities and whether to accept their demands to work through the Alliance and SPARC.

3 Navi Mumbai Airport

The Navi (new) Mumbai Airport managed by CIDCO has been in discussions with SPARC for over three years to undertake the survey of the settlements which will need to be relocated for the construction of the airport. However this agreement continues to get delayed in formalizing the contract.

The strategy to facilitate and acknowledge the aspirations of the communities to the government and to build a strategy that allows it to coexist with the construction and design of the projects seems fairly simple conceptually, but has many impediments. Administrators want intermediaries to make communities compliant without negotiations. They want things to move at a pace they set. Politicians feel challenged by NGO facilitation and seek to play that role. Mean while as delays continue, settlements get dense, house structures change hands, and demands and expectations spiral in a vacuum created by no dialogue

Where the state cannot decide about community participation

Central to the challenge of city development is the inability to accept that regulatory frameworks have to be constantly reviewed to address the challenges of development in ways that allow for infrastructure needed for large numbers while accommodating the needs of those being displaced. Community involvement is never a priority with the state even when the rhetoric claims it is invaluable, time, money and space needed to make this process produce such inclusion are still unacceptable in government debates on development investments.

Within the Alliance, experience shows that the first phase of any project if undertaken in a hurry cannot lay the foundation for the scale of outcomes expected. Senior leadership in the state institution have to understand and facilitate deliberations about challenges and strategies and bring in other departments of government to ensure that the process moves.
In almost all instances the very vulnerable are relocated and the project is never seen as creating a dual solution where through good relocation the vulnerable have better homes and improved living conditions and the project moves as planned.
Instead, existing regulatory framework produces a range of impediments that cannot facilitate relocation and the grid lock impacts costs and causes political embarrassments.

For the communities

Ongoing projects at scale forming precedents

When all projects have elements of setting precedents

Our initial understanding of the concept of precedents was based on the initial breakthroughs that we described, and in turn to elaborate on what the breakthroughs were. However, as we began to work with federations in different cities, squatting on lands that belonged to different land owners, we began to see that in the absence of a governance structure that would apply newly emerging principles and concepts to produce a universal strategy we had to reapply those concepts again and again to prove the precedent to different land owners. We had to keep the concept alive because if we did not, the breakthroughs would also die out.

It helped that it had been done by someone else in case of another land holder, but over time, what has helped is the acceptance that:

- The slum dwellers are simply NOT GOING TO VANISH.
- The sharing of land produces more value than not sharing it.
- The projects being taken up by the agency holding the land on which the slum dwellers encroach is better served by giving them a viable alternative.
- The agency benefits from having federated and organized identity so negotiations and agreements can be converted to solution formation and outcomes.

Unfortunately the real valuable insight that provision for HABITAT for the vulnerable is a urgent commitment of the nation state that this process facilitates is still not the critical reason. THAT REMAINS THE MAIN OBJECTIVE FOR US AS AN ALLIANCE

1 Relocating settlements on MbPT land

The Bombay Port Trust now renamed Mumbai Port Trust or MbPT, is the largest public land owner in Mumbai, and historically, had a large number of slum dwellers encroaching on its land. This federation has been seeking solutions for land security since 2000 either to get security in-situ or to get relocated.

In 2008-9, plans were made for a joint project with the Indian Railways for a "container yard" in a location which has had 1300 structures with households and shops. MMRDA was assigned the task of managing relocation and contracted SPARC to manage the relocation. Apart from the survey identifying tenements for relocation, managing the transactions have taken 5 years. This year all is in place to start relocation in 2013-4. It will be the first time they explore this option.

2 Settlements along main water pipeline

The Life line of water pipes that bring water to the city have over 15,000 households living on both sides of the pipeline. Working with the Municipal Corporation of the city the Alliance is seeking to relocate these households who have faced innumerable evictions. Many died in water pipe bursts and they get no water.

3 Relocating households under electricity transmission towers

The TATA Power Company, a private limited company that provides electricity to the city, has to increase the heights of its transmission lines and has commissioned the Alliance to help organize relocation for households affected by this. It's a serious health hazard for households to live under high tension wires.

New possibilities new knowledge

Exploring avenues to legitimize what we do

1 DPRs

PUNE Shanti Nagar DPR
In the JnNURM program, the inaccurate and badly designed Development Project Report (DPRs) were a major reason for poor execution. The Alliance wanted to explore possibilities of community driven DPRs being prepared. Pune Municipal Corporation invited NGOs to take up Development Project Report (DPRs) to make a Ward of Pune slum free. Mahila Milan Pune and SPARC set up a team to develop this strategy. Like the Cuttack ring road (see the relocation section) we had to set our work aside. What was clear was that when government does not prepare a proper brief with clear land, infrastructure and financial guidelines, even well documented and participatory processes cannot come out with a strategy or alternative. But we learnt a great deal.

2 City wide slum enumerations

Over the last several decades the value and contribution of community managed surveys have become a powerful instrument. As communities explore various sequences of household and settlement surveys, we have seen that counting slums, doing the profiles of slums in which we get land and no of households and community access to basic services and amenities crucial to undertake at city scale. Gathering household data in great detail somehow had a time sensitivity which means that changes in who lives where changing sizes and composition of households and their livelihoods makes data out of date quickly for settlement linked planning. The government linked surveys for the Rajeev Awas Yorjana (RAY) insist on a very detailed survey of all slums and to date we have not been able to change this sequence. In the DPRS this meant surveys of households had to be done all over again,

3 Embedding our work in Academic courses

Community surveys and participatory data collection forms a crucial aspect of what we have sought to embed in our engagement with academic institutions along with embedding informality and its challenges to cities and vise versa. Our network keeps expanding each year and usually begins with invitations to attend events and workshops, then give lectures in courses, and usage of material we produce in class rooms.
For the first time in collaboration with PRIA and its distance learning program we have developed a four part learning course for professionals on how they can facilitate and support enumerations of slums by the residents themselves.

Designing projects, through which the city interacts with the poor, clearly does not get undertaken in ways that seek their participation, or document their numbers and their situation. These processes often don't even get communicated to the targeted communities who often get to know of the **process only when the "project" starts.**
In the last few years the Alliance has begun to explore some possibilities to demonstrate how interventions in the preparation of projects can change, not so much in what they do, but who gets associated with doing it and how these processes engage the poor.

While exploring these issues, we also realized that taking these concepts, possibilities and strategies into the world of academia was critical since the process of transformation of how projects get developed have to be embedded in the educational system. Not only does development education need to acknowledge the role and contribution of participatory research, but it also has to create roles and functions for professionals to support and backstop this process with deeper data management and analysis.

By the communities

Deepening community views on vulnerability

While seeking to explore resources-transfer to the urban poor, the definitions of poverty, and the actual execution of the process by which an individual is categorized as being by the state is now being examined by the federations. In addition, the federations are observing the manner in which cash transfers and other subsidies get designed and given out and their impact and value to addressing the needs of the poor in cities.

In an ongoing exploration by the Alliance in collaboration with IIED and its Human settlements Program, several issues are being examined. Firstly, how can we compare how collective community definitions of poverty and vulnerability compare or differ from government definitions Secondly, to what extent living in slums produces vulnerabilities and impoverishment. Thirdly, what happens when the survey for identification of Below Poverty Line (BPL) people are undertaken and how they affect what residents of informal settlements do to support each other.

On the other hand, the alliance is also examining how subjective assessments of Mahila Milan groups and NSDF, of who needs help, match with enumeration data of households and to what extent they match or differ.

On the whole this work is crucial at a time when statistics of poverty at national, state and urban contexts are being argued about nationally. The deep rural bias for definitions, for consumption pattens and the deep political implications of data produced at a time when elections are around the corner, muddy the really important challenge of creating a national commitment to addressing poverty in general and poverty in urbanizing India in particular.

1 Vulnerabilities and households

Through groups discussions and comparative data linked observations Mahila Milan and NSDF worked in four cities with SPARC staff to explore these concepts -

- It was easier to define and locate vulnerabilities and their causal factors than establish a poverty line.
- Earlier studies undertaken by the alliance were confirmed - that larger households withstood vulnerabilities better than smaller households.
- Community support for the vulnerable worked better when they were not competing for external resources against each other.
- Households could be classified into CHRONIC and ACUTE or transient vulnerabilities by the groups.

2 Vulnerabilities and informal settlements

Living in slums on the whole produced vulnerabilities that went beyond income -

- Land security: Those living in non notified slums felt more vulnerable than those in Notified slums.
- Housing Stock and Its condition: Paved floors of house, walls and roof verses soft materials produced vulnerability.
- Access to water and Sanitation: Minimum access critical.

Other essential amenities and services included:

- Drainage sewerage and electricity:
- Transport access to livelihoods
- Educational and health facilities

Slum/Shack Dwellers International (SDI) and the Alliance seek to create a vulnerability index using slum profiles.

3 Poverty and collective action

NSDF and Mahila Milan believe that only collective action will transform their problems and the poor are their own greatest resources. Only when they are together can they bring in outside support and resources.

New crucial challenge to explore and incorporate

Climate change and the urban poor

1 Ensuring the urban poor are included

Sharing data that the poor have collected of slums in general and that of slums with vulnerability produces engagement that helps the city and slum communities to communicate during a crisis.

2 Alliance Rituals that work during crisis

Reports on managing and coping with disasters whether man made or weather related, state that when communities are organized and have capacity to communicate, assessment of impact, distribution of aid and assistance both immediate and long term become effective and outreach is very good. The Alliance never considered itself to have a role to play in disasters. However in incidents of flooding, mud slides due to rain, or riots due to religious and political crisis, three things happened that made us realize that what we do as rituals in the federations and how we create a communication network actually form the robust foundation for assisting those who have faced disasters.

3 Producing documentation and voice

- When federations have prior survey data on those who have faced disasters, this "list" quickly forms the basis of aid.
- If people are not surveyed, federation leaders can help create the necessary documentation.
- Mahila Milan and its door to door approach of working with women helps create distribution systems.

- When cities undertake relief supplies, federations make sure all the slum dwellers are covered.
- In many instances of riots federation settlements are considered "SAFE HAVENS" and many households seek refuge.
- In instances of construction, the Alliance facilitates self construction.

Climate change and its urgency has been creeping into our work in several ways. For several discussion meetings the Alliance has reflected on how to deepen and sharpen what we already do though the challenges and opportunities that a planetary crisis of climate change brings to us. Some early possibilities are:

- Citywide surveys of slums were done to ensure all slums were "recognized" by city government. Now we add a vulnerability index to ensure that residents and city have mobile phones to contact each other during emergencies.
- Vulnerable slums having faced flooding or extreme heat or mud slides will begun to have discussions within the Alliance and with city about what to do about their vulnerability. Care will be taken to ensure that they are not Evicted "for their safety" and the city takes responsibility for relocation.
- The Alliance's work with the Police and municipality ensure that federations are called in to assist, and the strategy is to deepen and strengthen this engagement.
- Challenges of green and clean energy have to be reviewed carefully and the Alliance will begin to create a network of advisors so that slum dwellers are not experimented upon.
- There could be possibilities that new jobs and new savings can eventually emerge from explorations.

In the end, if cities are where most of humanity will be living in, then making them robust and climate proof is something the Alliance has to explore. The challenge is to explore venues for engagement and carve a role and contribution that we can make.

By the communities

Three forms of interventions

As part of Slum/Shack Dwellers International (SDI) the Alliance has engaged several national federations that have begun to explore working on post disaster issues. The federations have integrated what they do for creating their identity and solidarity to serve the post disaster situations. Especially the strategies developed for relocation linked to evictions have value in anticipating routine flooding and land slides and have federations seeking planned relocations.

Presently, the larger Climate change debate demands we move deeper into this discussion and seek a role which can not only improve the lives of communities by avoiding disasters but to explore how new possibilities in construction, design and technology can bring new resources and improve life and livelihood of the vulnerable communities.

The SOCIAL JUSTICE SECTION OF CLIMATE CHANGE CONVENTION also resonates with our organization's philosophy. Seeking to deepen our experience in seeking justice for secure habitation is now accompanied with a demand and expectation that new climate change protocols will strengthen the principles of development to produce more options and choices for the poor.

The challenge remains to build capacity across federations to explore this role, to embed it in what we do already and to explore new opportunities, roles and partnerships to change the present situation.

1 Support emergency response

2 Creating rituals and assessing them

Using past experiences and exploring new knowledge and insights the Alliance is seeking to develop a series of rituals it can incorporate into what federated slums can do for themselves and link to cities.

3 Exploring through dialogue with the state

In times of crisis, linkages that are based on trust and ongoing interactions are crucial for managing quick response in times of disasters in slums - both to avert them and to produce early relief as well as long term impact and reduced vulnerability. Working with Police and Municipal Corporation and state government officials is crucial

Starting with creating a vulnerability linked question in profiles helps city wide slum federations to understand different vulnerabilities and begin a discussion with city officials. This has happened in a few cities in India, now more federations have to do citywide slum profiles and initiate a deeper engagement with cities.

Engaging others to produce voice and participation

With those who come to visit us

1 Highlights of this year

In the year when Mahila Milan in Byculla have all moved to their new houses, Apna Street, a book about their journey was reprinted in Marathi.

2 Important engagements

International activists, business professionals, architects, designers and city managers from all over the world came to Milan Nagar to under-stand how pavement dwellers have initiated a transformative advocacy for themselves and others seeking relocation to secure habitats. SPARC has written a chapter in the publication that the HOLCIM Foundation has.

3 Slum dwellers teach students

Each year Mahila Milan and SPARC conduct a two week course at the St Xavier Institute for Communication (XIC) to sensitize student journalists about informal settlements. The Alliance has engagements such as these with many other local and international universities. The idea is to develop new ideas, new knowledge and new partnerships.

The Indian Alliance hosts people from around the world in various fields. The SPARC staff, NSDF, and MM leaders take time to explore a wide range of visitors. The majority of our guests visit and take back some insights. Usually the visitors stay connected by following what we do through our website and other digital media; some help us make connections with others who want to come and work with us; and still others refer interns.

Julian Crandall Hollick has done an audio documentary series called Apna Street and has been associated with us since 1987. His contribution to us has been the incessant video and audio documentation we do.

Prof Arjun Appadurai, spent a year with us, has written three very powerful essays on our work introducing us to audiences who otherwise would never have heard of us. This year his book, *POLITICS of HOPE* is published with those essays and some others.

Numerous universities and foundations which organize events in Mumbai also include visiting us during their trip. We present the visitors with papers and facilitate field visits which allows them to see a side of the city they otherwise have no access to. On the other hand, we have begun to explore how we can relate to universities and academia. We do short courses with some, others use our material and still others come and work with us to write their thesis.

Finally, taking our work on Enumerations, we edited an issue of Environment and Urbanization that is published by Sage bi **yearly for IIED's Human Settlements program.**

By the communities

Engaging with others

An illustrative list of engagements with different events and organizations.

April 12:
- Sheela Patel agreed to be on the Manchester University study "– *Understanding the nature and impacts of state interventions to reduce urban poverty in India"* and attended a nevent in Manchester.

May 12:
- Presented Alliance financing policy to National Housing Bank in Hyderabad.

June 12:
- Attended IIT Mumbai discussion on informal housing.

July 12:
- Participated in Ministry of Urban Development's committee on Sanitation.

August 12:
- Attended meeting on National Technical Advisory Committee of JNNRM as member.

November 12:
- Presented the Alliance and Slum/Shack Dwellers International (SDI) bottom up approach at the New School lecture in New York, USA.

January 13:
- Meeting with Rob Garris of Rockefeller Foundation in Mumbai.

February 13:
- Met with Bangladesh Ministry about infrastructure in cities during their visit to Mumbai.
- Mega City workshop in Mumbai.
- Meeting on sanitation at CEPT, Ahmadabad
- Meeting in Delhi on Poverty and Housing by Ministry of Housing and Poverty.
- Delegation from SPARC attended meeting on poverty and decision makers study in Manchester University.
- Team from Alliance attended meeting in Nepal on CLIFF and hosted CLIFF participants in Mumbai and Pune to visit projects.

March 13:
- Presented Alliance work at India Business School, Mohali.

1 Linking NSDF with IIED

David Satterthwaite of IIED and A. Jockin, President of NSDF exploring how to bring in community definitions of poverty in slums - how to identify different forms and define their typologies.

2 Interns, volunteers and young visitors

Interns volunteers and visitors: Each year we have many local and international interns and volunteers who come to learn how communities transform their own lives and that of the city. They are the future networks of the alliance and our voices in their worlds.

3 Sharing alliance strategies internationally

In many instances Alliance members are invited to share strategies they have developed in international fora. This year the UN Rapporteurs for Habitat and Sanitation invited the Alliance for discussions on human rights and slum dwellers in Geneva. Many such representations were made this year.

Taking local voices to the global stage

Slum Dwellers International

1 Meeting in groups to share what we do

Having worked with relocation challenges along railway lines, the Indian Alliance now facilitates exchanges to India to help railway officials, government policy makers and slum dwellers to produce similar relocation negotiations in various cities in Asia and Africa

2 At the World Urban Forum

At the World urban Forum in Naples, September 12

- A. Jockin as president of SDI participated in events with government officials, and other professionals to discuss inequality and inequity in cities to sharpen the projections that slum dwellers are partners in the change.
- A large delegation of slum dwellers from 8 countries represented SDI, they met with mayors, housing ministers, aid providers and delegates from other social movements.
- In a session addressing the challenges of sanitation, Savita Sonawane from Pune presented the community toilet strategy of the Alliance in India and how it facilitated a national policy.
- SDI delegates participated in many events, listened to what professionals and politicians had to say and sought to make everyone understand that informality in cities was no longer invisible and SDI sought to bring global attention to local challenges.

3 Representing SDI

In cities the issues of address, identity and access to amenities are tightly connected. With city planning continuing to exclude the poor, poor communities around the world are exploring how to seek inclusion.

1. UNDP Civil Society Committee advising the UNDP Administrator
2. Cities Alliance Executive Committee Member
3. Mary Robinson Foundation for Climate Justice

By the communities

Partnerships, MOUs and Alliances

SPARC NSDF Mahila Milan Represented Slum/Shack Dwellers International (SDI) at various events :

May 12:
– Attended the World Economic Forum meeting in Addis Ababa.
– Discussions with the World Bank on projects in Africa.

June 12:
– Presented Slum/Shack Dwellers International (SDI) strategy work at a GIZ event in Eschborn, Germany.
– Attended the Water and Sanitation Council of the World Bank meeting in Helsinki.

July 12:
– Attended the IIED Board meeting in London.

September 12:
– Attended the World Urban Forum in Naples.

October 12
– A delegation from the Alliance attended the World Urban Forum in Naples.
– Participated in African Planning Schools meeting in Nairobi.
– Participated in the Town Hall meeting of the World Bank and IMF in Tokyo.

January 13:
– A team from the Alliance participated in the slum profile partnership with Santa Fe University.
– Participated in a two day event in London organized by IIED, on measuring poverty.

February 13:
– Delegation from the Alliance visited ACHR for their annual meeting on its ACCA program

March 13:
– Attended Slum/Shack Dwellers International (SDI) delegation to Cities Alliance meeting in Addis Ababa.

1 Working with Cities Alliance

SDI and the Indian Alliance have been associated with Cities Alliance in many ways since 2000. However some years ago SDI became a member o f the Consultative Committee and since last year serves on its executive committee. The Land Services and Citizenship (LSC) program of Cities Alliance engaged SDI to build federated slum organizations in 5 cities in Uganda, and this is now part of the projects in Ghana and other African countries.

2 MOU with UCLG-A (Mayors of Africa)

UCLA is a organization representing Mayors and UCLG-A is its Africa arm. In 2012-13 SDI and UCLG-A signed a MOU to work in African Cities together and have joint survey projects in cities in Zimbabwe, Burkina Faso and Zambia.

3 MOU with UNHABITAT

MOU with UNHABITAT in its City Changers Campaign. A. Jockin on behalf of SDI and Dr. Jean Close, Executive Director of UNHABITAT signed an MOU to work together.

SDI now coordinates the urban section of the Global Land Tool network (GLTN)
SDI has worked with GLTN to produce a digital software that facilitates the federations to map slums and households . The first exploration was testing this instrument in Uganda 5 city program, and earlier a city wide slum profile was taken by the Indian Alliance in Cuttack, Orissa.

4 MOU with African Association of Planners

The Association of Planning Schools of AFRICA signed a MOU with Slum/Shack Dwellers International and in October invited Sheela Patel to give the inaugural speech and Katana from Uganda Federation to present the federation experience of training university students to work with the slum communities. Now this alliance seeks to undertake many other projects.

Reflections on embracing change

Change and Development

Change is a crucial and foundational aspect of ongoing influences that impact a locality, a city or a nation. Some changes we can plan for and create actions to embrace change. However humble or small and personal or organizational, these changes we aspire to produce have to mediate with externally promoted changes that have global & national, economic, political and other impacts.

How do we create a balance that retains focus on what can be done by civil society and by our own institutional interventions; meanwhile externally supporting or opposing currents of change continues.

How do we accommodate planetary challenges and national issues within our perspective without allowing them to drown our focus on creating voice, choice and space for the urban poor in cities.

Clearly the choice is only between REACTING or RESPONDING... to expand our vision, capacity and reflections on these processes even as we engage the city and communities of the urban poor for local action with a global perspective.

The paradox is that while we seek to accommodate and explore these challenges, we find that the poor who are victims as a result of many of these global crises find they have one more battle to fight in terms of global solutions where their vulnerabilities increase and their options for exploring change decrease.

Imageries of transitioning to urban India

India continues to remain a land of villages in the minds and hearts of Indian administrators, planners and politicians. Embracing urbanization and exploring pro-active strategies is a long way to come as crisis, problems and catching up on deficits of infrastructure and amenities remain the main basis of policy responses.

With 32 states in a federal government, urban development and housing remain a state subject . Each state is at a different level of urbanization with northern states being less urbanized while southern states will soon hit 50% in the coming decade. When should a state government begin to pay attention to urbanization?

Cities are caught in a clash between state governments seeking autonomy from the center and wanting to control their cities. Between the 74th amendment which gives cities a new status as the third tier of government, **and the state governments' policy of fiscal transfers and inadequate financial and administrative capacities, cities find they have responsibilities but no financial freedom**.

Census data indicates that over 3000 census towns exist but are not accorded urban status as being rural provides more resources and flexibility and wider governance opportunities within the present fiscal transfer context.

Although the election boundaries remain fixed and more election units are urbanized, political parties continue to have their major and senior political leaders elected from rural constituencies and political parties have to still make space to take the urban leap.

Making Change by the poor survive:
Scales for precedent setting

– Experimenting a possibility
– Demonstrating it works
– Scaling it beyond present numbers and location
– Supporting others (cities and communities) undertake the precedent setting activity
– Post policy being framed, projects and programs undertake the precedent setting activity

The precedent setting activity is seen as a research and development crucible to find solutions for including the needs of the poor in the development framework. Grant funds we believe are more than adequately leveraged when the precedent setting activity gets mainstreamed.

Sharper reflections and articulation of the value of THE INFORMAL sector habitat and livelihood on cities and national GDP

Increasingly informality of occupation and habitat expand in cities trapped in 19th century city planning that somehow facilitates gated communities malls. Paradoxically while cities increasingly contribute more than 60% of GDP, over 90% of the work force is informal (urban and rural) NSSO data has begun to estimate that the urban informal sector **generates 25% of GDP, yet in the words of Aromar Revi " we** don't see this sector having meetings with the Finance Min**ister before the Budget".**

We hear arguments to the effect that the informal urban **poor don't contribute to the city's revenue since they don't** pay taxes.

Although India proudly highlights that Indian Diaspora sends more foreign exchange to India than Direct Foreign **Investment, we don't read economists quantifying how** urban workers, especially those in the informal sector, contribute to their families in rural areas.

Most importantly monies collected in the name of the unorganized sector, be it Bidi workers, construction workers and others remains in state coffers and is not given out the those workers.

Who will change that?

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Scaling-Up

Perhaps the most important obstacle in scaling up is the mindset of policy makers and others who do not give slum housing and sanitation its rightful place in the development agenda. The focus is primarily on housing even under a scheme titled 'Basic Services to the Urban Poor'. The focus on housing completely negates the reality that the poor invest in and construct their homes more than the state. Yet, the imagery of ground plus three units in rows built by contractors forms the basis of the BSUP subsidy even though it hardly reaches 5% of those living in slums across large and medium towns.

Cities have modest fund allocations for providing amenities and sanitation to slums but even this is rarely utilized. This is exacerbated by the refusal of most central government agencies to allow basic amenities to slum dwellers. The same can be said for some state governments which limit development only to recognized or notified slums. Going to scale in the area of slum upgrading and sanitation depends upon the existence and continuing growth of Non-Governmental Organizations and Community Based Organizations in large numbers. Today, there are few civil society entities interested in urban informal settlements.

Aspects that prevent scaling include the interference of private developers or local politicians who want to have their own say and hold over the projects These hindrances can be challenged when communities are involved throughout the process to self-manage and implement their own projects as part of the government schemes.

Advocacy for Policy Change

Unless there is parallel advocacy to bring project precedents into policy, a vital aspect of project potential is lost. With central and many state governments reviewing their project delivery mechanism, this process has to be strengthened and advocacy goals have to be decadal rather than annual. Precedents have to be scaled in different geographies in a federal structure where state governments set up their own policies.

For solutions to long term challenges and vulnerabilities that the poor face, strategies have to first identify the basket of problems and locate aspects of that process which first inhibit the poor themselves, believing they have a role and contribution to make in finding the solutions. Once that hurdle is crossed, then priorities get set and communities begin to link affordability and aspirations to balance out what is possible, then examine what structurally still continues to define obstructions in the form of resources, existing rules regulations and build strategies to address them.

Engagement and Mentoring

As projects extend to more cities, coordination is a challenge. NSDF and Mahila Milan also have to balance their time between construction supervision and ongoing federation negotiations and advocacy work. Still, city level organizations of the poor must have a pipeline of construction activities to refine and build their capacity and knowledge. We must also begin to explore ways to mentor the next level of communities and professionals who will be part of expanding the cadres of solution creators to refine and scale this process.

Be it developing a solution or advocating it within communities or with city and government, unless this process stays on course for a decade at least, the status quo will drown this process.

Reflection Points

The Big Sustainability Question

Before we begin to discuss sustainability, we need to clearly understand the implications of what we do and where it will take us. In development linked discussions there is a ongoing debate on how institutional sustainability is defined. Unfortunately the simplistic assumption is that if you have financial sustainability all else will follow. There is no question that financial independence and sustainability have value in and of themselves, however the singular focus on that is a denial of the complex environment in which organizations working on issues of poverty operate in.

The formal institutions seem decades away from creating real inclusion of informal urban dwellers and all rhetoric of inclusion has to be constantly tested. The innovative precedents needed to make this process operational are few and far between and even those financial institutions which exist (such as CLIFF) seem in a hurry to demonstrate sustainable models.

While the full fledged debate on this continues within the CLIFF implementing partners, SSNS and the Indian Alliance is of the opinion that the development industry has to see projects as investments in organizations of the poor who have outreach and scale as part of their research and development arm. There are few strategies and even fewer systems that seek to get the poor to seek investments from the state. Clear linkages between what is good for the poor and for the nation, and strategies that have both local feasibility for scale and globally transferable solutions are in short supply.

We believe the urgency of this contribution in both the Indian context as well as in the international space. What we do and who we interact with to create solutions has huge significance and the quest to refine and develop it merits investments as a priority against making us financially self sufficient. At some point when we will no longer have financial support, we will be forced to develop alternative strategies and prepare ourselves internally for this possibility; that will limit our ability to set precedents, take risks and innovate to explore scale while building internal governance structures and management skills that will work not only for us but inform policy and practice of a sector that needs to be built from scratch.

Goals

Facilitate several different types of community upgrading projects to be designed financed and executed through communities living in slums.

To bring together communities, cities, technical professionals (architects, planners and engineers) bankers to work together to produce a pipeline of projects.

Identify Challenges and loop holes in policy and project delivery that are often found in this initial phase through concurrent monitoring to refine and improve delivery mechanisms.

To pilot projects that become learning centers and precedent setters to a new way to deliver slum improvement and upgrading by leveraging subsidies with loans.

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Our collective reflections during monitoring discussions

Climate change and poverty and vulnerability in cities	Climate change is now a planetary challenge that impacts each locality and while nations remain undecided about their collective responses, poor neighborhoods in cities already vulnerable to evictions find that their vulnerability to flooding, land slides and weather related events is exacerbated in new erratic weather conditions. Increasingly this will be one of the areas that we as the Indian Alliance and SDI will have to make foundational in its processes.
Producing solutions that work for the bottom 30%	Development interventions have a habit of seeking the low hanging fruit, choosing to focus on groups of communities or individual where intervention will produce immediate impact. Development investments have shorter and shorter project time frames and want quick outputs and outcomes with quantified results. In a decade which has shown rising inequality at global and local levels, such interventions have been destructive, harmful and self defeating. The Alliance's commitment to find solutions for the poorest, while assisting others and working at collective levels rather than targeting individuals, means swimming against the tide and fighting lonely battles.
Battling the state while seeking coproduced solutions between the state and the urban poor	The more recent abdication of the state responsibilities to its most vulnerable poor by bringing in the market and private sector is a tough and dangerous move. When the private sector is a big global business they have been by and large ineffective in addressing issues of vulnerability and co-production of new possible solutions to new challenges, especially in cities. The Alliance finds itself working on a dual strategy of challenging evictions and negative impact of policies while seeking to engage the state in exploring solutions which the state can support, that assist the poor.
Challenging design and planning regimes that are outdated and exclusionary	Cities in this millennium have to review their planning and regulatory framework. In India where more and more manufacturing is moving to rural areas according to the 2011 census, and increasing percentage of employment is informal, cities are completely out of sync with what occurs in the informal. Cities have been unable to develop a regulatory framework that produces good governance for all. As things stand presently increasingly, both metro areas and small and medium towns have more and more areas with informal settlements or slums; development in the formal city has inadequate housing for the middle and lower income groups, while property of high value heats up property markets. These distortions get harder to correct without changes that emerge from the reality of what is happening in the city.
State subsidies and challenge of absorption and utilization	Clearly the challenge in India and development is no longer funding subsidies for those who are poor, but the design, execution and monitoring impact of resources. Even today the fiscal allocations needed to address deficits in urban infrastructure on the whole, and support to the urban poor is not sufficient in relationship to the need, resources allocated do not get used and much of what is utilized does not reach the poor. Much of the work of the Alliance is to develop new strategies, design and execute such schemes in which the poor themselves are involved in all stages.

Dealing with change

Reflection Points

The stark contrast between the extent of collaboration and involvement of CSOs and community based groups working on rural issues and the deep distrust and antagonism that urban civil society faces within state institutions further reduces the possibility of exploring new strategies and solutions to define and address urban poverty and vulnerability. The Indian state is deeply suspicious of CSOs and views their challenges and assessments of state failures .Instead of seeking CSO contributing to strengthen state programs, punitive measures seek to shut these agencies . Much of these challenges emerge when the state sees CSO as foes rather than engage them in accelerating change and development.

The state and CSO relationships

In the 1980s, the Public Interest Litigation (PIL) opened possibility for the poor to seek assistance from the state. In more recent decades more and more PILs have begun to seek judgements against the poor, who clearly breach antiquated urban planning rules which form the basis of many judgements. As is the case of the dominant political view, the rural poor are virtuous while the urban poor are not. Their presence in cities produces anger, hostility and disgust while their labor definitely produces services without which the elite cannot survive.

Courts and the urban poor

In the end the deep realization and acceptance of the role and contribution of INFORMALITY of Habitat and Livelihood to cities and their GDP as well as to the national growth story remains unacknowledged. Increasing data analysis of GDP contribution by urban areas now clearly accepts that over 60% of GDP comes from the 30+% of urban India. What is not fully acknowledged is that about 25% of that comes from the informal sector. Formal associations of manufacturers, service providers all get to see the finance minister before budgets. One wonders when organizations of the informal urban poor will meet the Finance minister of India as a critical constituency influencing budgetary allocations!

Informality and cities... accommodating the majority

In the end it comes down to the power of having a voice and representation, and the poor in cities have no voice, no recognised institutional arrangements and no acknowledgement of their contribution to the cities as well as the remittances they send to rural areas. It is in this context that explorations to create organizations of the poor that are asking for more than subsidies; they seek to participate in the inclusive city formulation that becomes significant. Creating this legitimacy, producing the architecture of such organizations remains the meta level challenge of the Alliance and similar urban organizations.

Value of institutions of the poor

In the end, nothing can replace good governance and the role of political leadership to create judicious arbitration between the needs and aspirations of different competing groups or institutions in a given geography while constantly examining the impact of global trends and forces on local processes. That remains crucial as a backdrop to what institutions and organizations can do in a locality or a country.

The value and contribut9ion of good governance

Planning for the years ahead

Staying on course for the decadal challenges

1 Stop being victims and organize

Slum Dwellers are constantly locked in a vicious circle of staying in survival mode, locked into a feudal relationship with informal protectors and political parties **that promise to "give" them** things which rarely arrive at their doorstep. Federating slum dwellers and building a new identity is crucial and while many have begin this journey many more have to participate and seek change for themselves.

2 Agree internally for priorities for change

Building a voice is easier said than done. Building capacity to set priorities, build a common set of demands and solutions is a very hard process. To do that in a positive governance structure within institutions that are being set up for federated communities is even harder. The longer the negotiations take the harder it is to encourage communities to federate and get organized.

3 Design and demonstrate alternatives

This report, as many others that narrate the explorations of community driven solutions, shows that this is a tough process that is minimally a decadal process. It has to carve out first a niche to demonstrate that it works for the poor, then show the city its worth; changing rules and regulations to give it policy and program recognition; lastly, it has to morph into a more scalable project format across cities and locations. All this takes time and effort and embracing risks of quality and participation. Many unintended consequences emerge from this level of project delivery and many of these risks are linked to the non acceptance of the potential for failure that emerges from both internal and external factors. Paradoxically if it cannot withstand real scalability that whole process dies.

Ideally, if innovation that gets crafted is useful for large numbers, then its potential for scale is should be taken care by the market and assisted by the state. In the case of Habitat for the poor in cities, the challenge of creating institutions, changing behavior of the poor, designing solutions, testing them, and getting a policy framework that legitimates it remains a multidecadal process.

The inability of the innovations' recognition at the national level and at state level means that it has to be explored in many cities and states for its efficacy to be demonstrated again and again and defended against being set aside.

These external challenges continue while internally large numbers of the urban slum dwellers have to sustain their commitment to demonstrate critical mass of aspirations, while participating in exploring alternative solutions which get refined and are constantly changing as projects show areas for improvement and greater efficiency.

So creating external viable evidence while sustaining internal reformation remains a high degree of commitment by the core leadership of NSDF and Mahila Milan.

Retaining the decentralized nature of how federations work also means that while national Alliance leadership mentors, assists and facilitates the processes, its main actors have to be local. Their growth, exposure and capabilities form the ongoing agenda for action of the Alliance. Their mistakes, failures and omissions are risks that the national Alliance has to share with them.

2013-16

When the process moves slowly, and requires high degree of acceptance by the state and emerges from a complex blend of subsidy and grants, managing external relationships is as hard as sustaining internal momentum.

The hostility of political and administrative stakeholders, often makes community members fearful of taking on this new identity of being federated. Conventional development actors are often equally suspicious since the imagery of NGO alternatives are often seen as islands of perfection, which federation processes certainly are not.

Therefore the creating of a double helix of action and reflection, of exploring alternatives while also acknowledging needs for corrections adds to the internal roles and functions of the federation leadership.

The period of 2013-4 onwards, this challenge of stability within the Alliance and scale of operations will remain a central focus of planning and strategic thinking.

Getting more sustainable and less dependent on external grants will also be of equal priority since grant resources are clearly shrinking for Indian NGOS.

Finally, staying on course while integrating new aspects of habitat linked challenges will also be crucial. Each decade and millennium brings in new issues that affect everyone, but exacerbate the vulnerability of the poor.

In this instance we begin to explore the increased vulnerability of the poor living in already fragile areas in cities to climate linked crises and seek to understand and participate in this debate as we have done on secure habitat

4 Stay on course with ongoing processes

The last decade of work indicates that tenacity and persistence are critical in creating robust community driven solutions. Our strategy has been to "*WORK ON A HUNDRED KHICHADI POTS*" MANY SPECIFIC PROJECTS HAVE UPS AND DOWNS AND LONG GESTATION PERIODS. Abandoning them as failures has been due to NGOs having short project cycles for funding and government and donors demanding quick outcomes and outputs. Despite many decades of demonstrating how real poverty challenges have at least a decadal cycle, the development world still seeks quick solutions. NSDF and Mahila Milan have forced this realization on all of us working in SPARC and we seek very hard to build that insight into our communication with those in government and foundations that support us.

5 Stay open for new explorations

Deepening our ongoing knowledge in what we do and do it better has to go hand in hand with exploring new knowledge and insights that can widen and refine what we do. This requires time and taking risks to explore possibilities we don't know much about. Yet our three decades of learning by asking questions, and the litmus test of how it will impact the poor helps us make those transitions.

6 Focus on survival of institutional identity

It has been a long yet fruitful journey to develop this institutional arrangement and federating process that provides a vehicle for voice and participation to slum dwellers, especially women. This emerging identity and institutional arrangement faces many challenges. Firstly, it's critical mass while it produces engagement also threatens others whose powers it threatens and the leadership of NSDF and Mahila Milan have to constantly deal with that. SPARC being the legal face of the Alliance also faces similar threats which we have managed to deal with so far. Secondly, and more importantly, internal governance roles and relationships have to be monitored constantly. All leaders are not democratic and many are exploitative and federations have to deal with them. Finally, the alliance's exploration for partnerships often have to cope with issues of being co-opted, exploited and misunderstood; often burdened with expectations without resources and recognition. Yet the focus on what we seek to achieve on our collective behalf and our ability to stay on course addresses many of these issues that would not have been possible had we taken a more short time frame.

Some urgent actions and strategy for the next three years

Slums and the city

Can there be cities without slums? Can we believe that there will be no poverty by 2030?

Today, the in-formalization of economy and expanding numbers of those who live and work in informal sectors in the city demonstrate the inability of existing legal structures to plan, assist and support increasing numbers of the poor in urban areas.

"Make them Formal" is not the solution and unconventional wisdom is the needed. What can government policy and practice do to expand and support what people already d - build their own homes incrementally, work where they can?

Why is it that everything the poor do is illegal and unacceptable while concessions for industry and formal institutions are justified. Real inclusivity requires the growth by these sections of society to be higher than the rest and not depleting their assets (evictions). Investing in expanding their security and education and health is clearly the way forward.

The Alliance works on habitat issues linked with identity security and citizenship. It builds capacity to help organize the urban poor to create this identity and become solution creators and negotiators worthy of being partners in development.

Strengthening Collaboration with the government while challenging evictions and demolitions.

Deepening the ability to undertake both and building new development interventions will remain the ongoing focus of the Alliance. Deepening articulation of what works and what does not work for the poor in cities is critical to creating inclusive cities.

Expanding the legitimacy for collective action

- *Locating the issues and activities that are not permitted but the poor need to undertake them.*
- *If the people actually undertake it what norms and policy obstructs it.*
- *What does it cost the city and the poor to do such an activity illegally*
- *How can solutions demonstrate how changes in practice, policy and make a big difference*
- *Produce a solution in which there is a clear practical demonstration of solutions which invites the state the community and professionals to view this.*

Creating alliances with other stake-
holders: locally, nationally and glob-
ally

Knowledge and legitimacy for roles
that the poor and their organizations
can play in urban development has to
have local and global acceptance as
well as integrate into the educational
systems and development practices.
This will also become equally crucial in
the coming years for the Alliance.

Creating a 5 step scale to track engage-
ment with others

1. Getting introduced
2. Exploring each others activities processes and
    strategies
3. Explore a short term engagement to explore a
    working relationship
4. Undertake a multiple year work process to
    deepen engagement
5. Build on a long term alliance and draw other ac-
    tors into the process together.

The Alliance explores this locally, nationally and in-
ternationally through Slum/Shack Dwellers Interna-
tional (SDI).

A critical shift that transforms other
stakeholders from seeing the poor as ob-
jects of their activities and targets of their
investments to partners in developing
and executing solutions is the outcomes
that this process explores. In most in-
stances it takes time and patience to
change attitudes on both sides.