



SPARC

Society for the Promotion of Area Resource Centers

Annual Report

2016-17



Contents



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 pavement 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.

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Reflections from the Director

This year has seen global uncertainties increase, shifts in global alliances, negotiated deals that sought unity have been breached creating direct and indirect impacts that have implications for all. Clearly, globalization as it has been occurring has not produced positive outcomes for all since inequality and the divide between those who reap the benefits and those who do not are evident at neighborhood, city, national and international levels.

We see increased evidence of many crises and conflicts creating upheavals amongst people. Clear distinction between development investments and conflict and crisis linked assistance has been around forever; it would seem that climate change and conflict refugees have produced migration, much of which has demonstrated that cities are often the end points that draw people to them. To those fleeing their homes, refugee camps seem intuitively to be endless black holes from which many cannot move on.

In the midst of declaring 2030 as the target year for achieving global compacts to end poverty, to achieve climate change and sustainable development, the UN is facing a crisis for its very existence and while the rhetoric of all local, national and global leaders wants to reassure us all that “ALL IS WELL” clearly, peoples lives don't reflect that.

The challenge of urbanization is not fully comprehended, heeded or acknowledged. Decentralization, it would seem is a half finished business that each tier of any power center wants to hold on to itself, so that the actual local stake holders and actors, city councils and local citizens have very little power or control over their lives, over the choices they should be making or over the negotiated development they should explore to make it work for all.

The crisis of exclusion that is visible in the expanding informality of habitat and livelihoods keeps growing as national regulations and legal frameworks deem these illegal, creating wider and deeper exclusion, so that Inter-generational exclusion from all public amenities, lack

of transparent governance and constant threats of evictions, displacement and loss of life and livelihood haunts those who are the most vulnerable and most in need of state support.

More and more metropolitan regions are emerging as cities absorb peri-urban areas and adjoining rural areas. This has produced more informality and lack of connectivity for those whose lives are now “deemed” urban yet the city administration does not include them in the city and municipal services.

Many say that Mumbai in the next decade and Lagos in the decade after that will be the largest metros, yet both cities have not produced governance systems that work even for their present populations.

The conditions in medium and small towns are even worse, they are poor themselves and their citizens are also poor, yet they urgently need assistance to manage modest deficits to be able to accommodate the growth that is anticipated. Yet national and provincial governments seek to encourage them to follow the failed policies and practices of larger metros.

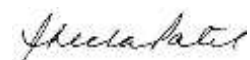
Cities in every province, every nation are fighting to attract global investments. Under the guise of attracting these investments, more investments in a few parts of the city or gentrification of some parts of the city are only adding to the differences and seem to be exacerbating existing inequalities and exclusion. SMART CITIES in India will definitely do this if they ignore or exclude their informal settlements, if the areas surrounding these districts lose good connectivity or if investments in those locations don't produce improvements in adjoining areas.

All those who work for the provision of basic services for the poor rejoiced when the Prime Minister championed sanitation. Yet it is a strategy that needs to do some

serious reflection and has some reformulations to consider.

Firstly, encouraging everyone to build toilets is very good, however, if there is inadequate water supply, and there is no safe disposal of the fecal matter the whole thing is not much better than open defecation, since pollution of the area around the settlement and the city continues. Secondly, the responsibility is clearly that of the city and province to ensure that technology and finance is to be made available to the city to work in parallel. Thirdly, with the competition to announce that the town or city is OPEN DEFECATION FREE most cities are making the announcement regardless of evidence that there is still open defecation. Studies have provided that 90% ODF is still not good enough. It has to be 100%.

The issue of neighborhood and house improvements is similar. Politicians always prefer reconstruction and relocation to the upgrading of homes yet, in the last thirty years, experience around the world shows that when relocation houses get built on the periphery of the city, they remain vacant, later to be encroached by those who are better off. Households forced to take loans (in a few instances) end up not paying up because their incomes just don't improve as per the banks' projections. The real solution lies in developing greater investments in upgrading public amenities and seeking state subsidy for that and to let households upgrade incrementally—especially those who are very poor.



(Sheela Patel)

Section I: Process

Federations and the power of AGGREGATION

The foundational blocks of the Indian alliance

In every report we write about the most important building block of our work : “the power of aggregation” and regardless of how much we have written and spoken about it the insistence to keep explaining it continues. And because it is so important to our strategy we continue to repeat ourselves seeking new ways and new language to explain what we mean.

With the back drop of the SDGs and their increasing relevance to the urban locations in the world, in general those who seek to address poverty issues are faced with huge challenges. The sheer volume of men, women and children trapped in informality of habitat and livelihood means that while old challenges are not recognized or addressed and impactful policy and practices remain unfulfilled, new global changes and new global economic trends are further exponentially expanding the differences between the rich and the poor and volumes of households and neighborhoods take longer in intergenerational terms to benefit from improvements that have the potential to help them leap frog their impoverished situation.

The federation model we adopt seeks to produce several possibilities.

1. It seeks to **aggregate households** at five levels neighborhood level; city based informal settlements level; city level; state or province level and national level.
2. It seeks to produce a process that retains **local priorities while producing collective and expanding agreements of the most important set of challenges** that have to be internally acknowledged by the network.
3. The **5 levels of aggregation also help to produce leadership that can make representation** to the governance structure to find an appropriate location for dialogue with the state. In India for instance all urban development policies are in the hands of state governments.
4. While each level has **the right to design and demonstrate solutions that they want to represent** to the government at whichever appropriate level, the network produces the potential for others to learn to experiment and adapt that solution to their own needs.
5. **Evidence and demonstrated success remain the most powerful advocacy** through which urban social movements can produce policy and practice from below that will influence government policy and practices.

Aggregation that produced impact

The federating process based on the type of land you have encroached upon

The case of the pavement dwellers in Mumbai

Since 1984 when the Alliance started working pavement dwellers faced evictions. After 1985 under the threat of evictions there emerged a network first to support each other in the face of evictions and later to undertake a survey of all pavement dwellers in the city. This led to the pavement dwellers federations.

Women's savings groups and the impact of women's empowerment and representation process;

Mahila Milan

The women on pavements who actually managed the settlement issues agreed to start savings but initially never considered they would be leaders. Yet their networking and their passion to stop evictions transformed them.

The city and even researchers had a distorted understanding of how many pavement dwellers were in the city. **WE THE INVISIBLE**, the census of pavement dwellers undertaken by pavement dwellers changed that and created history in federations.

The value of federation produced Identity: the Mumbai Urban Transport Project II (MUTP II) story

The enumeration process also produced identity first in the pavement settlements then in railway settlements and now the state provides identity cards for those who get relocated. The enumeration of households by the residents associations aggregate all who encroach on that land.

The negotiations and dialogues federations style: come and meet us instead of us coming to your office

The practice of waiting in servitude for the state representative to meet communities was turned on its head. Now community gatherings of several thousand people invite politicians and administrators to come to their events and listen to their propositions.

The precedent setting process: the example of the house model exhibition; the community toilet story

The women on pavements always dreamt of a home of their own; they evolved a unique design studio of their own, drawing their houses, making models with cardboard boxes, and finally developing core houses which they learnt to cost so that the sizes, utility and visions changed to fit practical reality. Today thousands of women walk through this process.

SDI pays the best compliment to the federation processes set up in India when these federation tool kits are demonstrated to be integral to all federations who join SDI

The federating principles and its challenges

Locating the edge of the wedge: What will change the status quo?

Since the beginning of the alliance of professionals and men and women committed to the federating process many conventional almost rote processes of organizing or analysis of locating friends and enemies, or even project development, knowledge transfers have all been contested within the alliance and are always open to change and modifications.

This behavior is neither opportunistic nor undertaken thoughtlessly. It emerges from some foundational commitments and began with acknowledging the need to change how we behave in the development sphere.

1. The urban poor having developed a survival strategy will not move away from it without evidence. So the women said, "TELLING US IT IS GOOD IS NOT ENOUGH. WE NEED TO TEST AND SEE EVIDENCE OURSELVES".
2. Most of the strategies that professionals have been taught during their education or that emerge from ongoing practice always end up either taking the low hanging fruit or doing something that is good, useful but does not dramatically change the status quo. WHY TEACH CLEANLINESS WHEN WE LIVE AROUND GARBAGE HEAPS, DEFECATE IN THE OPEN AND HAVE NO ACCESS TO CLEAN WATER?
3. No solution which was really impactful came from a quick fix. Both communities and professionals had to work hard to explore many possibilities and to explore solutions.

As a result, most of our processes have been decadal, and seemingly did not indicate direct linkages to outcomes in the form of projects that are the final evidence of their impact. **Take women's savings groups.** Their main function when we started as it is now, is to build trust, transparency and accountability within communities because you don't give money to anyone you don't trust. By giving loans they got financial literacy through investigating purpose, understanding capacity to pay and ensuring that the money is returned out of a collective trusteeship. It changed the self perception of those whose past experiences were of borrowing from loan sharks. Women undertook savings and became part of a national and international network and changed how their families and communities perceived their value contribution and roles in the well being of the neighborhood. These women's networks named Mahila Milan identified their most critical needs and worked together with SPARC and NSDF to define ingredients necessary in the solutions: what roles and functions and resources communities could provide and what was needed from the city state or other resource providers.

Take the enumerations process. For most of the federation members (and twenty years before Aadhaar cards were even conceived) settlements and households and their members were censused by the residents themselves. They not only issued themselves identity documents, they also produced vital data for internal and external usage. It changed the way community members saw themselves, not as isolated neighborhoods but as part of a movement seeking change in which they had a role. **The SDGs gave the motto "leave no one behind" in 2015; the federation has invested in this since its inception in 1985.**

The concept of precedent setting. This word almost got manufactured because grant makers could not understand why in our proposals we always asked for chunks of money with no specific allocations. Yet these have produced the most impact in terms of creating policy and projects developed by the city and state governments thereby leveraging immense impact and outcome.

Negotiation federation style. It changed how opportunities were seized, city and state institutions which were feared and hated for evicting the poor, became new possible partners in change. Instead of fearing the state, communities challenged them to find long term solutions. It is one thing to demand 'no evictions' without alternatives and it is another to design and demonstrate that they could facilitate relocations. The precedents demonstrated the solutions and the scale of the federations gave the city the confidence to explore this new, seemingly risky solution.

Peer learning and horizontal knowledge exchanges.

Scale, adaptability, portability and assisted learning are the only way solutions piloted on any scale can move to the next level. Pilots and precedents need champions; governments change, political leaders move on or lose, but communities remain the same. The federation process constantly encourages all within as well as outside the network to learn, share, explore and try new possibilities.

Challenges are always present. Solutions evolve and most are never perfect with many things that have to be refined so replication and refinements is the only way forward.

New possibilities need risk taking leadership within the state, in the administration and at political levels for new possibilities to be explored.

Communities themselves are often made vulnerable when individual opportunism produces mismanagement, cheating and theft.

These and many other factors have often produced interesting pilots that never scaled up.

Savings and Loans

“We started saving because, earlier we did not know how to save money. Whatever was left we would give to our children, earn and splurge, eat it away. If a problem arose, we had to take money from the pathan (money lender), or otherwise we had to pawn some jewellery”.

**We collect People, not just Money
- Mahila Milan Slogan**

The savings and loans activity of Mahila Milan on the one hand helps meet the financial crisis of the urban poor living in slums, on pavements, along railway tracks but on the other hand it also contributes towards building a stronger federation of leaders which gives them the power to negotiate for their rights. Savings is also considered as one of the rituals in organizing and mobilizing poor communities.

The importance and worth of the savings that the urban poor do cannot be measured in terms of how much have they been able to save, but by the number of loans they were able to give to the needy in times of emergency, preventing them from borrowing from money lenders at high rates of interest, building self-confidence. This way they have been able to increase their incomes through loans, building their financial skills when they take on projects, and so on.

For the women, when they go out to collect savings daily, its not only collecting money or counting how much people are saving, instead it is more about building a relationship with the each and every family that is saving so that when there is a crisis they know that the family is actually in need of help. Federations and savings go hand in hand.

Loans for Income Generation- 2016-17

State	City	Members	Loan Amount
TOTAL		848	1,02,38,000
Karnataka	KGF	99	17,40,000
Karnataka	Mysore	44	6,56,000
Uttar Pradesh	Kanpur	4	11,000
Maharashtra	Mumbai	526	49,41,000
Maharashtra	Ahmednagar	18	1,80,000
Maharashtra	Kolhapur	50	10,00,000
Tamil Nadu	Ariyalur	107	17,10,000

Total Cities /Settlements Saving Cumulative upto March 2017

States	Federated Cities	Total Slums	Federated Savings Slums*	Savers
10	81	10265	696	49008
Maharashtra	13	1074	182	18164
Andhra Pradesh	7	1100	68	1525
Delhi	1	477	1	200
Gujarat	4	2857	15	2700
Karnataka	14	1320	87	4040
Orissa	6	1018	110	7309
Pondicherry	1	100	5	340
Tamil Nadu	31	1929	118	4137
Uttar Pradesh	1	390	37	9623
West Bengal	3		73	970

Mahila Milan and National Slum Dwellers Federation (NSDF) are all part of the federation but they have separate spaces of work. The Mahila Milan mostly does the savings and controls the money while NSDF is more involved in surveys, enumerations and mobilization. The alliance believes that for sustained transformation of poor communities, men and women have to re-negotiate their roles and relationships at different levels, and the Alliance, especially Mahila Milan, works at managing these changes, based on their own experiences.

The loan systems practiced at community level are inseparable from the savings activities and are usually provided from the larger pool of common savings. These loans are given for minor emergencies and financial needs, for example, health, recreation, education etc. Loans are also given for income generation activities as well which are gradually repaid by the residents. People also take loans for repairs and upgrading of their homes.

Individual Housing Upgrading Loans- 2016-17

State	City	Members	Loan Amount
TOTAL		286	65,05,000
Karnataka	Maddur	161	27,05,000
Karnataka	KGF	85	26,00,000
Karnataka	Mandya	15	3,00,000
Karnataka	Dharapuram	15	4,00,000
Maharashtra	Kolhapur	10	5,00,000

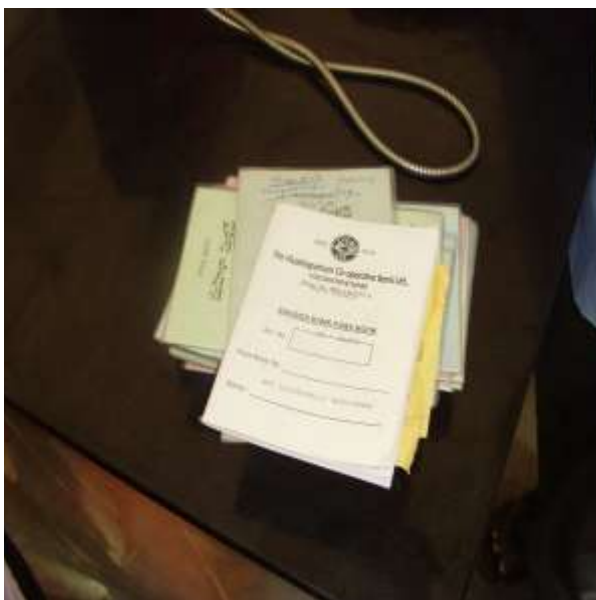
Savings and Loans

One of the main objectives that savings and credit serve is to ensure that women are central to the process and their role is being recognized by men at large.

Savings and credit are also important to ensure sustainable relocation as additional monetary demands created by the relocation are supported with the compulsory savings that communities create before shifting. It is of great help to families that have to move away from where they have been living for decades. The money saved takes care of expenses such as electricity, water, maintenance or beautification of their homes, purchasing new things for their new homes and transportation since they have to commute a longer distance than they ever had to.



Shekhar explains to Luis Bettencourt from Santa Fe Institute how savings are recorded and registers maintained to show other organizations who visit Mahila Milan and NSDF. It's most powerful value is women managing their own money, serving their neighborhoods and learning skills of collective financial management, building trust and lending to both men and women. THEY BECOME THE BANKERS OF THEIR NEIGHBOURHOOD. The challenge for many NGOs is how to balance financial accountability and devolution of that power to manage money.



The Mahila Milan pass book is an internal ID card of the household's links to the federation process. Although NSDF has no Identity card to pronounce membership, unless most of the households save, the neighborhood doesn't become a member of the local federation. Until recently, most of the poorest in the city often had no identity documents. They began to get their ration cards, and more recently Aadhaar cards and bank accounts through the household registers of Mahila Milan savings.

The Mahila Milan savings book has two sections one for savings and the other for loans taken and installments returned. Over time, other members, especially children in the family are encouraged to open their own accounts.

Each day this data is filled in a register at the local area resource centre and entered into a digital format so that households, neighborhoods and the federation all have a documentation of these transactions.



MAHILA MILAN ensures that women who volunteer to collect money visit the homes of their assigned families every day. This way they know the daily challenges faced by the community and can lend small amounts on the spot. All little bits of information gradually produce collective issues they can bring to the larger Mahila Milan network to assist them with issues they cannot solve individually.

Data that Supports Local Development

**The federation always uses the strategy -
When in doubt, count.**

The collection of data about slums by slum dwellers is a strategy to organize and federate the urban poor. It serves to translate individual or settlement level subjective perceptions into objective data to produce evidence to develop priorities and the becomes the basis for representation and contestation.

Very often the data that the city or the state has on the urban poor is outdated and does not include the newer settlements that may have come up over the years since the last survey was done. Moreover, the existing data cannot be used for planning purposes.

What does communities owning data mean? Often a grant or a project facilitates how and when data gets collected by communities. It is shared after discussion and reflection. SDI and the Indian Alliance claim that this data is owned by communities and their networks. The Indian Alliance, SDI and its affiliates have demonstrated how their enumeration processes have staved off evictions, produced relocation where needed and secured land tenure. Mainly because it is a technical process embedded in a political framework to produce identity, voice and choice.

The process of collecting data and mapping settlements goes back to the time when Mumbai pavement dwellers wanted to stop evictions by surveying their own pavements. This was also to contest the data that the city had about how many people were living on the pavements.

Surveys/ Enumerations 2016-17		
	Settlements	Households
TOTAL	138	1013
Housing Projects	0	0
R&R Projects	13	450
Sanitation Projects	0	0
Settlement Profiles	120	0
Disaster Projects	0	0
Others (Vulnerability Survey)	0	0
Slum Registers	5	563
Post Relocation	0	0
Household Surveys for other projects	0	0

Surveys/ Enumerations Cumulative Upto March 2017

	Settlements	Households
TOTAL	10607	262574
Housing Projects	606	59286
R&R Projects	1532	143839
Sanitation Projects	1942	
Settlement Profiles	6238	
Disaster Projects	19	338
Others (Vulnerability Survey)	4	537
Slum Registers	5	563
Post Relocation	7	685
Household Surveys for other projects	254	57326



Data that Supports Local Development

Different types of surveys undertaken by the Alliance are individual, household and at settlement level; surveys are also conducted for different projects and purposes. This year the Federation and Mahila Milan are exploring water and sanitation interventions in small and medium towns of Maharashtra and have chosen four settlements in two cities - Nasik and Ahmednagar. Surveys were done at the settlement and household level. Apart from this, we also noticed that in order to access any government scheme/subsidy related to housing, sanitation or income generation one must have certain documents in place to be eligible for applying. With digital media playing a big role, the bottom 30% of the urban poor are unable to avail of these subsidies. Major documents required to access these subsidies include -

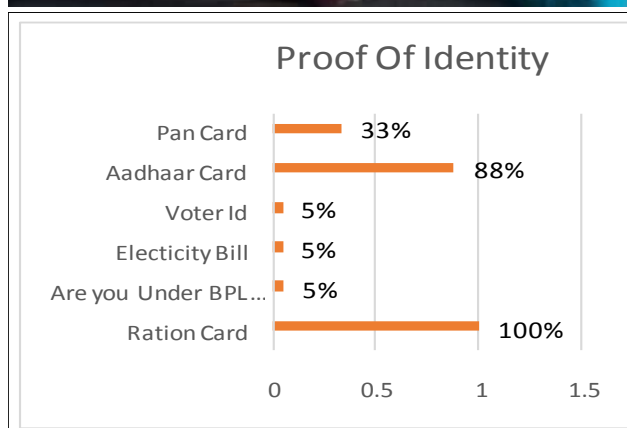
1. Active Bank Accounts
2. Proof of identity - Aadhaar card, Ration card, Voter ID, Electricity bills etc.
3. Awareness of the program

Slum registers are maintained by the federation that contain all the above information about every household in the settlement and also serve as a record of the number of families in the settlement. Based on what has been collected, the families that do not have access to any of the above can be guided to get their documents. The second advantage of these registers is that ready/handy information about the settlement is available and can be updated as and when required. The third advantage is that it tells us the population and average family size which helps to plan any intervention needed. The graph on the right shows the percentage of households that have access to the different identity proofs. This example is from one of the pilot settlements, Sanjay Nagar in Ahmednagar city.

The digitalization of data, its usage and its analysis while claiming to be in the public domain does not get co-produced with organizations of the urban poor, rather, it gets claimed by professionals.

The SDI network has three explorations at present:

1. The data is owned, managed and utilized by the federations. We seek support and assistance to make that happen e.g. Santa Fe institute. We are moving slowly but surely to develop a facility where all federations within or outside SDI can enter data and get primary access to it.
2. We are in a MoU with UCLG to create this information for each city in collaboration with city mayors and slum dwellers.
3. We are exploring ways to train and assist others to do city level slum surveys conducted by slum dwellers with support from SDI or professionals as SOP for any agency seeking to make urban interventions of any kind to develop a benchmarked data base.



Surveys/Enumerations for R&R Projects

State	City	No. of Settlements	Total Households	Total PAPs (Individuals)
TOTAL		1165	100268	387637
Maharashtra	Mumbai (Pavement Dwellers)	468	39772	159652
	Mumbai (TATA POWER)	56	1071	4076
	Mumbai (Mumbai Port Trust)	19	1915	6945
	Mumbai (Railways MUTP)	556	44102	158602
	Mumbai, Dharavi	53	12958	57538
	Mumbai Metro Rail Corridor-VII Proposed	6	247	521
	Mumbai Metro Rail Corridor-2A Proposed	5	191	295
	MUTP II	2	12	8

Slum Profiling and the Know Your City

The case of Constituency Number - 29, Ward P-North is as follows:

As per the 2011 census more than 17% of the population living in urban areas is living in slums. The city average often camouflages the informal settlements. These informal settlements have deprivations across various physical, social and economical dimensions. Most governments do not have information about these informal settlements. Constant threat of evictions and negotiations for secure tenure, basic services and slum upgrading have prompted organizations of the urban poor to institutionalize the practice of settlement profiling and mapping, mobilizing settlements into city federations.

Slum profiling is a potential tool for bottom up policy formulation, it is a process which brings communities together to understand and document their situation so as to come up with alternative plans and be able to negotiate with the local government and authorities to create an inclusive strategy for slum upgradation. This process consists of qualitative and quantitative surveying, geographic referencing of the settlement boundary and mapping basic services through GPS. This data is then analyzed at sub-ward or constituency levels to aggregate at the ward level which gives a complete picture of the deficits at ward level. Since a Ward is a basic administrative unit, it makes it easier to negotiate with the local governments in providing solutions to assist development and redevelopment initiatives in the informal settlements.

The slum vulnerability index is to develop a measurement parameter that would help the

administrators and local governments to identify and prioritise on the basis of vulnerability as a measurement tool that they can use to allocate provision of basic infrastructure and housing through municipal and other program budgets and monitor the progress in the quality of life of the people at ward level.

As of now, a total of 4157 slums settlement have been identified across 45 cities in India, where data related to basic services, location vulnerability, access to social infrastructure and ownership has been collected by the Alliance of SPARC, Mahila Milan and NSDF. Parameters that define slum vulnerability index are as follows:

Location Vulnerability, land tenure status, social capital, age of the settlement and size of the group. Access to basic infrastructure like water, sanitation, and solid waste management, social infrastructure, basic health care facilities and education.



The table on the next page computes vulnerabilities and has been categorized to identify the settlements that need the highest attention and the least.

Parameters	Highly vulnerable	Moderately Vulnerable	Least Vulnerable
Slum Location	Flood prone low lying areas, Under High Tension Cables, along the railway lines, on Mining Dump, Along high speed transport corridors. Previous records of Disaster	Along the slope, on Garbage dump, sinking soil and Nalla (Drains), along main roads.	The slums on any other location apart from the ones mentioned here. No previous records of disasters.
Land ownership	Central- Railways, Ports, Airport land, Defence, Forest.	State and Private land	Municipal land
Tenure	No Patta and no secured tenure.	Undeclared	Patta and Declared slums.
Size of settlement	New and smaller settlements- (Approx. 50HH and settlement age 6-10 years)	Medium size settlement with an age of 10-40 years)	Old and Larger settlements. (Approx. 10,000 + HH and more than 50 years)
Housing Condition.	Kutcha houses (Mud, thatch, Bamboo, metal sheet walls, mud flooring as materials used for construction)	Semi-permanent/Temporary (Exposed Bricks, metal or asbestos sheet roofing, cement flooring)	Permanent (Brick walls with plastered cement, tile flooring, concrete walls, concrete, clay tile roofs or solar panel roofs)

Slum Profiling and the Know Your City

Parameters	Sub Parameters	MANTHAN PADA	MANORI GAON	MURUM KHAN NAGAR	CHIKU WADI MALWAM	IMAMWADI KHARODI GAON	RATNODI OMIJI COMPOUND	SHIVAJI NAGAR	PASHKAL WADI	Constituency 29
Slum Location										Overall the slums are not located on Hazardous locations
Land ownership										80% of the slums are on Private lands.
Tenability										60% of the slums are declared and have secure tenure.
Size of settlement										30% of the settlements are large, 30% medium and rest Small.
Housing Condition.										60% of the houses are Pucca houses and 30% are semi Pucca, 10% are kutchra.
Access to infrastructure	Water									Overall there is very poor access to Water,
	Toilets									60% of the slum HH Defecate in the open, 30% have access to community toilets and 10% have individual or Good access to community toilets.
	Solid waste Management									30% of the slums have no SWM, 30% have infrequent systems and 30% have regular collection mechanisms.
	Street lights									60% of the slums do not have proper streetlights.
	Electricity									All the slums have 100% formal electricity supply.
Social Infrastructure	Health Facilities									Most of the slums have access to Health Facilities
	Education facilities									There is no access to Higher secondary education facilities. 60% slums have below graduation level facilities.
	Banking services									Overall there is good access to Banking facilities.
	Involve-ment with organiza-tions									30% of the slums are not involved with any local organizations.
HIGHLY VULNERABLE		10	3	1	2	6	0	6	6	Manthanpada
		71%	21%	7%	14%	43%	0%	43%	43%	
MODERATELY VULNERABLE		2	4	6	5	4	5	4	1	Imamwadi Kharodi Gaon ,Shivaji Nagar, Pashkal wadi
		14%	29%	43%	36%	29%	36%	29%	7%	
LEAST VULNERABLE		2	7	7	7	4	9	4	7	Manori Gaon, Murum Khan Nagar, Chikuwadi, Ratnodi-omji compound
		14%	50%	50%	50%	29%	64%	29%	50%	

Section II: Projects

HOUSING

The Alliance takes up these housing projects to transform in practice the role of communities in their own habitat design and executions. In the last 30 years of partnerships a system has been developed to build and accommodate knowledge about these issues through projects that worked for their communities and while doing so also produced policy, drawing down subsidy and other resources and demonstrating what the urban poor could do themselves.

Today it is estimated that that approximately 330 million households in urban areas cannot access affordable housing and this will increase to 440 or 1.6 billion people by 2025.

The obvious solution is to champion the adoption of in situ upgrading of informal settlements, promote rental housing at all levels of housing stock and convert unutilized lands in the city into housing stock at affordable rates.

Negotiating local collaboration of the city and its policy framing institutions, the communities and the private sector will at some point have to work together to make this happen. The challenge is to first understand why this is not happening and to examine what we need to do with this goal in mind.

What we have learnt in the last three decades

1. Land, Housing, basic amenities should always be bundled together and should have a wide spectrum of possibilities through which these can be acquired. However no policy in India at city, state or national level has been able to produce scalable solutions that work for the poorest.
2. No small group of individuals or communities can explore change that works by themselves. Federations achieve this more effectively
3. Large networks explore wide ranges of possibilities and either seek land security, improved housing, subsidy or market subsidy housing and the Alliance assists them to take which ever possibility they can negotiate to produce projects to set up precedents.
4. Cities, communities, technical professionals and financing have to align to make projects happen and such alliances get crafted after a lot of challenges are addressed.
5. Financing remains a huge challenge because most often even allocated funds cannot be accessed by the city and definitely not by the poor even if funds are allocated to them.
6. It was only when assistance in the form of capital grants to produce revolving funds became available that the Alliance began to learn to produce a portfolio of projects, developed a wide range of financial mechanisms to draw down funds, and demonstrated what they could do.
7. Pilot precedents, exchanges to learn, early design and execution policies made available to city politicians and administrators, and communities as well as technical professionals not only created early breakthroughs but also provided a wide spectrum of solutions to other communities who took up similar projects.
8. But the inability of national and state government to see real value in self managed projects and to encourage communities to take a primary role in these projects has not produced the scale really needed at the moment.

Papers on housing

<https://www.environmentandurbanization.org/taking-money-making-money-sparc-nsdf-and-mahila-milan-transform-low-income-shelter-options-india>

<http://journals.sagepub.com/doi/10.1177/0956247815617440>

<http://journals.sagepub.com/doi/full/10.1177/0956247816644399>

TOTAL ALLIANCE HOUSING PORTFOLIO		
	Total Housing units	Constructed so far
TOTAL	6929	6837
Subsidy	3541	3632
TDR	3388	3205

COMPLETED SUBSIDY PROJECTS		
PROJECTS	Total House Units	Constructed
TOTAL	1838	1838
Hadapsar	713	713
Solapur Bidi	501	501
Sunudugudu	75	75
Nanded, Maharashtra	213	213
Solapur Mathadi	34	34
Bhubaneswar, Odisha	249	249
Puri, Odisha	53	53

ONGOING SUBSIDY PROJECTS 2016-17		
Subsidy Projects under (JNNURM)	Total House Units	Completed/ Finishing Stage
TOTAL	1998	1734
Phase 1, Yerwada, Pune, Maharashtra	787	732
Phase 2, Yerwada, Pune, Maharashtra	313	104
Nanded, Maharashtra	898	898

SUBSIDY- Cumulative upto March 2017			
Ongoing Subsidy Projects under (JNNURM)	Total House Units	Ongoing	Completed/ Finishing Stage
TOTAL	1998	204	1794
Phase 1, Yerwada, Pune, Maharashtra	787	55	732
Phase 2, Yerwada, Pune, Maharashtra	313	149	164
Nanded, Maharashtra	898	0	898

COMPLETED TDR PROJECTS		
PROJECTS	Total House Units	Constructed
TOTAL	2618	2618
Rajiv Indira-Suryodaya (In-situ)	263	263
Bharat Janata (In-situ) Phase 1	147	147
Milan Nagar (R&R-MUTP) Phase 1	88	88
Oshiwara I (In-situ and R&R – MUTP)	836	836
Kanjurmarg II- Jollyboard (R&R, MUIP)	106	106
Oshiwara 2 Phase 1	1036	1036
Dharavi Markandeya	92	92
Suryodaya (Pune)	50	50

TDR-Cumulative upto March 2017			
Project Name	Total House Units	Ongoing	Completed/ Finishing Stage
TOTAL	780	0	587
*Kanjurmarg 3	780		587

The most tragic situation is that policy makers have not yet acknowledged that

- the private sector and the state cannot produce the volume of housing needed by the urban poor, and that the incremental upgrading over a period of time will and must be taken up by the poor and their communities themselves.
- That academics and researchers need to delve deep into what's good and valuable in what the poor do themselves and what is unsafe and needs alternatives that communities can appropriate urgently to influence norms and standards that will legitimize what people do.
- With climate change and new energy and CO2 commitments under COP, urgent research in energy and building materials has to quickly replace present building materials.

Incremental housing; the only way forward

Since the time the urban poor start squatting on pavements, along railway tracks or on open lands they have been building and investing money in their structures and managing these as well. This to say that they self-build their houses as and when their financial condition allows them to do so. Apart from the financial capacity, they also incrementally upgrade their houses if they have no fear of evictions, or climatic changes or when their families are expanding and availability and affordability of materials is easy. This process of incrementally building their houses is never acknowledged or accepted by the city. The notion is that you break a house and build it again which does not serve any purpose, whereas the poor gradually build and upgrade their houses as and when they have the resources. It is also at times “learning by seeing”.

India has a large housing deficit and the government is working towards realizing this. The role of the government is to assist, support and facilitate what people can do themselves. Almost all poor people who came to the cities in the last 6 decades and more, built their houses and improved them as and when they could afford it. What can government policy do to encourage, assist and support those who despite all efforts of the city, state and nation will not have access to the government’s financial investment in their house, which is terribly minuscule in the face of the volume needed.

The number of slum households is projected to go upto 18 million by 2022, of which 2 million are non-slum households making a total of 20 million Households that need to be covered by the “Housing for all Policy” by 2022. Making sense of the mammoth challenges and the economical viability of this for the poor, this will entail waiting for several years for most of the poor. Alternative methods are required to insure that habitat conditions of the poorest are improved immediately.

What the state has provided has not reached the market and the formal market is not interested in the poor. The poor humbly build structures with their skills and come with solutions which are economically sustainable. The idea here is to acknowledge what they build and for the professionals to strengthen these choices, without discouraging what is already in place.

Cumulative Housing Upgrading Loans Upto March 2017

State	Members	Loan Amount
TOTAL	2418	5,54,55,500
Andhra Pradesh	709	1,70,71,500
Karnataka	1443	2,70,13,000
Pondicherry	129	72,41,000
Orissa	15	7,30,000
Maharashtra	12	6,00,000
Tamil Nadu	110	28,00,000



Individual Housing Upgrading Loans- 2016-17

State	City	Members	Loan Amount
TOTAL		286	65,05,000
Karnataka	Maddur	161	27,05,000
Karnataka	KGF	85	26,00,000
Karnataka	Mandya	15	3,00,000
Karnataka	Dharapuram	15	4,00,000
Maharashtra	Kolhapur	10	5,00,000

Incremental housing ; material research

About 85% of slum houses are self-built or self-financed, whether they are rented or owned by the residents. It is observed that some elements of formality come into the realm of informality eg. the way the lofts are built using second hand steel girders, roof frames used for vents. We note that while building materials mimic formal techniques the use of these materials is linked with security. Informal houses built only from recycled material are the most secured, and the poorest have houses with low roofs.

This study is important as much in understanding impoverishment and access to finance as it is to understand what it will constitute to get secured tenure. An earlier study done by SPARC shows that as the government provides security of tenure or subsidy people start investing their own money. Any upgrading in the locality attracts people to do more. However, we find that even if people have money, the innovations in material possibilities is not in proportion to the volume of construction that happening.

The study of materials has 4 implications:

1. **Materials and design:** tiling floors, pre-cast windows, second hand bricks and lofts, the way the bricks are placed, the plinth levels. There is a big laundry list that exists which will help people build better.
2. **Finance:** Most people cannot repay a loan within 1 year, only 10% do so. How to combine this with proper material is a challenge.
3. **Energy Consumption:** How electricity is stolen and the use of second-hand equipment causes higher consumption and bigger bills.
4. **Advocacy:** How do we document who lives where? To go beyond giving loans to study in depth how choices are made and how the money is utilized.

STRATEGIES

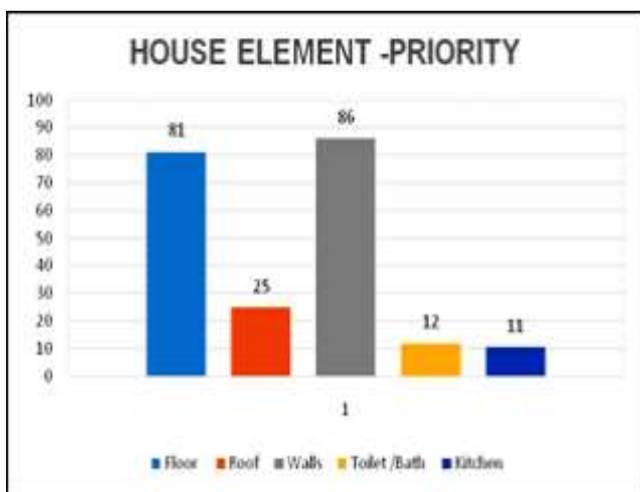
- Knowledge List: List of questions to be prepared to produce and collate knowledge of materials.
- Look at old housing cooperatives who have been given money to see how they have improved.
- Calculate per capita investment at settlement level, if the government does this then what will be the cost.
- Express new-ways to advocate - give small loans to upgrade the public structure thus coming up with sustainable solutions.
- Document each house in a settlement to look at the incremental investments made and add these up at a settlement level to determine the value in terms of the entire settlement.

STUDY OF INCREMENTAL HOUSING AT KOLAR GOLD FIELDS (KGF)

Kolar Gold Fields (KGF) is one of the major gold mines in India and is located in the Kolar district in Karnataka, close to the city of Bangalore. The gold mines were closed in 2003 due to reducing gold deposits and increasing costs.

Local Karnataka villagers refused to work in the mines and people from the North and South districts of Tamil Nadu were settled around the various shafts and the city was born. The two main towns Robertsonpet and Andersonpet were named after British officers stationed at the mines.

The communities have been living in housing colonies around these areas for more than 60 years. An exploratory survey of over 85 houses was done to understand the phased upgrades over the last few years. The study looks at choice of materials, and priorities made over elements like wall, flooring, roofing etc depending on the finance available. The type of material and costs that work for the poor form the basis for new research and materials that the markets offer. SPARC is sharpening this study and plans to do it in other cities where loans are given for housing upgrades.



Relocation and Resettlement

Relocation should always be the last recourse in choices that cities make and acceptable to communities when other choices don't work. The Alliance accepts this when having fought past evictions, the project agrees to relocation.

Working with pavement dwellers and slums on central government lands like airport, railways, ports and defense lands, the Alliance realized that these households have suffered because the state governments have no jurisdictions here. Working on secure tenure in this context meant battling evictions and demolitions. In many instances the numbers of PAPs identified for relocation were reduced considerably after negotiations in case that land was not needed for the project.

The MUPT project: In 1997 there was a breakthrough when the Indian Railways and the government of Maharashtra sought a World Bank loan to upgrade suburban railways in Mumbai. The World Bank required a relocation policy in place accepted by the cabinet to provide the loan. That policy formulation and execution drew in the Alliance to work with slums on railway land who were federation members and over the next ten years relocated 18000+ households in a historic process that was designed and managed by the federation leaders.

MUIP: While the MUPT project was ongoing, the MMRDA undertook road widening projects and used the same policy to relocate pavement dwellers and slums where people needed to be relocated for the projects.

MbPt and Railway container projects: The Mumbai Port Trust, is a central government agency and also Mumbai's largest public land owner. MbPt had never acknowledged the presence of its informal settlements but now saw value in accepting relocation in a joint project with the railways to finance the relocation of the households.

Tata Power: although a private sector company, its production and distribution of power to the city being accepted as a vital public project asked the Alliance to assist in relocating households under their towers whose heights they had to substantially increase. The Alliance facilitated purchase and upgrade of tenements from MMRDA and is continuing to relocate households who lived beneath the high tension electricity lines which incidentally is a very dangerous location to live and impacts the health of the households.

It is now evident that the relocation option is increasingly seen as useful and impactful to be included in project costs and more projects are undertaking R&R as an inherent part of their projects.

RELOCATION & REHABILITATION 2016-17		
Projects	HH To be Relocated	Relocated
TOTAL	60657	2354
MUIP (Mumbai)	30441	68
MUTP (Mumbai)	23734	531
MUTP II (Mumbai)	122	88
Tata Power Phase I (Mumbai)	238	4
Tata Power Phase II (Mumbai)	275	2
Tata Power Phase III (Mumbai)	393	0
Tata Power Phase IV (Mumbai)	240	21
MbPT (Mumbai)	1091	37
Warje Relocation (Pune)	1292	583
Metro 3 (Mumbai)	2681	583
Mumbai Metro Rail Corridor-VII & 2 A Proposed	150	

Cumulative upto 2017		
Projects	HH To be Relocated	Relocated
TOTAL	60657	31068
MUIP (Mumbai)	30441	10768
MUTP (Mumbai)	23734	16948
MUTP II (Mumbai)	122	88
Tata Power Phase I (Mumbai)	238	245
Tata Power Phase II (Mumbai)	275	173
Tata Power Phase III (Mumbai)	393	64
Tata Power Phase IV (Mumbai)	240	104
MbPT (Mumbai)	1091	919
Warje Relocation (Pune)	1292	1047
Metro 3 (Mumbai)	2681	1020
Mumbai Metro Rail Corridor -VII & 2 A Proposed	150	

Upgrading informal settlements at scale

Challenges of Policy and practices :

Between 2015-6 AND 2016-17 THE ALLIANCE HAS BEGUN TO EXPLORE THE WAYS IN WHICH IT'S PROCESSES AND PROJECT APPROACH CAN WORK AT CITY LEVEL .

Past assessments of a national program albeit by another government demonstrated that practice did not match rhetoric and both the production of housing stock and the usage of fund allocation was very poor. Now new policies and allocations have the probability of facing the same outcomes since fundamentals which produced inertia at local levels remain the same.

It is estimated that by 2025 approximately 440 million households or 1.6 billion people in urban areas will not be able to access affordable housing. The basic land tenure policy remains unchanged today. Households with no tenure can not avail of state subsidies, and often wait for up to three generations for some electoral windfall announcements to produce some form of tenure.

The obvious solution is to champion the adoption of in situ upgrading of informal settlements, promote rental housing at all levels of housing stock and convert unutilized lands in the city into housing stock at affordable rates.

Politicians want new houses built by the private sector, while most of the present housing stock where slum dwellers reside is self built and incrementally upgraded, no policy or practice assists in improvements for these. The actors seem to feel no need to work together and external interventions actually encourage more and more consultancies that plan on paper and leave. Educational institutions have still not changed their curriculums to integrate an approach to improvements in informal settlements and present professional interventions remain dysfunctional from the community perspective. The critical stakeholders in the local context have no history of working together. Yet, solutions brought in by outsiders don't work and cities and communities have negative experiences of each other. Collaboration among the city and its academic and policy framing institutions, the communities and the private sector will at some point have to begin to make this happen.

The challenge is to first understand why this is not happening and to examine what we need do with this goal in mind.

Under Housing For All 2020 under the PMAY (Pradhan Mantri Awas Yojna) while the program target was to provide 20 million houses between 2015-2020, as of 2017 only 9% of the submitted proposals were approved and only 0.39% stand complete (as per MoHUPA)

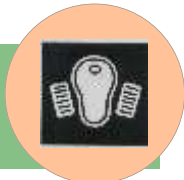
The ongoing refusal to upgrade existing settlements develop practical relocation that involves communities on terms that work for them just don't exist and seem completely unacceptable in the present frame of work.

There is a gap in outreach and against this background the role of professionals and institutions engaged in Architecture, Construction and Planning play an important role if they can work on ground with communities and realize this target.



Section II: Projects

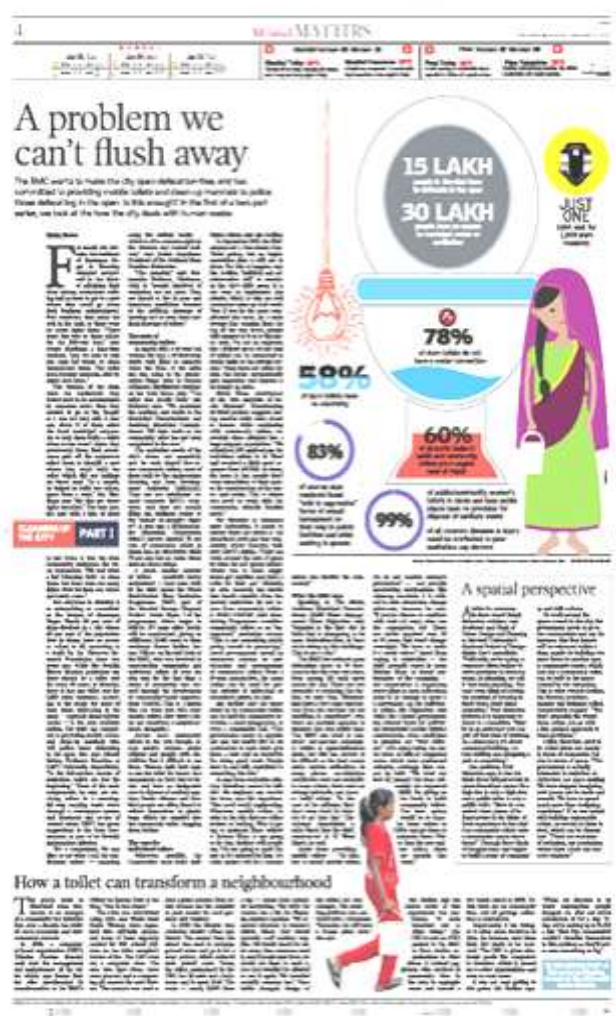
Sanitation



India may have got a huge surge of awareness with the SWATCH BHARAT ABHIYAN campaign with the prime minister's call to get everyone a toilet by 2019, but getting all the pieces of the process is still a huge distance away.

1. Informality in general is not mapped in cities and most have only half or one third of the informal settlements notified.
2. Building toilets in every house is itself a huge challenge, even worse is the challenge of sustainable disposal of fecal matter
3. In a water scarce country with worsening predictability of rain the present water borne solutions will not be sustainable.
4. We still have the huge challenge of fecal matter being transported physically when there have been constitutional commitments to stop this.
5. Cities are merrily announcing they are ODF (Open defecation Free) when in fact most of their slums have clear defecation indicators.
6. In dense informal settlements where toilets can't be built in each house, community toilets are introduced by the Alliance and many others. **Today SDGH indicators don't treat these as access to sanitation!!!!!!!**

The Alliance has demonstrated that its women's networks produce community demands for sanitation, undertake citywide surveys and locate households and neighborhoods with lack of water and sanitation and seek to develop a multi-year plan to explore a possible range of solutions to produce water and sanitation. This is still not acknowledged by the state and cities and so at the pace we are all going it will take eternity to really produce the ODF status.



Sanitation	
Total projects	21
Total Sanitation Blocks	890
Constructed	790



Water and Sanitation interventions in smaller towns of Maharashtra

Mahila Milan and NSDF have been working in small towns of Maharashtra for over 20 years. So far during this period, organized communities took up the basic rituals of savings and credit, surveys and enumeration, exchanges, precedent setting and forming area resource centers. There was a need to go beyond these rituals and to put the collected data in use to provide support to the communities in taking up infrastructure solutions pertaining to access to basic services.

The overall strategy which evolved after much reflection is that the city administration, federated communities of the urban poor and the local educational institutions need to work together in strong local partnerships to produce local solutions and work on them at a decadal basis. The role of the Alliance of SPARC NSDF and Mahila Milan is to link the local actors to each other, strengthen their contribution to solutions and deepen this partnership while working in parallel to produce a facilitating and assisting relationship with the city and state and national educational institutions while the Alliance assists in horizontal learning.

Nasik and Ahmednagar were chosen for the pilot projects, and whatever they do will be shared through peer learning with Malegaon and Jalgaon. The challenges of each city are different in terms of the nature of informal settlements, their relationship with the city, the general infrastructure of the city itself and within that access to basic services for informal settlements. Yet they all share deficits in their habitat and have a scope for learning the process of exploring solutions through intercity networks. This also helps a bottom up demand driven process.

Initially the strategy followed federation practices. Within the two cities, a list of vulnerable settlements was screened, of the pilots, two slums in each city were selected with the consent of Mahila Milan and NSDF. These were settlements that had some level of infrastructure deficits of water, sanitation and where interventions could be taken up with the city to bridge the gap with existing policies like Swachh Bharat Mission. Remarkable progress was made on two fronts – meeting with the state which opened a different arena for conversations with the cities, and engagement of local architectural institutions on documenting slums and designing solution options.

The meetings with the state resulted in a request for assistance in ensuring the Swachh Bharat Subsidy outreach to the urban poor and doing a deep diagnosis on the reasons for the slow progress of subsidy uptake and toilet construction. SPARC has agreed to work with the additional cities that the state has asked to be included provided the city and state provided adequate support (both financial and technical) to the cities to take this up.

On the other front SPARC, NSDF and Mahila Milan have been engaging with colleges of architecture, design and planning to build capacities of local institutions and students to work with communities of the urban poor. Local educational institutions, communities of the urban poor and the city municipalities need to build relationships and produce local long term partnerships to help solve

local issues.

As a result of a dialogue with 2 architectural colleges, (in Nasik and in Pune) two initial pilots in the form of student studios to document and develop design options for basic service upgrade in the slums of Nasik and Ahmednagar will be explored.

The college students will document informal settlements along with the communities as a part of their design studio and come up with analysis and solutions while working with the local communities. The main goal here is to engage local professional institutions that begin to look at slum upgrades as possible arenas of professional engagement in working with poor communities in future and to sensitize the young to be designers, building skills to understand the complexities in working with informal settlements which is not a part of the mainstream curriculum.

As a starting point, meetings were held to build a strong relationship with the municipal commissioner and his officials. This was to inform them about the project and the strategy being adopted to address infrastructure deficits and to seek their support. Two settlements in each city were shortlisted from the slum profiling analysis done at the city level and were found vulnerable with inadequate access to water and sanitation. This was followed by site visits to these settlements with the federation to see if things have changed over the course of time.

Thereafter, first year students from the architectural college in Ahmednagar and third year students from Nasik were involved in the process of engaging with the communities in the preliminary analysis and documentation of the settlements. The studios were Settlement studies and Housing studios for the 1st and 3rd year students respectively. This was an engagement of about 4 months where the studio would be designed based on the outcome of the documentation without altering the curriculum. These institutions have design cells and will work as partners in a long term engagement with MM and the city that will provide technical support from time to time.

In the next quarter further analysis and master plans of the pilots will be made and shared with the communities and municipalities to suit the criteria towards producing functional designs solutions that are scalable and can be implemented.

Arghyam is a Bangalore based organization working in the areas of water and sanitation predominantly in the rural areas. It has now been trying to work in urban areas, and approached SPARC to look at ways by which we could collaboratively work on urban sanitation challenges. The proposal on WATSAN was developed by SPARC and Arghyam jointly in order to take up issues of water and sanitation in small towns starting with creating a city level data base collected by communities, then developing a pallet of possible solutions and to develop workable solutions that could be scaled up at city wide levels. The idea of working with small towns is twofold, systems there are still developing and provide a potential to explore with municipalities. Secondly, the challenges are at a stage that small interventions can produce a large impact.

Present Ongoing projects

Mumbai Metro Rail Corporation Limited (MMRCL) has undertaken a project of constructing underground Metrorail in Mumbai which will be extending from Colaba to Seepz via Bandra with 27 stations with a depot at Aarey Colony. This project has been approved by the Government of India and the Government of Maharashtra as well. Today, when suburban trains are overcrowded, carrying 5000 passengers against a design capacity of 1750, Metro 3 is expected to reduce the load by nearly 15%. During detailed survey and Social Impact Assessment it's been observed that over 2700 structures with residences, business establishments and other activities will be affected by the project. In April 2015, SPARC was appointed by MMRCL to do the Rehabilitation and Relocation (R&R) of Project Affected People (PAP) under the project.

SPARC's role is to provide assistance to MMRCL in carrying out the process of R&R which includes community consultations, shifting of PAPs, assisting in post relocation challenges etc. As a rule and policy of the Alliance, we get into a contract only if we are involved from the beginning of the project i.e. starting with surveying the affected households, cadastral mapping, house numbering etc.

This time, a third party was involved in the survey and SPARC was contracted only to do the R&R. This was accepted to experience the challenges we face when we are not involved in the project from the beginning. Through this contract the Alliance was in a position to bring in a few changes - first, the payment schedule was divided into three parts - 10% advance payment, 30% for process based activities like meetings, documentation etc, and 60% for output based activities where the payment is based on the number of PAPs that have been moved. Second, takes into account the clause of revising the project cost. Carrying out a technical audit of the tenements before shifting families is another major intervention made through this project.

Very often, these buildings lie vacant for many years after construction until the PAPs are moved into them. Meanwhile there is no maintenance of the individual as well as common infrastructure - water tanks, lifts, electricity, fire extinguishers, street lights etc tend to get defunct. Therefore, it was necessary to check if these common and individual amenities were in place before families were moved in and if not then they had to be repaired before the families moved in. This exercise of looking into the maintenance issues pre-relocation, documenting the process and responsibility sharing in turn will help further assist relocation projects that may come up in the future.



Alliance and climate change, energy and resilience

Three years ago, Miserior one of our long term donors sought to encourage the Alliance and SDI to consider explorations of sustainable energy and climate change. The federation leadership in Mumbai was not sure of the benefits of solar energy for the poor and they were already fighting with the State to get access to conventional electricity. Besides where was the evidence that solar worked?

SPARC undertook two studies, one with communities who had been relocated from slums to formal housing and to assess their understanding and usage of conventional energy, and to do a modest study of the efficacy of solar lights and to explore their use by those who lived in extreme poverty on pavements in Mumbai and had no access to conventional electricity.

In the first study with the relocated households monthly bills were huge since in all instances they were consuming way beyond their capacity to pay.

- When they lived informally one or two electrical points were illegally provided by middle men who were paid a fixed monthly charge.
- The new tenements were poorly lit and ventilated so lights and fans were used day and night. Also, people fulfilled their aspirations by installing as many electrical appliances as they could (mixers, grinders, refrigerators, washing machines etc.) Households had no idea what their equipment utilisation was and second hand machines proved to be energy guzzlers.
- With privatization of electricity distribution communities were seduced by lower tariffs only to find some months later that the tariff was increased. This further added to the aggravation of consumption.

In smaller towns and cities we explored the use of stoves for cooking. Many families had begun to use gas stoves where poor households had access to direct subsidy from the government. However people still used alternatives such as kerosene or wood stoves for heating water for bathing in winter and rainy season, and interestingly those who had explored either solar cook stoves or smokeless chullas found many challenges which their providers were not able to solve especially during the rainy season which in India lasts a full three to four months.



The Indian Alliance is exploring clean energy alternatives appropriate for Indian informal settlements. This year, the federation and SPARC have begun exploring the possibility of utilizing solar power to subsidize the cost of maintenance in relocation colonies in Mumbai. In this project, the aim is threefold:

ONE to test what it means to use solar power generation and understand the dynamics around its maintenance, the energy savings it will bring in, and linkages with the overall alternative energy generation program of the Government

TWO to see if it actually reduces the maintenance costs of the relocation buildings, where the presence of elevators and water pumps due to high rise raises the individual contribution towards building maintenance and

THREE to look at ways by which this can be embedded within the relocation project costs, so that when the relocation tenements are constructed by the Government agencies, these units are built into them as a standard design feature.

With the stress on using clean energy and public commitments made by the Government towards increasing the usage of clean energy, this exploration is structured to tap into this commitment. With the pilots, the agency responsible for the construction of the relocation buildings will get credits for demonstrating the use of solar power. In turn, this will also make it obligatory for the agencies to make similar investments themselves in their future construction projects.

The breakthrough this year:

The Alliance had earlier worked on a R&R project with Tata Power, a private sector company that produces and distributes electricity. Retired executives of that company are now working on a new initiative that seeks to produce solar energy by installing solar panels on the roof of buildings. Since there is a relationship of mutual trust, they came with a proposal that if the Alliance could generate the capital cost for installing the equipment, Tata Power would work out all other elements of linking to electricity mains, training communities to maintain equipment and working out a sustainable financing strategy.

The company would assist in creating a link between mains and solar so that all surpluses as and when generated could get back thus creating savings on electricity bills, where the blending of savings from reduced community contributions could pay for the EMI of the repayments.

And a long term possibility the setting in solar panels would or could be part of the future SRA housing and state provided subsidies could be accessed this way.

Section III: Reflections

Expanding Alliance collaborations and partnerships

In this section we reflect on our work, our insights for the year and what we see as the next steps. Clearly we have many new challenges new possibilities and huge expectations to be fulfilled by the urban poor themselves and our own aspirations. Yet our finances, regulatory frameworks and other constraints all demand changes in strategy and a need to plan a different set of mechanisms to explore what we can do.

So we begin by looking at our work within our global association with SDI which is our closest and vital long term alliance.

We then examine the various tentative partnerships that we believe can help us in both expanding what communities can do with different partners and what value addition communities can bring to their work.

Building our own capacity to make presentations in different emerging partnerships that bring academia associations and practitioners to address areas of collaborations.

Cities are collaborative spaces regardless of the level of exclusion hostility or co existence between the different groups and the stakeholders who operate in them.

The Alliance having begun to craft an identity for itself now has to examine the potential of exploring the value of partnerships, alliances and dialogue with other local, national and global actors.

No organization can produce benefits to its members through isolated activities undertaken by itself and that is more urgent for the urban poor. Yet it is very difficult as long entrenched values and imageries and transitional practices have excluded the poor from such alliances and possibilities to work with others in relationships that are equal.

Some of our insights:

1. SDI remains our most valuable crucible -
 - a. To explore with other federations like ourselves, to examine this space with collaborations to produce demonstrated value of what federations and communities bring to address urban inequality however while collaborations to explore have begun, we have yet to navigate tough spaces where the collaboration tests our values.
 - b. SDI has demonstrated the value of community leaders participating in international events. We have yet to examine the extent to which local communities, whose issues we raise globally, benefit from this advocacy.
2. Mayors associations, Academia and Research institutions are next in our priority and in all our work we seek to ensure that we bring possibilities for local alliances with our explorations.
3. Expanding our own knowledge of who is doing what globally and nationally is also important if our engagement has to remain strategic and IIED in UK remains our oldest and longest term partner at both local and SDI level.



Partnerships in the making

Exploring work with WRI on Transport

SDI and the Alliance work in gathering information of informal settlements through an instrument called Slum Profiling. To date we mainly have information about land tenure and infrastructure which includes water and sanitation; but increasingly we see linkages with transport, pollution, energy and a general impact of technology on development. We bring empowered and organised communities to a partnership process and seek their involvement and potential to drive the agenda for transforming cities, something that has yet to hit mainstream development interventions. Sheela has been in contact with Anirudh Dasgupta who heads WRI's cities division and sees huge possibilities of working together to explore where our agendas link up and match. Currently there are two possibilities that we are exploring:

1. Understanding if transportation systems work well for the city's urban poor; explore ways to calculate, however crudely, access to public or other transport, its costs and opportunity costs for livelihoods and connectivity. What should we gather as data, what kind of analytical tool or app can WRI give us to look at this in medium and small towns.
2. Understanding electricity access issues in urban slums. With severe focus on energy efficient appliances, we have many people living in informal settlements who have issues with access to electricity. The issues range from inability to access a connection due to its linkage to tenure security, the availability of expensive but easily accessible informal electricity through illegal tapping, long power cuts in peripheries to using second hand, inefficient, high consumption electrical appliances. This research hopes to investigate these issues deeply, and to produce empirical evidence that will feed into larger energy policies.



India Sanitation Coalition Maharashtra Engagement

The present government of India has pledged to make India open defecation free by 2019 by launching the Swachh Bharat Mission in both urban and rural areas. To achieve this the government is constantly on the look out for technical, capacity building and strengthening and monitoring support. Many organizations, financial institutions, funding agencies, and individuals have come forward to serve and support this cause. All these stakeholders have been working in their small spheres and duplicating what the other is doing . What needs to be done is to bring all the stakeholders under one umbrella that will lead to a communal and combined effort in the water and sanitation sector.

The India Sanitation Coalition was formed to bring all the stakeholders working on sanitation together so that they know each other, can share their experiences, failures and success, so that there is cross-learning and they can associate and work in partnership with each other. This is what ISC is trying to do through the ISC Maharashtra engagement with SPARC as one of its partners. The objective of this engagement is three fold :

1. Bringing together existing champions in sanitation to work together with other partners.
2. Benchmarking best practices, showcasing the work of all the partners .
3. Enlist new partners that have recently started working on sanitation .

While FICCI serves the role of the secretariat of the coalition, the work of the coalition will be carried out by four taskforces composed of coalition members.



Exploring alliances : with academia

Can the content of education include issues of working with the urban poor

SPARC has argued for a long time that the current curriculum in Urban Development related disciplines such as Architecture, Urban Planning and Engineering do not give adequate importance or exposure to urban issues such as informal settlements and their development. In order to bridge this gap, SPARC does take in interns and volunteers that work on SPARC's projects during their breaks to get a good exposure. In order to expand this, SPARC is working, to start with Architectural colleges in India to include case studies from live projects within their studios. The goal here is that, the students of Architecture do a specific design and documentation activity in the slums that SPARC is working on, as a part of the project and deliver it for use in the project. The KRVI college in Mumbai, IDEA college in Nasik, the BRICS college in Pune and the RV college in Bangalore are architecture colleges that are currently working with us to produce that documentation and develop simple solution options in working with the communities. The goal is to take it further and build capacity of the design cell of such colleges to sharpen their understanding of the informal context and participation of resident communities in solution designing, which will assist them when they take up projects in these areas with the local government.

KRVIA college:

Based in Mumbai, KRVIA is an architecture and urban design college which has a long association with SPARC and the federation. This year, KRVIA was actively involved in the Odisha Urban Habitat Improvement project. This project aimed to address the issues of access to basic services, and affordable housing for the informal residents of Bhubaneswar and Cuttack. The college's final year master students took up 8 slums across Bhubaneswar and Cuttack and did complete documentation and drew up solution options. SPARC was invited to be on the jury panel.

BRICS college:

Based in Pune, the first year architecture students of the college, studied the Sanjay Nagar settlement in Ahmednagar. This settlement is a part of the Maharashtra cities project for piloting water, sanitation and basic service upgrade in small towns. A batch of 70 students documented the entire slum and produced based design options based on their imagination of possibilities. The college is looking forward to take up further such studios and project possibilities with the design cell.

IDEA college:

Based in Nasik, the third year architecture students of the college, studied the Jetwan Nagar and Sahavas Nagar settlement in Nasik. This settlement is a part of the Maharashtra cities project for piloting water, sanitation and basic service upgrade in small towns. A batch of 80 students documented the entire slums and produced based design options based on their imagination of possibilities. The college is looking forward to take up further such studios and project possibilities with the design cell.

RV college:

Based in Bangalore, the third year architecture students of the college, did a housing studio of the Byappanahalli slum. They did a detailed documentation of the entire site and prepared solution design options for community toilets, which SPARC plans to take forward.



Explorations in Odisha and Maharashtra

Exploring ways to deepen new knowledge and practice to facilitate community participation



Indian and international architects and planners facilitated by the Alliance team held meetings with community members and mapped settlements together



Women and children, especially children imagined what they needed in their settlements and began to draw their imageries and explain them to each other



When everything was compiled, their imageries were visually compiled and shared with communities and with the colleges whose members had participated in this project .

An example of building new forms of engagement

In situ Studio, Cuttack: Role of professionals

SPARC and UDRC were involved in demonstrating in-situ upgradation of water and sanitation infrastructure and in designing communal spaces and incremental housing design solutions together with the Kamala Raheja Design Cell (KRVA).

SPARC together with Urban Development Resource Centre (UDRC) and ASF (Architects Sans Frontieres) Sweden hosted a two days symposium as part of the larger workshop, "In-situ Studio, Odisha". A group of 11 international participants and 10 Architects and Faculty from Pilo Mody College of Architecture, Cuttack were a part of this intense workshop.

Two slums in Cuttack and three in Bhubaneswar which posed different level of challenges were chosen for groups to work on.

The symposium involved an introduction to the organizing partners and the state of the planning and architecture in the context of Odisha and the role of architects by the Urban Development secretary. The policy framework, the local political and social situation and the local construction techniques were presented by Banashree Banarjee, PMCA professors and Practicing architects.

The course was well structured with a mix of theoretical sessions and intensive field work. The groups were asked to work with communities to identify the key challenges and priorities and with the help of the course works tools engage communities to draw solutions.

The course was facilitated by the ASF organizers who are senior practicing architects, SPARC professionals and the UDRC team who had established the foundation for the workshop.

The course included various activities:

- Assisting men and women separately to design functional elements that work for them, then negotiating these together to address designs that are gender sensitive.
- "Walls of Dreams" that involved children to draw their imagination of what their settlement should be.
- Many options and iterations of designs were presented at the concluding event, where a jury of Senior Practicing architects, Planners and people from the settlements critically evaluated the design outcomes and also recommended the possible solutions.

Further to this engagement, the design options and solutions have been taken forward to produce detailed designs and are working towards implementation with the governments.

Section III: Reflections

Advocacy and events which were critical milestones

Roundtable Discussion: Partnership for exploring opportunities for Corporate & Development Partner Engagement , Mumbai, 1st March, 2017

The Urban Development Department, Government of Maharashtra in collaboration with CEPT University organized a roundtable discussion on possible partnership opportunities for the Swachh Maharashtra Mission. The roundtable was chaired by Ms. Manisha Mhaiskar, Principal Secretary, Urban Development Department, Government of Maharashtra.

The Swachh Maharashtra Mission (Urban) taken up by the Government of Maharashtra in alignment with Swachh Bharat Mission, envisages making cities Open Defecation Free (ODF) by October 2017 and also making them Clean and Green through scientific management of solid waste by October 2018. Of the 380 Urban Local Bodies (ULBs) in Maharashtra, 100 have already become ODF and now efforts are on towards ensuring their sustainability and move towards ODF+ and ODF++, not to forget about making the remaining 100 cities ODF.

Keeping this in mind, the Urban Development Department, recognizes the importance of Corporate and Development Partners working hand in hand. The purpose of the meeting was to share the list of the 67 most challenging cities that can be taken up in collaboration with the State-City-and CSR partners.

The idea was also to look at NGOs and where they are working in Maharashtra and the skills they can provide to achieve ODF starting with the most challenging cities which are Aurangabad and Amravati division. The second idea was to look at what the corporate could invest in.

Roundtable on Corporate Engagement in Sanitation, Mumbai, 2nd March, 2017

The roundtable on Corporate Engagement in Sanitation was organized by the India Sanitation Coalition (ISC) on 2nd March, 2017. The aim and purpose of ISC is to bring together all actors, be they corporate or NGOs, governments, financial institutions etc., working on sanitation to find sustainable solutions for sanitation.

The roundtable started with Ms. Naina Lal Kidwai, Chair, ISC, introducing ISC and its collaboration with different stakeholders on sustainable sanitation solutions, followed by Principal Secretary, UDD, GoM giving a presentation on the journey of sanitation under Swachh Bharat Mission.

There was a panel discussion on corporate engagement in sanitation, where CSR heads from corporate companies like Reckit and Benkiser , Larsen & Toubro Limited, Hindustan Unilever, Samagrah and HSBC bank were represented.

Dalberg, knowledge partner, facilitated the second half of the session by designing a workshop aimed to

1. Foster discussion and debate around "Platforms to achieve Speed, Scale and Sustainability for Sanitation"
2. Enhance participant understanding of existing models of engagement.
3. Identify opportunities for collaborations.
4. Reach consensus and gather inputs that would feed into the synthesis document to guide the MoU between ISC and the government of Maharashtra.

The participants were divided according to four themes:

1. Social Behavior Change Communication
2. Financial Inclusion
3. Capacity Building and Transformation
4. WASH in school
5. Community Toilets and Waste Management.



Milestones

State of Housing Seminar, Mumbai , 3rd-4th February 2017

In early February Sheela Patel was invited to speak at two events in the seminar:

One was the key note speech where she gave a lecture called *Too Little Too Late* that focused on the huge impact of national and state policy that ignores informality in cities until its too late to assist people to have even minimum amenities mainly because after densification reaches a certain level, its impossible to provide water, sanitation and other basic amenities. The case of Dharavi and all large informal townships is illustrative of this and this late in the day even people themselves find it hard to develop the space properly.

All national programs regardless of the government in power, seem to barely touch the surface of the 60% percentile and below who needed improvements in housing. The capital costs of redevelopment are not affordable for them. It would appear that only the private sector was provided with incentives which meant that there would be further expansion of informality as a majority of the new migrants and growth in a city would not be touched by these projects.

The cut off date for eligibility for housing was another game that the state and the judicial system played which meant that each informal neighborhood had to wait for three generations of hardship before it was accepted and this acceptance came only when elections were to be announced in the city.

Images of northern cities obsession with improving infrastructure only to obtain FDI meant the formal and informal city contracts expanded exponentially. The Indian cities evolving through the millennia with their bustle and high land use were considered bad and conservation and heritage was just old buildings and not culture.

The lectures in the seminar will be published as a book as contributions from all the speakers.

SPARC had entered into an agreement with the Tata Trusts to take up Habitat Improvement in Odisha. The project proposal included two specific interventions:

“WATSAN Improvement Demonstration” to undertake WATSAN improvement demonstration in the slums of Bhubaneswar and Cuttack through piloting alternative technologies and community led intervention strategies.

“Urban Poor Habitat Improvement Design Demonstration” to undertake demonstration projects in the areas of housing design, community organization and financing, to demonstrate scalable strategies towards habitat improvement for slum dwellers.

SPARC worked with UDRC, the local partner based in Odisha and completed a survey of 15 slums across Bhubaneswar and Odisha. KR VIA is engaged as a technical consultant that will document the spatial situation in these slums and develop broad level solution suggestions. During the course of the project, the project team worked with a group of trained architects locally from Odisha as well as from other countries (who were a part of the ASF group), in developing such documentation and design options in 5 slums. The main goal of this workshop was to introduce and develop the capacity of professionals such as Architects and Engineers to understand, document and respond to the issues that slum residents face.

While SPARC and UDRC will not be working on this project from June 2017, the project has already developed local capacities for scaling up. The communities have been mobilized to demand access to water and sanitation. The housing and sanitation targets of the city and the state are unmet, and they are keen on working with the network of UDRC in realizing an Open Defecation Free city and develop recommendations on housing solutions. Local cadastral surveyors are now adept in documenting slums more accurately which will be absolutely essential for future slum infrastructure explorations. We hope that the communities will continue to drive further processes and continue articulating what works and what doesn't work for them, even after our exit.

This project was developed after a long period of detailed study and deep reflections by the team basically to ensure that the project meets the challenges of the slum residents, yet lowers the risk for the funder to invest in. Post recommendations from SPARC and UDRC, with its experience of working in Odisha, and deliberations internally and with the state a pre-feasibility study was commissioned to first set the scope of the project and after locking the scope the larger program was designed. The Tata trusts now plans to work on this project internally and does not seek further partnership with SPARC and UDRC.



Section III: Reflections

Strategic events: some highlights

Finance and SPARC presentation in IIED: 8th July 2016

Sheela Patel's thoughts on the issues of business models and finance and skills

Firstly I agree that this combination is crucial for organizations that want to withstand disruptions. Secondly we need to acknowledge that in many countries, and India is a good example most of us are curbed by a range of restrictions though taxation trust and charity regulations and FCRA to create corpus and surplus producing models that can prepare for tough lean times. Thirdly when corpus funds are permitted they have narrow and clear specifications and often unanticipated challenges occur organizations can't deeply that money. Fourthly more and more organizations in the last decade especially have become subcontractors to large global projects delivering outputs and outcomes because those are the only source of funds available and produce a mission drift and failing the communities that we began to work with.

Finally almost all of us who have worked for over two to three decades have little business sense and anticipated such challenges early.

Having said that, as a part of a national alliance and a global network, SPARC and SDI benefit from a wide pool of peer experiences that help envision many challenges that occur elsewhere but which forewarn us. And right now we are in a situation where if we don't develop an international strategy that will lift us collectively to becoming self sufficient we will become dysfunctional exactly when we can produce the most effective global networks to address climate and sustainable challenges in urban areas.

Urbanisation and its location is the geography that will present a huge disruption to development investment as most interventions and investments for addressing poverty remain rural. Balancing sustainability and carbon footprints, equity and inclusion are issues that will be fought about in the urban space and systems and strategies to deal with this are yet to be fully understood. We believe that we are part of that emerging solution in our ability to create federated and organized urban poor. Yet we don't have a strategy and financial wherewithal to mainstream this to the levels necessary. We know that we will need new partnerships, new alliances and new collective operational systems to retain our role as disrupters to development in urban areas which ignore informality and make it invisible. At the same time new solutions will only be crafted by alliances which have a common vision but very different complimenting skill sets and have arbitrating skills to address internal and external conflicts that will emerge because of our differences.

At present many of us are stuck in vertical power hierarchies and the urban poor, their organisations and support NGOs are at the bottom of these hierarchies.

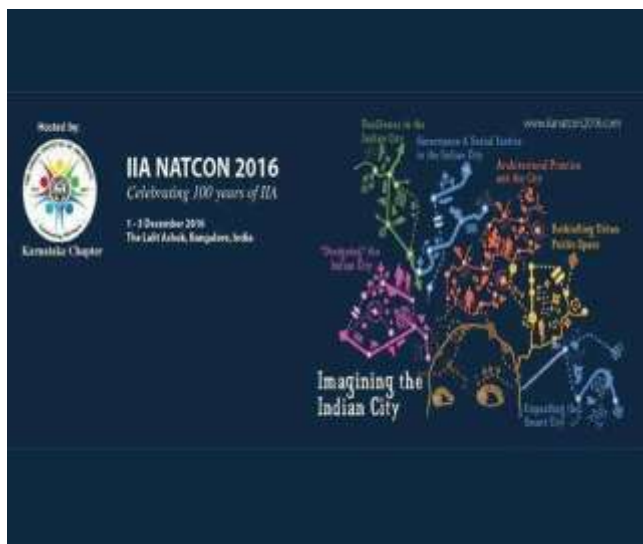
IIA National Convention on "Imagining the Indian City, Bangalore: 1-3rd December, 2016

India is projected to reach a level of urbanization in the middle of this century where half the population will live in urban areas, compared to a current level of thirty-two percent. In absolute terms, this means we will have about 400 million new urban residents over the next four to five decades. More significantly, a combination of high land values and socio-economic stratification means that only a partial and privileged percentage of the urban population lives within the formally planned city. The majority inhabit an informal city that is intertwined with the formal city that lies outside their threshold of affordability. The architectural community in India will have to play a leadership role in developing new urban paradigms that the country desperately needs. The conference was intended as a catalyst that would provoke architects to stepping into this debate in a substantive way. Keynote lectures on urbanism by globally recognized thought leaders will set the background for a new imagination of the Indian city.

Prem Chandavarkar is the Managing Partner, of CnT which is one of the oldest and premier architecture firms in Bangalore, they design major public spaces, institutions and urban master plans and through this convention tried to include some new elements. He hopes they are useful to architects who wish to explore beyond design technology and what they explore otherwise. Let's challenge ourselves and focus on choices we collectively make to make cities livable.

Rahul Mehrotra stressed on issues of focus and the bridge between city and architecture. how can architects contribute to addressing the flux, how can space address this issue.

Sheela Patel stated that the urban poor and the informality of their jobs and habitat do not feature centrally in the investments of the city and state.



Highlights

MHT and IIHS workshop at Patna, Bihar, 6th May, 2016

The workshop was organized by Mahila Housing trust (MHT) and IIHS (Indian Institute of Human Settlements, Bangalore) funded by the Bill and Melinda Gates Foundation. The aim of the workshop was to review the actions of the state of Bihar towards sanitation and to share knowledge from other organizations in this field. The main focus was to understand sanitation as a complete chain from collection, storage to the safe disposal of the fecal sludge which is in most cases absent. The various organizations present were UNICEF, IBE Global, the additional secretary Urban development Bihar, Ganga rejuvenation project, JIVIKA, Wash-I, Gramalaya. Funders like Arghyam, DASRA were also empanelled.

Bihar is only 11% urban, bifurcated by the Ganges, 3/4th of the state is affected by floods. The state has only 2% individual toilets, 29 % open defecation against the national average of 13%. 2% public toilets and no provision for community toilets. MHT along with IIHS has worked on sanitation in Kathiyar in Bihar, introducing India sanitation status with only 35% of piped sewers, of which only 12% matter is treated. 50% of the population uses septic tank and soak pits. With most of the programs aiming at city wide sanitation systems the slums being a major composition is often ignored. This workshop looks at understanding the micro level issues before solving macro level issues.

The various programs launched by the government of India like Swachh Bharat Mission (SBM), ATAL MISSION FOR REJUVENATION AND URBAN TRANSFORMATION (AMRUT), National Mission for Clean Ganga/Namami Ganga have laid emphasis on water and sanitation. The SBM aims to build 10.4 million individual toilets for which 4% of the total grant is allocated to Bihar.

The key issues identified in access to sanitation are the institutional and regulatory gap, poor institutional capacities in monitoring, behavior change, data discrepancies and the definition of slum for the census, which did not fit for Bihar. With revised definition 1800 slums were identified from no slums in the earlier census.



German Habitat Forum, Berlin, 1-2nd June, 2016

Sheela Patel spoke as a representative of communities who live and work informally in cities, and who in her estimation represent a majority of the people in the cities. This is a transcript of her speech.

“The city development, as you see it today, excludes with or without purpose the challenges that poor people who live in cities either recently or over the last eight decades have been facing, they remain invisible, and their participation I believe is a very important ingredient in discussions about People, Politics and Practice. If we don’t start exploring solutions that will make us feel good 50 years from now, we will never begin; because in today’s cities there is inequality, there are huge differences in incomes, in opportunities that have political and many other reasons for not being explored but which will only exaggerate in the future, but we don’t want to wait any more to solve those problems because we can’t solve those problems if we don’t solve them today.

This is a decade of aggregators and organizations like ours, Shack Dwellers International, ACHR; we are all aggregators of urban informality, of men and women living and working in very difficult conditions to reach out to the other players in the city, to find scalable citywide solutions that both picks from what’s outside and take the unique characteristics of the city that is there. So it requires a new disruptive partnership strategy in order for this transformation to occur. Business as usual is not going to work, so do we have the courage, do we have the guts and do we have the capacity to explore these unusual and disruptive solutions?.

In the end a lot of what happens in cities is around land. The politics of who owns land, what its used for, what mechanisms produce inclusion or exclusion forms the basis of how cities evolve and grow and whether they have a chance for sustainable equitable options or not. Politics is at the centre of this, there’s no shortage of technical solutions. Do we have the courage to do that, do we have the capacity to explore new solutions? Because in the end, the sustainability that we are challenged with today (which we start with the meetings we will have for Habitat III, that we’ve come with all our challenges of climate) of our sustainable growth will happen in the geography of cities which will have to deal with a multiplication of challenges and we are far away from that. We should be extremely dissatisfied with what is happening because we don’t have the courage to explore unusual relationships and partnerships. As the representatives of the networks of the urban poor, we want to explore possible relationships and partnerships, new ways of doing business with whoever has the courage to come and work with us. We are looking for ways to transform the future that we prepare for the youth of tomorrow into one which is safe, which turns that into the advantage rather than the violence that we predict that will take place if their aspirations and expectations are not fulfilled by our generation. If we have the courage to explore change, we explore new ways of doing business and of sharing and supporting each other through this process; I think we can see a glimmer of success.”

Highlights

National Conference on 'Social Innovations for Improving Urban Sanitation: Lessons for Scaling-up' Delhi, 14th December, 2016

The Society for Participatory Research in Asia (PRIA) and Centre for Policy Research (CPR) organized a day long National Conference on Social Innovations for Improving Urban Sanitation: Lessons for Scaling-up. SPARC and Mahila Milan were invited for this conference. Some extracts -

Sindhushree Khullar, retired CEO of Niti Ayog says, now that I have left the government I see how little is known about programs of the state. Sanitation challenges are a dirty, dangerous and disempowering process today.

Rajesh Tandon (PRIA) - we need to hear the voices of the people who work rather than workshops. We have to make visible innovations that have been hidden. Taking good ideas and taking it to scale is rare. Government guidelines are state orders and deviation from guidelines are treated as disrespect for the order. What are the principles that we can compile for scaling-up. Our diversity produces varying policies, institutions vary, even administrative system of state varies and of course people vary.

Parveen, a Mahila Milan leader spoke about empowerment. Sanitation is not the only problem. We have made a tree called Mahila Milan which we nurture everyday.

On talking about how communities can be involved, not co-opted, Sheela Patel said, If you want change, change-makers can be anywhere”.

The Arch 104: The Talk Series, Hyderabad: 28th January, 2017

The Talk Series is hosted in collaboration with National Association of Students of Architecture (NASA) which is congregation of students of architecture from across India. The theme of this years Talk Series was 'LATERAL: Enroute viable architecture'. Sheela Patel was invited as the keynote speaker by the Deccan School of Planning and Architecture on the occasion of The Arch 104 : The Talk Series .



Inclusive Development & the Role of Professionals– A Symposium, Cuttack , 5-6th January, 2017

In collaboration with ASF (Architects Sans Frontiers), Urban Development Resource Centre, Piloo Mody College of Architecture and PMCA, SPARC conducted a 2 week intense workshop with Architects and Professionals in developing workable simple solutions towards water and sanitation.

After several months of conversation, ASF, SPARC and UDRC decided to conduct this workshop in Odisha (Bhubaneswar and Cuttack) where the architect participants will do a full studio type work in select slums in Odisha. The program started with a symposium at PMCA which kindly offered the venue and logistical arrangements.

The Secretary of the Housing and Urban Development department was invited as the Chief Guest. SPARC's ex-advisor and noted retired IAS officer Sundar Burra, noted Urbanist, Banashree Banerjee and KRVA senior Professor Shirish Joshi, gave presentations on the situation of urban poverty in India. Monalisa Mohanty, UDRC teams and the community leaders presented the local context and challenges faced by them in urban Odisha. The idea of the event was to introduce the participants to the context of the program.

The program was an intense exercise where the participants, both international from ASF and from PMCA split into 5 groups that worked in 5 different slums in Bhubaneswar and Cuttack. Each team did a detailed documentation of the resident families, their cultural living, their space usage, and their needs. Through several group interactions, they substantiated their findings with the communities and drew up solution options. The program culminated into the final studio where they presented their work and solution options to the communities and city administration. These designs will be used as the building elements for making basic service improvement interventions in these slums.



Highlights

Peer Learning on Disruptive Change, Bellagio 5-9th December, 2016

The issue of disruption and the changes it produces has begun to be a very critical issue in development and IIED formed a group of their partners who have been in audio conferences and finally met for a three day event in Bellagio.

What these discussions brought out is that organizations themselves can be disruptive, and when they create disruption, they should anticipate back lash.

Local, national and international events can produce disruption and while specific issues may not be anticipated there is increasing evidence that some manage this better than others and it's vital for survival to have a general strategy to address it .

The role of leadership, the relationship between leaders and their colleagues, good communication, strong networks all facilitate the capacity to manage disruption. Among the global issues climate change, changing energy production, disasters due to climate change, and political relationships have a huge impact on local context and these matters are generally outside the influencing potential of the local actors.

Brexit, the American election, India's demonetisation were some of the examples. IIED has produced many papers which are available for more information.

N-AERUS Conference, Sweden 17-19th November, 2016

This conference gives an opportunity to understand the perspective of researchers and academicians, which gave a different exposure.

Present were researchers and professors from various countries presenting cases from participatory Governance to social inclusion. The cases were from both theory and practice.

The presentation on "A critical starting Point for Cities: Data that is inclusive" interested a lot of participants, the involvement, role and participation of women and how to develop similar strategies were enquired for replication.

The mapping exercise for the ward diary was seen as a good way of representing data with governments and questions around how SPARC was able to get data on land Ownership and how this process is in acceptance with governments were areas of key interest.

The African countries were very impressed with the savings and credit activity.

There were questions on the consequences of how this data about the city and slum dwellers will be used by the city – whether in a good way or will it be used otherwise. How does one hold the accountability of the data that is collected?



From our blogs

Emergence of Community toilets as a public good

The sanitation work of Mahila Milan, NSDF and SPARC in India, August 2016

Sanitation has been described as India's shame. Of the billion people in the world who still defecate in the open, well over half live in India.

Most of those who make do without sanitation live in rural areas, but many millions of them live in crowded urban slums, and their numbers continue to grow. Two-thirds of these slum dwellers have no access to a sewerage system, and one-third still get by without access to an indoor toilet. Even where public toilets are available, they are often so rundown and filthy that defecation in the open remains preferable. The impact of these conditions is profound – not only for health but also for human dignity. This affects the way slum dwellers are seen by others, but more importantly, how they see themselves.

This document traces the evolution and trajectory of the impassioned commitment that two grassroots urban organisations in India have brought over several decades to issues of sanitation for slum dwellers.

The National Slum Dwellers Federation (NSDF) has partnered with Mahila Milan which creates women's collectives within each slum in the federation. Together they support a non-governmental organisation (NGO), Society for the Promotion of Area Resource Centers (SPARC), and have been fiercely committed to ensuring that access to safe, adequate sanitation, based on the needs and priorities of local settlements, becomes a focus for attention and investment in the cities where they are engaged. This account describes how their sanitation strategy evolved – from its original designers and their pragmatic approach, through the revitalisation of community toilet blocks as a viable sanitation option, their bottom-up advocacy, and the multi-decadal projects they have executed. This resulted in a number of cities renewing their commitment to invest in city-wide sanitation. The issue of sanitation initially came up in 1984 in discussions with pavement dwellers in Mumbai. While the pavement dweller women were exploring the larger challenge of secure permanent housing, they also thought about their need for sanitation. These parallel explorations remain powerful examples of enquiry and self-education. This began the journey for the Alliance of Mahila Milan, NSDF and SPARC, to champion the construction of community toilet blocks for the poor in some of the densest settlements in the world.

Data that supports local development

<https://www.iied.org/data-supports-local-development>

Sheela Patel 22 September 2016

Global goals and targets often rely on national data, but local data are needed to inform action on the ground and to monitor progress on the goals and targets set by the [Sustainable Development Goals \(SDGs\)](#) and the Paris Agreement, as well as the new goals drafted for [Habitat](#)

III all need to be monitored. But to be effective, this needs data collected at the local level to guide local action on the goals and ensure local accountability as well as contributing to (local and national) monitoring.

Aggregate v disaggregate

Most statistics used to assess or measure development are national. Whether economic (per capita GDP), social (life expectancy at birth, infant mortality, provision for water and sanitation) or environmental (greenhouse gas emissions per person).

Most of the Millennium Development Goals and the SDGs focus on national goals and so are assessed by national statistics. Some national statistics are available for urban and rural areas but rarely for individual cities, let alone for wards or districts within cities.

Taking money to making money: SPARC, NSDF and Mahila Milan Transform low-income shelter options in India

Sheela Patel, Aseena Viccajee and Jockin Arputham

Working Paper January 2017

<http://pubs.iied.org/pdfs/10181IIED.pdf>

In India, a new approach to finance has transformed shelter options for low-income households and supported community led development. This paper examines the financial architecture developed over 20 years to support hundreds of community-driven developments by the National Slum Dwellers Federation (NSDF) and Mahila Milan (a federation of women's savings groups). These community organizations work in alliance with the Mumbai based NGO the Society for the Promotion of Area Resource Centres (SPARC). Much has been written about the Alliance's work. But to date, its financial architecture has had little attention. This paper views the Alliance's work through the lens of financial management and administrative procedures. It demonstrates the value of engaging community organisations and federations and shows how they can co-produce, design and execute large projects due to the expertise they have developed through smaller modest projects.

This paper provides an account of how two large federations of 'slum' dwellers used, managed and generated funding – covering all funding they received from different sources (international, government of India, state government, local government) and how this was used and blended with their own resources (including savings). Also, how these federations sought to make the funding go as far as possible – through revolving funds and loans where possible and through using their funds and capacities to leverage funding, land and support from local government and other groups. This paper reports on the development of the strategy from 1984 to the present.

From our blogs

Ward diaries: crucial evidence for planning in Mumbai's slums

Urban



Guest post by

Jockin Arputham

Blogs, 28 November 2016

Jockin Arputham, the president of Slum/Shack Dwellers International and founder of the National Slum Dwellers Federation in India, explains how data from slums, gathered by slum dwellers themselves, is helping to provide vital services where they are needed most.

Power to negotiate at city level

By gathering information at this very local level we, the federations of slum/shack dwellers, provide city governments with essential data about conditions in slums and the priorities of slum dwellers. With this data we have a stronger voice, we are better armed to negotiate what we need from city governments.

Engaging in this way earns us respect and encourages these government agencies to act and take us seriously. It helps change the negative attitudes of city governments towards these settlements and their inhabitants.

Mobilizing local action

But getting government agencies to act on what the slum/shack dwellers need means talking to lower levels of government too, down to the ward and sub-ward level. And our slum surveys provide data and maps for each ward and sub-ward.

So when we talk to government staff at this level, we have the data to show where the problems are most serious. Which wards and which slums have the worst provision for toilets? For water? Which slums have no electricity?

The percentage of people who have to defecate in the open. The slums with no solid waste collection. The slums with deficits in schools and health care. Do the official land use maps include the slums?

Our strong and detailed data enables us to discuss with local government staff and local politicians how we can focus on what needs to be done in each slum. And how we can work together to address the resident's most pressing needs.

Slum dwellers know best, and needs vary

We know how slum residents and their organisations are best placed to produce data on their daily needs for water, housing, toilets or waste collection. We learn

from them by walking with them around each slum, talking to households and community organisations and preparing detailed maps.

We prepare these at ward level and call them ward diaries as they give us data on daily needs. This is information that local governments find difficult to collect themselves.

Priorities also differ a lot from slum to slum. For some, improved sanitation is a must – including community toilets where there is no space for individual toilets in their homes. For others the priority is water or healthcare or avoiding eviction.

Building Voice and Capacity to Aspire of the Urban Poor
A view from below

Sheela Patel

Chapter 8 of Book

Abstract

Due to old legislation, dating from the Industrial age, an increasing number of the world's urban population is living in informal settlements. Facing the constant threat of eviction, the slum and pavement dwellers are making indispensable contributions to the wellbeing of the formal cities. Yet the city authorities neglect and ignore them, neither acknowledging their contribution to the GDP nor providing secure tenure basic services or entitlements of citizenship.

Social movements of the urban poor, organized on the basis of livelihoods or habitat have begun to spring up in various cities, aggregating at county, regional and transnational levels. This chapter tells the story of the transnational social movement Slum/ Shack Dwellers International (SDI), which grew out of an alliance of pavement dwellers' organizations and women's collectives in Mumbai, India. SDI interprets voice as a form of collective representation at different levels. The self assigned responsibility of these

grassroots organizations has changed the self-perception of the urban poor as active participants rather than beneficiaries and may serve as a model for addressing other pending planetary challenges.

Why does culture matter? Or let us revise the question and ask why culture matters for development and for the reduction of poverty. This both narrows and deepens the question. The answer is that it is in culture that ideas of the future, as much as of those about the past, are embedded and nurtured. Thus, in strengthening the capacity to aspire, conceived as a cultural capacity, especially among the poor, the future oriented logic of development could find a natural ally, and the poor could find the resources required to contest and alter the conditions of their own poverty. (Appadurai 2013: 179)

From our blogs

Can global funds be accountable at the local level?

PovertyUrban



Guest post by

Sheela Patel

[Blogs](#), 9 August 2016

Is it possible for global funds to be accountable to local communities – especially those whose needs the funds should address?

Washing in Kolkata. Urban poor groups must engage with city government and utility companies in order to become drivers for change



(Photo: Wolfgang Sterneck, Creative Commons via Flickr)

With landmark agreements including the Sustainable Development Goals and the Paris Agreement in place, there is much discussion on the scale of funding needed to deliver these ambitious agendas, and the institutional structure through which it will be delivered.

Part of this funding is meant to come from global funds – for instance those set up to support climate change adaptation and mitigation or to tackle specific diseases such as malaria.

The thorny issue of where the money will come from and the need for new funding models will also be high on the agenda at [Habitat III](#).

This points to growing pressures for global funds to address a range of environment and development challenges. But how will these funds be found? And, importantly, will they be accessible to key stakeholders – local governments and local civil society organisations?

Vertical funding

Whether from multilateral or bilateral agencies, development finance flows through vertical structures. So too do global funds.

Top-down decisions made by distant international funding institutions are far removed from messy day-to-day realities. Truth and reality are based on who looks at a situation, context or activity. And local priorities too often go unnoticed.

Who gets funding, for what, and how, depends on where the money comes from, who sets the agenda and whose definition of what needs to be done informs this. This shapes design, delivery, execution and assessment of resource flows.

The effectiveness of all international agencies and global funds depends on the quality and capacity of the (mostly local) intermediaries that implement the initiatives they fund. And it is rare for these intermediaries to be accountable to local populations whose needs they are meant to address.

Global goals and local needs

This blog reflects on my work with Slum/Shack Dwellers International (SDI), founded in 1996 and now with more than 30 national affiliates and with the Alliance of SPARC, Mahila Milan and the National Slum Dwellers Federation in India. This alliance seeks to support the urban poor to define their priorities and execute plans based on their own data and experiences. It works through savings groups mostly formed and managed by women.

Working with SDI underlined to me how the goals of international agencies and global funds must reflect local needs, especially those of the poor. Part of this is helping to create organisations of the urban poor, investing in their development and asset creation culture. In this way, the urban poor become part of the overall development process influential development actors.

Observations of funding spend on the ground

From a local perspective, the amount of money allocated globally to some focus areas (climate change, sanitation, malaria, child immunisation) seems huge. Yet, paradoxically, it is often not enough to cover even the costs of existing deficits

The criteria for selecting who gets funding is little influenced by those in greatest need, whom the fund is meant to reach

Large funding pots are allocated to a few agencies mainly in the global North, or national governments with generally no accountability to the last mile (or, more appropriately for the provision of water services, the last 100 metres)

Pressures to spend leads to project money being distributed quickly, often with very little planning

Key local stakeholders are rarely involved in project design or able to share their experiences, while evaluations hardly ever help course corrections, and

Leaving a 'legacy' of resources is not discussed; local projects are carried out by civil servants and professional consultants and these leave when the project is over.

The role of urban poor movements

Urban poor groups represent 30 to 75 per cent of the residents of most cities in the Global South. They are locked in poverty, usually live in informal settlements and are kept on the margins of society.

So how can urban poor groups build their collective strength to steer how global funds can be spent more effectively? They must fight for their collective right to be in the city, to avoid evictions. They must engage with city government and water and sanitation utilities to take their place as one of the critical actors among the cast of stakeholders that can transform the city.

SDI events the Alliance was associated with

Is this too easy?

Water



Diana Mitlin

Blogs, 26 October 2016

<https://www.iied.org/too-easy>

@DianaMitlin

Voices from grassroots communities are being heard at Habitat III, but will this make a difference where it counts? Diana Mitlin writes from Quito.

I saw the impact of this when I moderated a panel for the UN Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States (UN-OHRLS) to talk about "Harnessing the potential of urbanisation in LDCs".

Professional experts from the World Bank, OECD UN-OHRLS and the UN Office for Project Services (UNOPS) were joined on the panel by Sarah Nandudu, a shack dweller from Jinja, a secondary city in Uganda. She explained how residents in informal settlements were able to work in partnership with their local government.

Her contribution was picked up in later comments by the other panellists, and what she said was warmly received. Sarah explained, for example, how organised community groups had shown the council how to reduce construction costs so that the money intended for two sanitation blocks funded five.

Sarah was warmly clapped and the first three of four audience questions were addressed to her. The other panellists were among the first to acknowledge what she contributed with her grassroots perspective.

But what can we draw from this? I have to ask: "What difference will this make?"

What difference will it make to funding processes and investment choices? And what differences will it make to control of funds?

Will the increased recognition of the significance of community capabilities result in development finance shifting significantly to the organisations which represent low-income citizens? Will networks such as SDI and the Asian Coalition for Housing Rights be invited into the decision-making rooms of development assistance agencies?

What difference will it make to practices on the ground? In September 2015, approximately 10,200 residents were forcibly evicted from the Badia-East community in the Ijora area of Lagos, Nigeria. Many of them remain homeless, dependent on family and friends.

Days before Habitat III opened, the Governor of Lagos State threatened further evictions across waterfronts in Lagos. The proximity to global declarations makes this act particularly shocking.

But every day such evictions are repeated as governments and/or private sector companies seek to claim back

well-located land. Sometimes the flood risks associated with low elevation settlements mean that resettlement is needed. But as an SDI member from Sierra Leone said in a session discussion: "Relocate where necessary, develop where possible".

While world leaders and urban practitioners met in Quito, Ecuador for Habitat III, the Lagos state government gave over 300,000 urban poor residents of waterfront settlements seven days' notice before their communities would be demolished, calling them dens of "kidnappers", "miscreants", and "touts". The Nigerian Slum/Informal Settlement Federation marched to the Governor's office to demand an end to evictions, and dialogue towards a pro-poor urban agenda

Disturbingly, evictions from well-located settlements appear to be increasing as economic growth increases land values. The discourse of modern cities has little place for disadvantaged and low-income citizens, except as an invisible labour force, present at work but otherwise unseen.

Global recognition

And what difference will it make to global targets and priorities? The World Urban Campaign has made Rose Molokoane, deputy president of the SDI, their co-chair. The World Urban Campaign is a platform coordinated by UN-Habitat with 136 partners and networks.

Such a position demonstrates a genuine desire to acknowledge the central role of disadvantaged groups in developing solutions (at the global as well as the local level) that address their needs and interests.

It is also recognition that partnership needs to be addressed more seriously, including the voice of low-income and disadvantaged urban citizens, and bringing other key parties to the table, including local authorities. But all together this really does feel a bit too easy.

There appears to be little recognition of the structural disadvantages faced by such groups and specifically their lack of inclusion in governance within towns and cities both in the global South and North.

I am reminded of the many people living in informal settlements that I have met who constantly are ignored and under-appreciated with their citizenship unrecognised. People such as Rosemary Lungu and her savings group colleagues in Kitwe, Zambia, who had to return to the municipal offices each week for more than two years before the town clerk agreed to meet with them.

Will all these global priorities and positions change the realities for Rosemary and the other 900 million people living in informal settlements?



SDI events the Alliance was associated with

Namibia's Urban Future 2017: Re_Thinking Housing & Urbanization :27th-28th February, 2017

Namibia's Urban Future was first initiated in 2015 as cross-institutional platform with the shared interest to explore, analyse and debate urbanization in Namibia. The initiative was launched in the presence of Honourable Sophia Shaningwa, Minister of Urban and Rural Development, and her Excellency the First Lady of Namibia, Madam Monica Geingos, with the overall question: "How can economic inclusion be facilitated through the progressive re-structuring of cities?"

The 2017 edition aims to address the broad spectrum of technical, economic, social and legal aspects that are relevant to the production of housing and urbanization in general, to prepare the ground for a holistic, cross-disciplinary review of Namibia's housing and urbanization agenda.

There were 8 parallel sessions addressing relevant thematic areas related to housing and urbanization, a daily keynote address and a closing panel discussion that brought together the various aspects that were discussed during the forum.

The Vice Chancellor of the university welcomes all and when SDI met him along with dean and head of department of NUST they all have an MoU with the federation and NHAG and wanted to know more about SDI explorations to help build curriculum that builds academic capacity to work in partnership with slums.

The Minister of Urban and Rural Development Sophie Shaningwa said, last year I was here I made statements and now I will make more statements that we have to as politicians. But I am presently interested to hear what you feel we must do to make things happen.



SDI board and council meeting Feb march 2017

A very important emergence of the evolving governance of SDI has been the increasing involvement of the federation leadership to inform policy and manage activities on the ground at both national and international level. The board of SDI comprises of two professionals from NGOs and nine community leaders selected by a council of members of eleven country affiliates who also nominate a management committee of 11 members comprised of senior federation leaders who work closely with the secretariat to manage decision making and execution of activities as decided by the board and council.

Exploring the similarities in the challenges of Dharavi in Bombay with Mukuru in Nairobi

The Alliance has worked for many years in ensuring that the residents of Dharavi get development that works for them. **It has made us aware of how much the process of planning, as it is conventionally done, seeks land value capture without commitments to make it work for the poor.**

When the constitution of Kenya was recently re-written, it created counties (provinces) that were given resources to address local needs. The Nairobi county focused on Mukuru, a township as big as Dharavi and developed it as a special planning area in which CSOs and community organizations and others could develop planning instruments to produce a strategy to improve habitat and livelihoods for those in the location. It would blend state resources with community resources and use land values to cover the gap. Exchanges and many interactions have begun to produce possibilities that will eventually be presented to the residents networks and city officials and initial options based on data and information gathered by the residents network with the help of their city federations have been prepared.



Can the Alliance tools work outside the SDI network?

The Human Cities Coalition

The SDI federation Model, based with many adaptations has now circulated well in the transnational federations within the SDI family. The challenge now is to explore how it could get embedded within the projects and programs of “other stakeholders” who want to undertake working to improve and upgrade informal settlements.

Axel Nobel and a network of organizations in Netherlands commissioned consultants to explore the possibility of working with SDI to examine how private sector institutions and federated networks could explore partnerships. Initially the countries chosen were India (Mumbai) and Ghana (Accra), however when the Dutch government was invited to also invest, the resources came with a caveat that the countries would have to be Philippines and Indonesia. This upset the two countries where the project investments and discussion has already begun. However after a lot of discussions, SDI was convinced to stay in the partnership and work to facilitate the usage of the SDI processes in this project. Sheela Patel Director of SPARC and Chair of SDI was also invited to become a member of the Supervisory board of the Human Cities Coalition.

SDFI network in India and Philippines would anchor and facilitate this process, supported and assisted by the larger SDI team and secretariat, and the initial process would entail the identification of two cities in the two countries, it would get initiated by slum profiling, household surveys of the city and federating of the households leading to selection of the settlements whose priorities would lead to experimentation of solutions that would be facilitated by technical interventions by the Dutch companies involved in the project with linkages with the city mayor, local private sector, university and national governments. The idea is to examine the most effective and impactful intervention which can be accessible to the whole city once the its value is demonstrated, and through the blending of a range of resources to assist communities in that city to access the solution in a scalable and sustainable way.

For us in India and for SDI in general, this project represents a new departure in examining partnerships. In the past our linkages have been with other networks through Cities Alliance whose membership links us to a wide range of others who together deliver support to cities and facilitate the formation of new federations (see SDI work in Liberia). HCC represents the first time we are working with a private sector led consortium, and our real learning at a meta level would be to examine how the contestation of values, strategies outputs and outcomes get negotiated within this organizational crucible which will in many ways reflect the challenges we will face as and when we seek to mainstream our methodology to get integrated in development processes outside SDI.

The Inauguration April 17

With a large portion of world’s population living in slums, cities are under tremendous pressure to improve infrastructure and invest resources to provide basic sanitation, water and housing, in addition to this the poor feel the brunt of increased vulnerability and impacts of climate change. Private sectors against this backdrop see a major role share with more and more investments coming from them. The Human Cities Coalition (HCC) founded by AkzoNobel brings together 150 stakeholders and 20 partners in a notably broad public-private collaboration that will seek to find and finance to incubate ideas that work for informal settlements.

On 27th of April HCC was launched at the Amsterdam Headquarters in the Netherlands. SDI representatives Emily from the South African federation and Ofelia Bagalota from the Philippine federation were at the event. Sheela Patel who also sits on the board of HCC spoke through video call.

HCC sets out to work in two pilots in Delta Cities, Malabon in the Metro Manila and Penjaringan in the Metro Jakarta region. HCC is partnered with SDI and SVF-Share Value foundation, which gives research opportunities to young researches to carry out the needs based assessment that forms Phase 1 of the project.

Link to the HCC inauguration even held in April 2017.

<http://citiscopes.org/story/2017/coalition-seeks-combine-business-know-how-priorities-urban-poor>



Team drawing the slum boundaries with communities in Penjaringan, Indonesia

Human Cities Coalition

Metro Manila in the city of Malibon, Philippines

The city of Malabon in the Metro Manila region was identified as the area for intervention in three slums of Barangay Catmon and Tonsuya. The selection was made by HCC with local governments based on slums that were involved as a part of the community mortgage program, which is giving tenure rights to slum dwellers and redeveloping land.

The mapping and profiling activities sought to

- 1) identify informal settlement communities in the selected barangays and determine their current situation and challenges being faced, and
- 2) assess the needs of residents particularly in relation to the upgrading requirements of their communities. The Mayor and local governments were involved in this process.

To ensure that the communities benefit most from the activities, community leaders and members from informal settlements in the two barangays were invited to attend general assemblies to orient them on the objectives of the project and to become part of the mapping and profiling team that would go around the communities. 12 community volunteers were trained to use the GPS device to map boundaries of communities and taught how to do the profiling of the communities to collect data on settlement demographics, land status, basic services vulnerabilities, location hazards, challenges and priorities. Some of the key findings of the mapping and profiling of informal settlements in Barangay Tonsuya and Barangay Catmon include the following:

- Twenty-two (22) informal settlement communities were identified in Barangay Tonsuya while 27 were identified in Barangay Catmon. GPS points and boundaries of the identified communities were collected and recorded to determine their location.
- Total informal settlement households in Barangay Tonsuya number 11,714 which translates to 65,222 total informal settlement population; Informal settlement households in Barangay Catmon number 5,375 which translates to 31,137 total informal settlement population.
- Major challenges of informal settlement communities in the two barangays are eviction threats, poor basic services such as water and drainage, power supply and sanitation and fire and flood hazards.

Community priorities of the residents sought to address tenure security issues, flooding and sanitation in their area, poor housing quality and job/livelihood insecurities .

The assessment will be explored to take up further interventions as pilots to bring tenure security, designing housing solutions and alternative energy options. Phase 2 and 3 of this engagement will be carried out in the next 6 months.

Metro Jakarta in the RW17 Rukun Warga, Indonesia

Though there are no official federations in Jakarta, this challenge was accepted with a clear mandate to develop new relationships with local communities and organizations that work with them, as worldwide the issues of urban development have had similar effects on informal dwellers in most southern cities, and SDI is committed to understand them and extend their support. The location was chosen based on an assessment done in early 2017.

Within Penjaringan, the focus area is Rukun Warga No. 17 or RW17 that falls within the country's National Capital Integrated Coastal Development Plan (NCICD). RW17 is spread over 188 hectares of land with housing, industries, fish processing, warehouses, parks and vacant lands. **It also has a maximum number of informal settlements. This needs assessment settlement profile constitutes only 5% of the total slum population in the city.** RW17 is home to several economic activities especially fishing and fish processing, given its proximity to the Sunda Kelapa East port.

The plan is to build a sea wall to protect the island, a new port and build 17 new islands that form the shape of the Garuda bird, by reclaiming the sea. Spatial analysis reveals that RW17 lies at the centre of the 17 islands that make the Garuda design. The plan clearly speaks of the intentions of the Indonesian Government to implement the plan with the Dutch Government and private sector agencies. The communities have little faith in their government or external organizations due to the constant threat of evictions in the past. The process engaged UCLG-ASPAC United Nations and Local Governments Asia Pacific, mayors, urban planning departments KOTAKU and the local community organizations to work closely.

The GPS mapping and settlement profiling was strategically planned to cover 23 constituencies in the area. The boundaries were mapped with communities and focused group discussions were done with every **RT in the presence of the RT leader.** The outcomes of the assessment are as follows:

- With the near absence of any public supply of water, residents depend entirely on private agencies spending close to 12-13% of their incomes on accessing water. A well-orchestrated private system of water distribution can be found in any informal location in Penjaringan.
- Tenure Security competes with safe and affordable drinking water to be of the first priority. Previous experiences of eviction, poor confidence in the ability of Governments to provide decent relocation options, have made communities averse towards NCICD and other similar development plans. However, over the last 30 years, a majority of residents have incrementally build semi-permanent structures indicating their ability to make small investments towards habitat improvement.
- Inadequate and improper management of both rain and waste water due to absence of good drainage systems cause constant water logging and flooding today. Torrential rainfalls and internal flooding only exacerbate this problem.
- While access to safe sanitation did not come up as a top priority, the current practices of open defecation or unsafe dumping of faecal matter cannot remain unaddressed if overall quality of life is to be improved.

Looking back Looking Forward

The last three decades

33 years of our work has demonstrated that the Alliance model of a modest sized professional support organization and a large multi-city federation which brings towns and cities from different regions together to operate at city, state and national level works well and can sustain its mobilization. It has been able to produce knowledge and strategy to scale across locations, build relationships with cities and governments and that both the Asian Coalition of Housing Rights (ACHR) and SDI have adopted this strategy demonstrates its adaptability and value.

The last five years

In the last five years the work we began in large projects with generous contribution from donors produced many major breakthroughs and built skills and capacities of the federation leaders who now do most of the tasks that professionals did before. SPARC professionals now back stop the routine activity, when needed, for federations are explore new possibilities and new ways to remain strategic partners to the federations. This transition has been marked yet gradual.

The increasing value of working with medium and small towns

The emerging explorations in new possibilities has come through the focus on medium and small towns where mapping informal settlements, exploring ways by which communities can initiate dialogue with officials and local educational institutions and has produced a series of new explorations that lead to our new strategic plan to build local capacities and local partnerships between municipalities, academic institutions and the organizations of the urban poor.

The need to develop multiple ways to reach the same goals

The work we have done so far has been to stay within the bandwidth of Habitat security and improvements but never imposing external expectations, instead to work with priorities that communities set. Our experience shows that any ritual can trigger exploration of other rituals, if you start with savings it can move you to surveys, to peer exchanges, to precedent setting projects or the other way round. It does not matter where you start. Similarly, whether a community initiates a process by dealing with eviction threats, or sanitation or water or public spaces or house upgrading somehow the others follow and now the energy has gradually ecome integrated in the process.

Testing the efficacy of our strategy in new areas linked to habitat

The Alliance now not only works with organized communities in small and medium towns, it also seeks to explore using this strategy to work in partnership with other organizations who seek support to move from working with a NGO or two or three communities selected by the state to working at city level and creating organizations of the poor. SPARC and the federations are doing this in India as well as working on this through SDI in other countries. Our strategy is to examine the types of challenges we face when we work through different partnerships.

Can our strategy be effective where we don't have federations?



Formulating a vision for the next five years

The changing global context

The world is changing as our own country changes and the role of cities changes as well. At no point in the history of urbanization is its rapid growth so palpable globally and events like the SDG and climate change agreements as well as the new urban agenda challenge the conventional development paradigms. Paradoxically, we see that in India and in SDI across all affiliates, grant makers are no longer able to support and finance the bottom up approach just when it has begun to demonstrate its efficacy.

The changing grant makers perspective

The Philanthropy networks have moved on to other areas of development or so it seems from our vantage point and holistic potential to develop bottom up sustained citizen participation of the most vulnerable is no longer a priority or valorized to the extent it was before. More and more business management concepts are imposed and social enterprises are seen as attractive investments. Many large private sector companies are now seen as more capable of designing and executing projects than NGOs and many government projects for capacity building are no longer available to NGOs. This is turning many NGOs either into consultants or sub contractors desperately seeking to align their ongoing commitments to the poor with seeking to obtain these contracts, but rarely getting sustained long term support for real transformative leadership building.

Direct individual and household transfer model and its implications

The government on its side has moved to direct transfer to households after acknowledging that much of the welfare funds either remain unused or leak so they do not reach those who need it the most. While this is good for some areas of transfers, there are many things that the urban poor need to do collectively which remain unexplored.

Options open to the Alliance

The Alliance has always used the power of collective behavior of critical masses of the poor to both educate,

activate and produce alternatives that communities need rather than give them what others feel they need. Our challenge is now to examine how to produce a strategy to stay relevant, fulfill our collective commitment to the most vulnerable in the urban context and undertake solutions that work for the city and the urban poor.

Choices we explore

After much experimentation and reflection and debates we have decided that our role should be to build local partnerships and local capacity to bring citywide change.

The two plus three years strategy development plans

The strategy we have developed

1. The primary alliance between the city officials and mayors with academic institutions and the organizations of the urban poor is the focus of our investments.
2. Its process will be developed through our work in several states with federations who want to explore this strategy and with other NGOs, city governments or foundations who also see value in this activity and will partner with us.
3. In 2017-18 and 2018-19 we will initiate these activities, document the variations that emerge and examine ways to facilitate peer networking so that learning exchanges will make more options possible not only for the three main actors in the city, but for state governments, other CSOs and NGOs and grant makers who see this as useful.
4. At the end of two years a review will determine if we expand on this and build more structured capacity building programs that treat these cities as learning centers and add to the number of cities and towns exploring this strategy while the work in the earlier city moves to the entire city scale.
5. Finally, along with our direct work, our objective is to map the SDGs in these cities challenging data that is produced by others on slums .



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