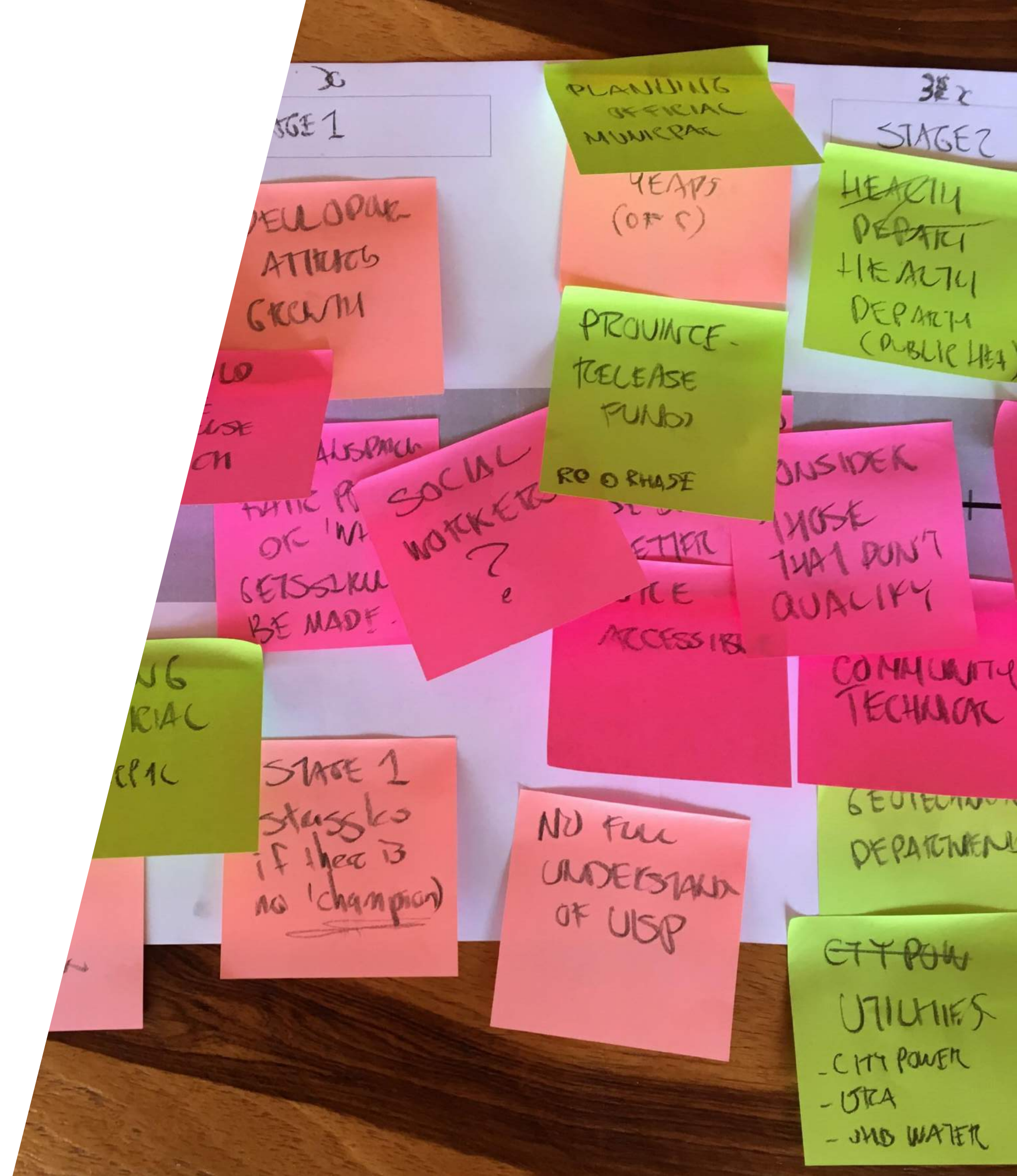


PARTICIPATION AT SCALE

Our Experience



one to one
AGENCY OF ENGAGEMENT



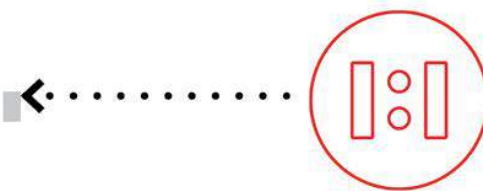
1to1 started as a student organization





“The goal was to design projects with/for those affected by spatial inequality in South Africa”

"1to1 aims to change how cities are
SEEN, MADE and **MANAGED** to
support movement towards spatial
justice."



"1to1 is a human centered design
focused creative social enterprise that
addresses systemic spatial inequality in
South African cities by addressing
development at the neighbourhood
scale"

OUR PROCESS

How it began

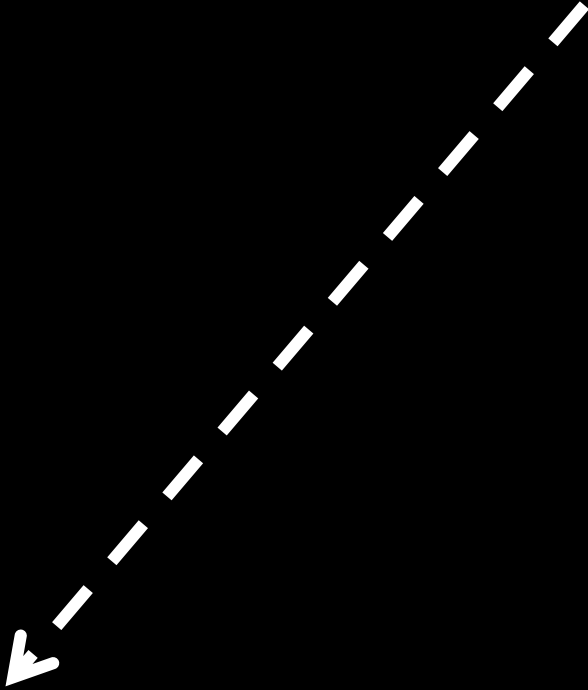


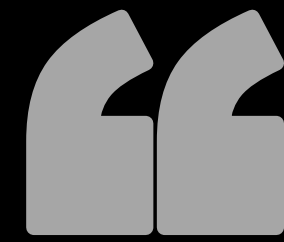
Slovo Park, Johannesburg 2010

OUR PROCESS – IN THE BEGINNING



OUR PROCESS – IN THE BEGINNING





IT'S ONLY PARTICIPATION

**IF SOMEONE
POINTS AT A
MAP ”**

01

Contact

02

Engagement

03

Development

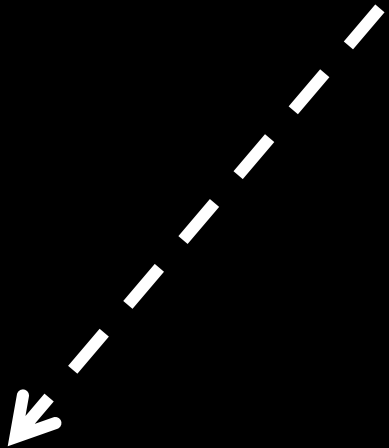
01



02



03



01

Contact

02

Engagement

03

Development

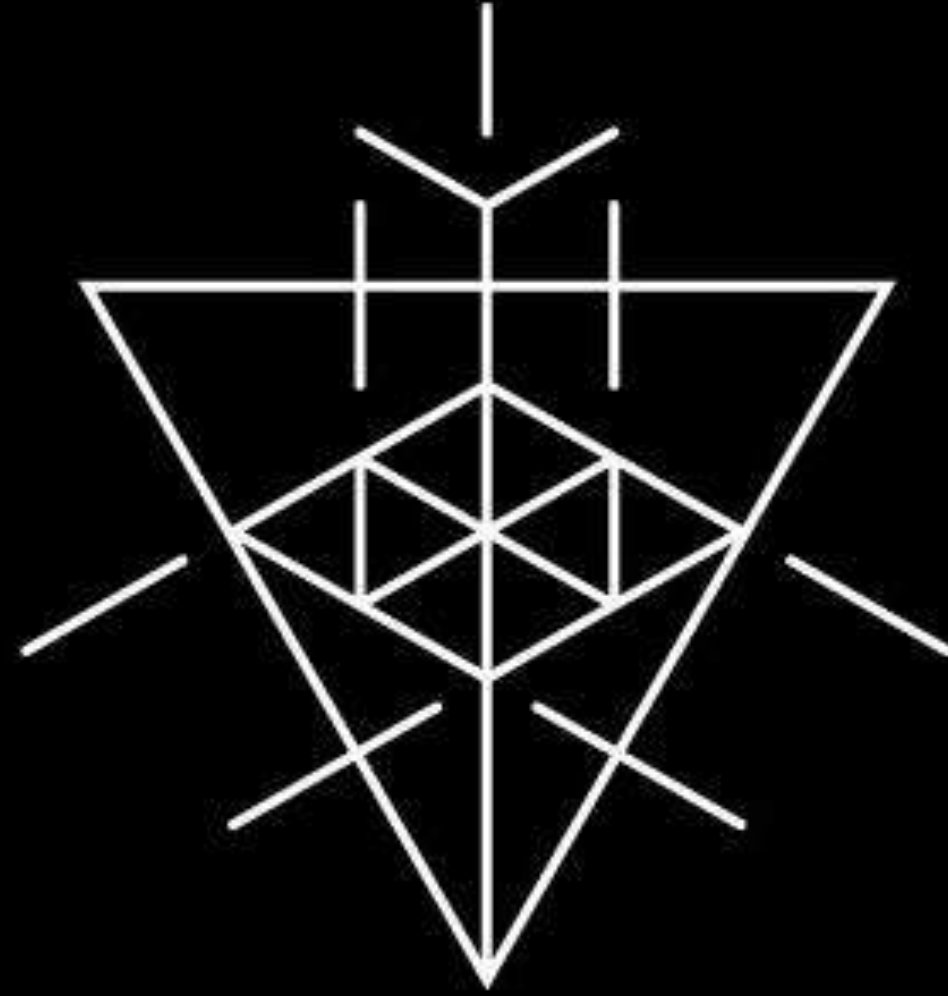
04

Support & Advisory

What has this meant for
Slovopark?

THE PARTICIPATION PROCESS – FOLLOW THROUGH





SLOVO HALL 3.0

**A WORKSHOP/MEETING TO DISCUSS THE SLOVO HALL REPAIR/UPGRADE PROJECT AND
ESTABLISH A PLAN FOR THE NEXT PHASE.**

14 JULY 2018

9H00

SLOVO HALL

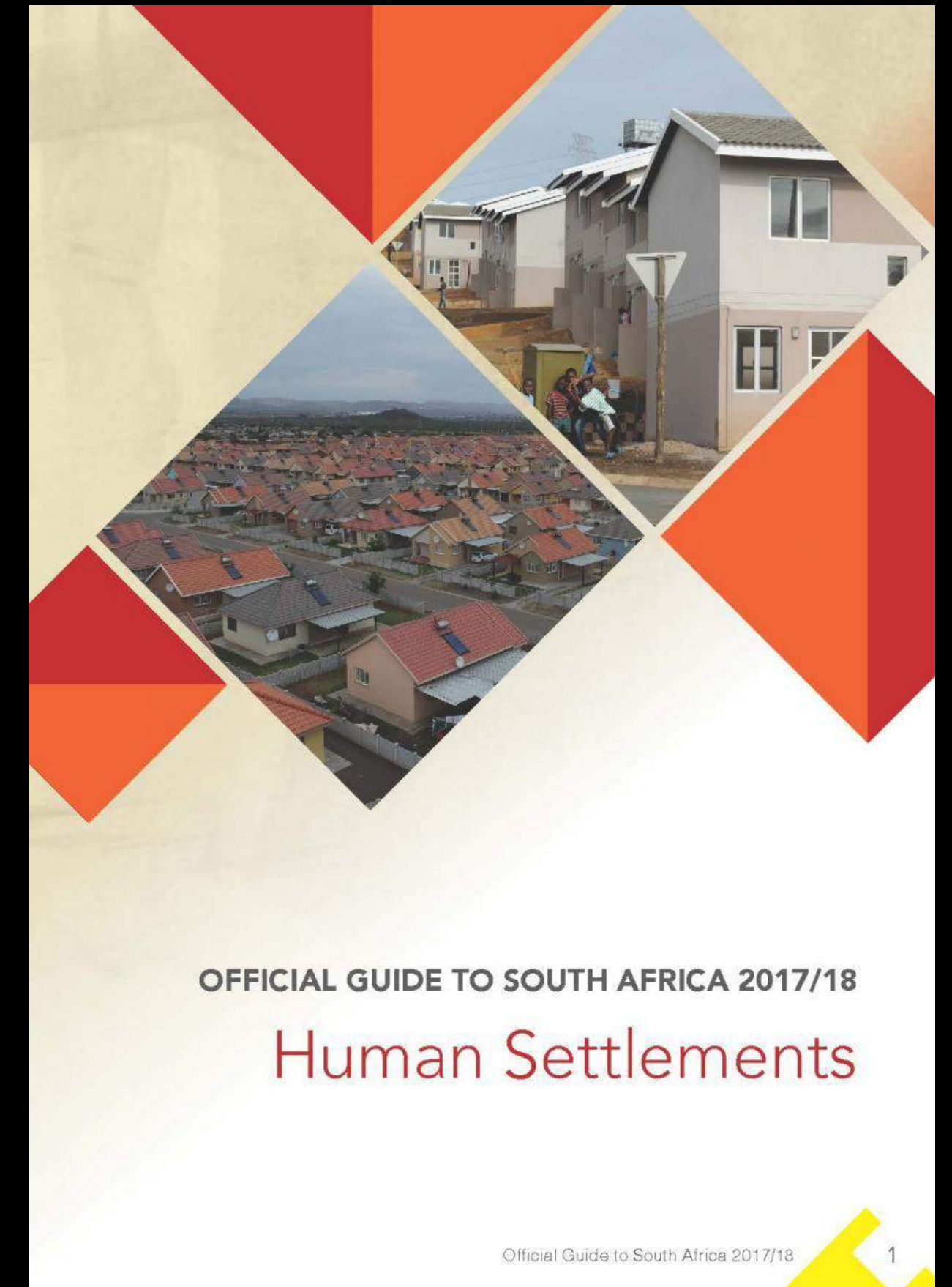
PLEASE RSVP WITH YOUR NAME IN THE SLOVO HALL 3.0 WHATSAPP GROUP OR SMS SUZETTE ON 081 372 8175

THE PARTICIPATION PROCESS – FOLLOW THROUGH



How did the process of
engagement have to adapt?

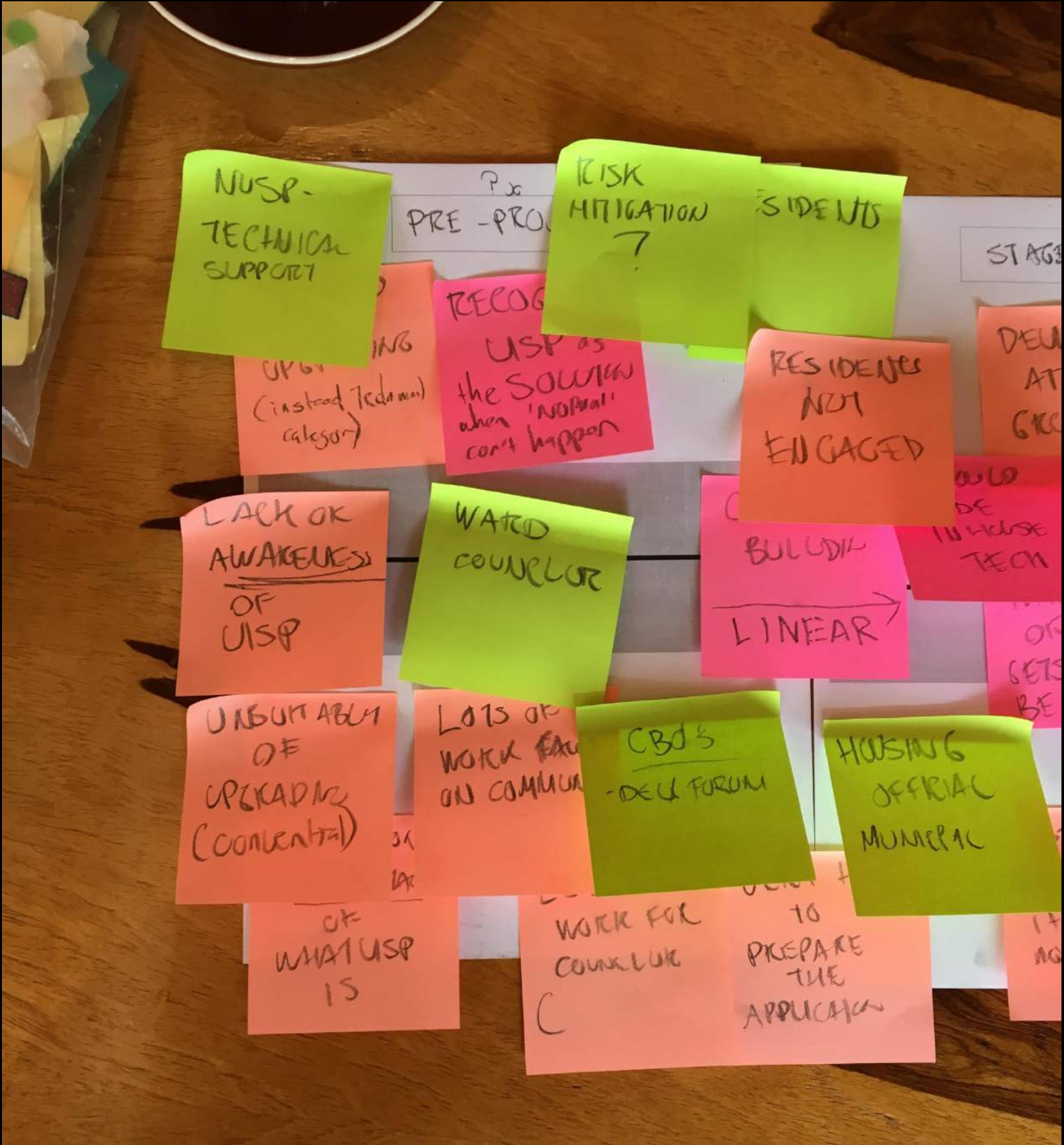
UISP – upgrading of informal settlements programme



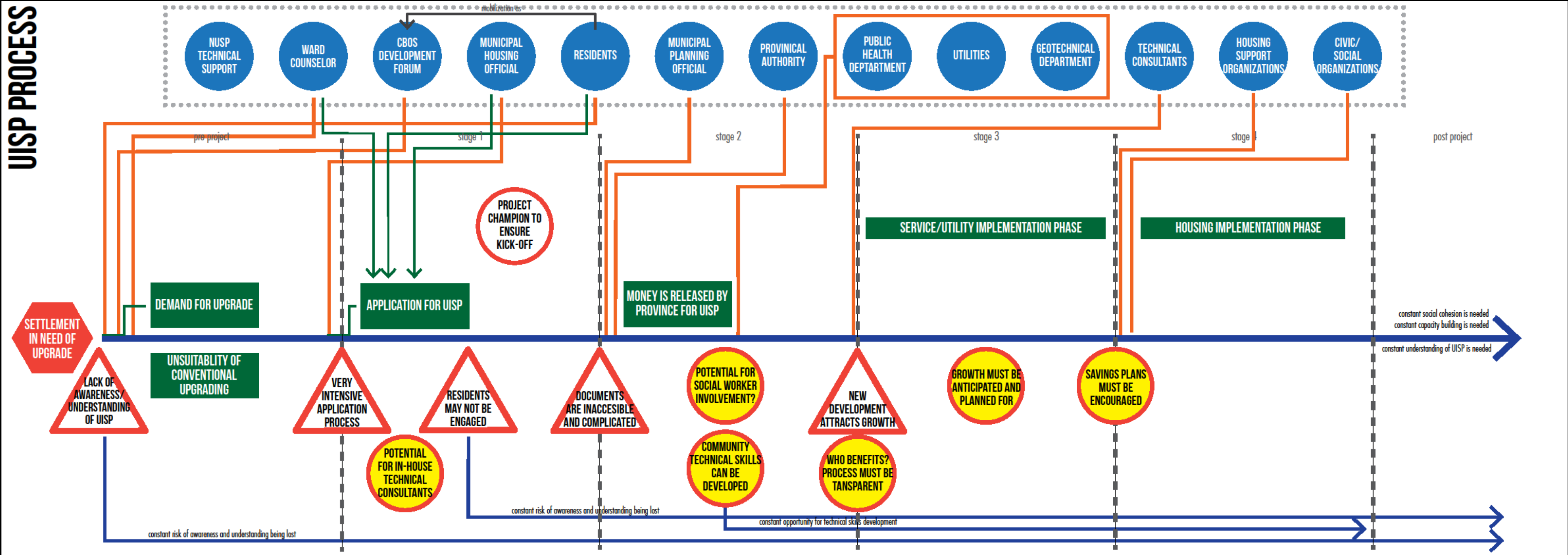
Human Rights Organizations
Community Leadership
Academic Support
Grass Roots Networks

What did 1to1 start to do?

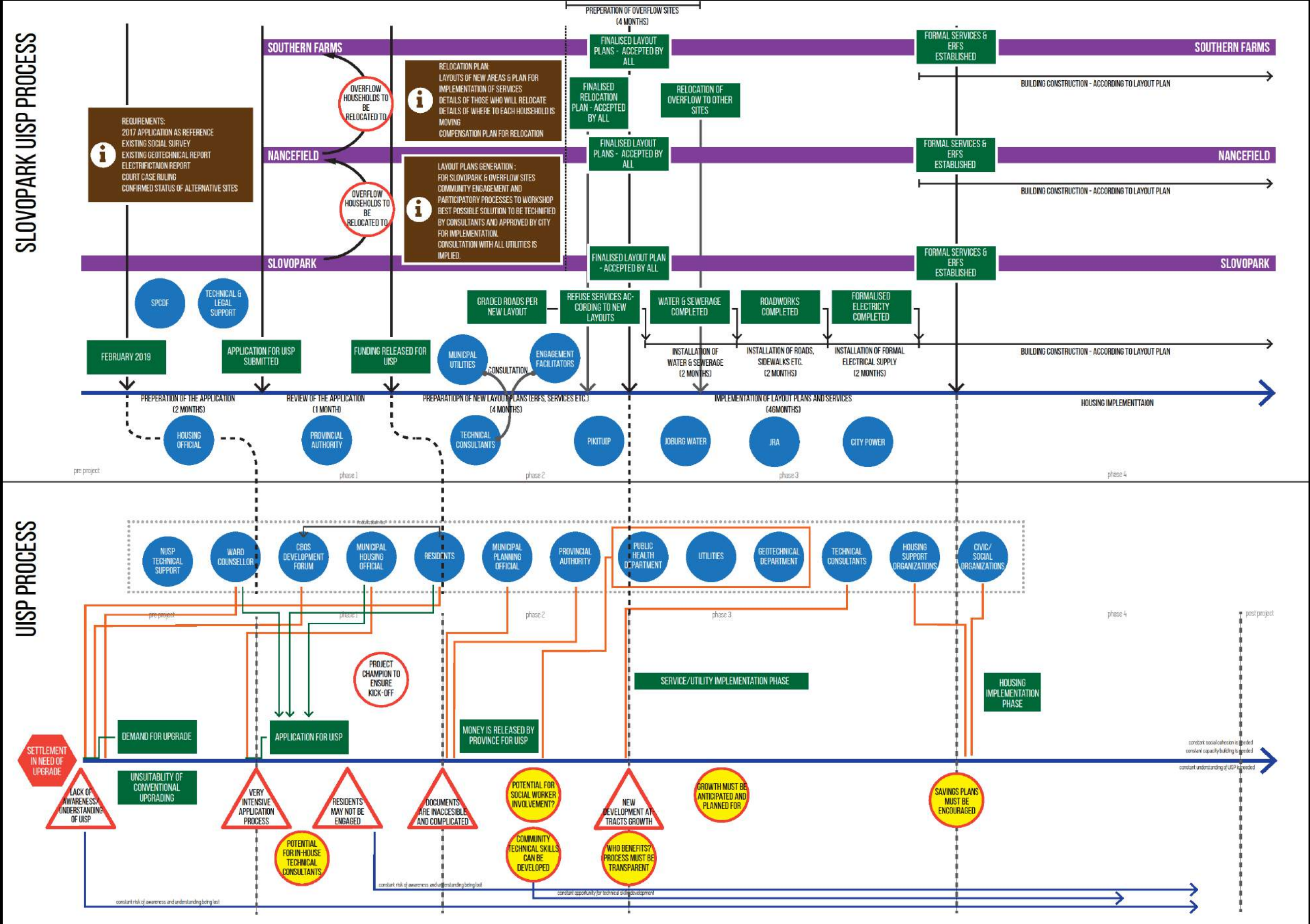
THE PARTICIPATION PROCESS – ADAPTATION

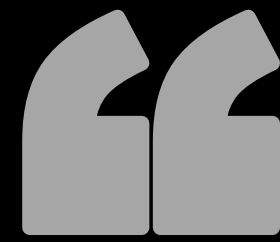


THE PARTICIPATION PROCESS – ADAPTATION



THE PARTICIPATION PROCESS – ADAPTATION





PARTICIPATION

**HAS TO START
AT PLANNING
STAGE”**

EVERYONE PARTY-CIPATE!

THE PARTICIPATION PROCESS – ADAPTATION



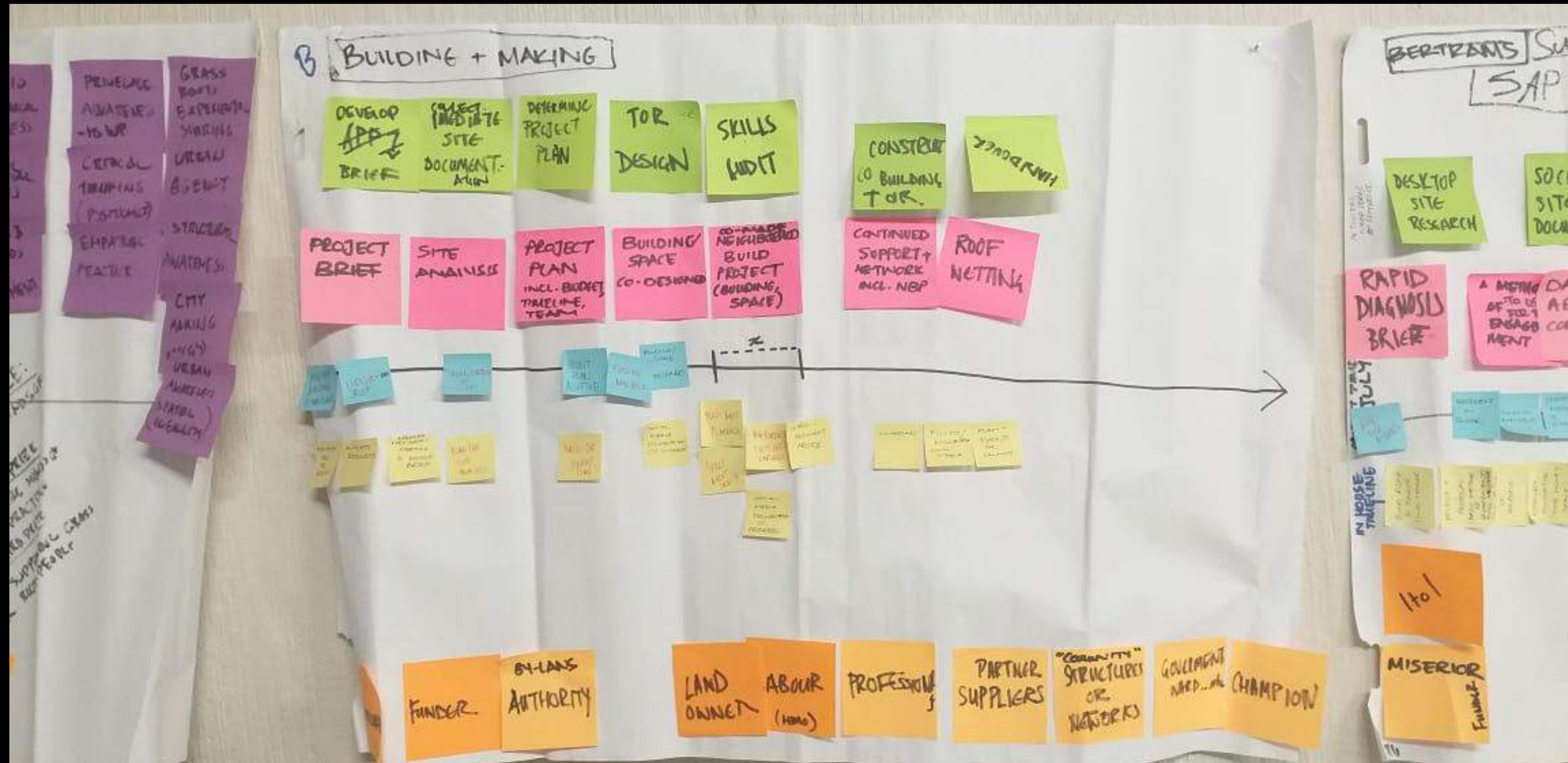
THE PARTICIPATION PROCESS – ADAPTATION

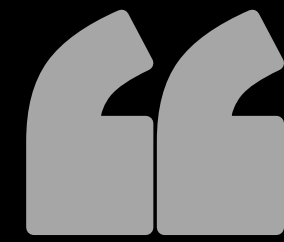


THE PARTICIPATION PROCESS – ADAPTATION



THE PARTICIPATION PROCESS – ADAPTATION





PARTICIPATION PROCESSES

**CAN HAPPEN
IN ALL
SPHERES”**

THE PARTICIPATION PROCESS – METHODS & TOOLS

KLIPTOWN ACTION PLANNING WORKSHOP
10 OCTOBER 2018

The workshop involved the first stages of an action planning process. Information related to events and issues and active stakeholders and their actions on Kliptown were collected.

This artefact serves as a collection of that data, to be built upon in future.



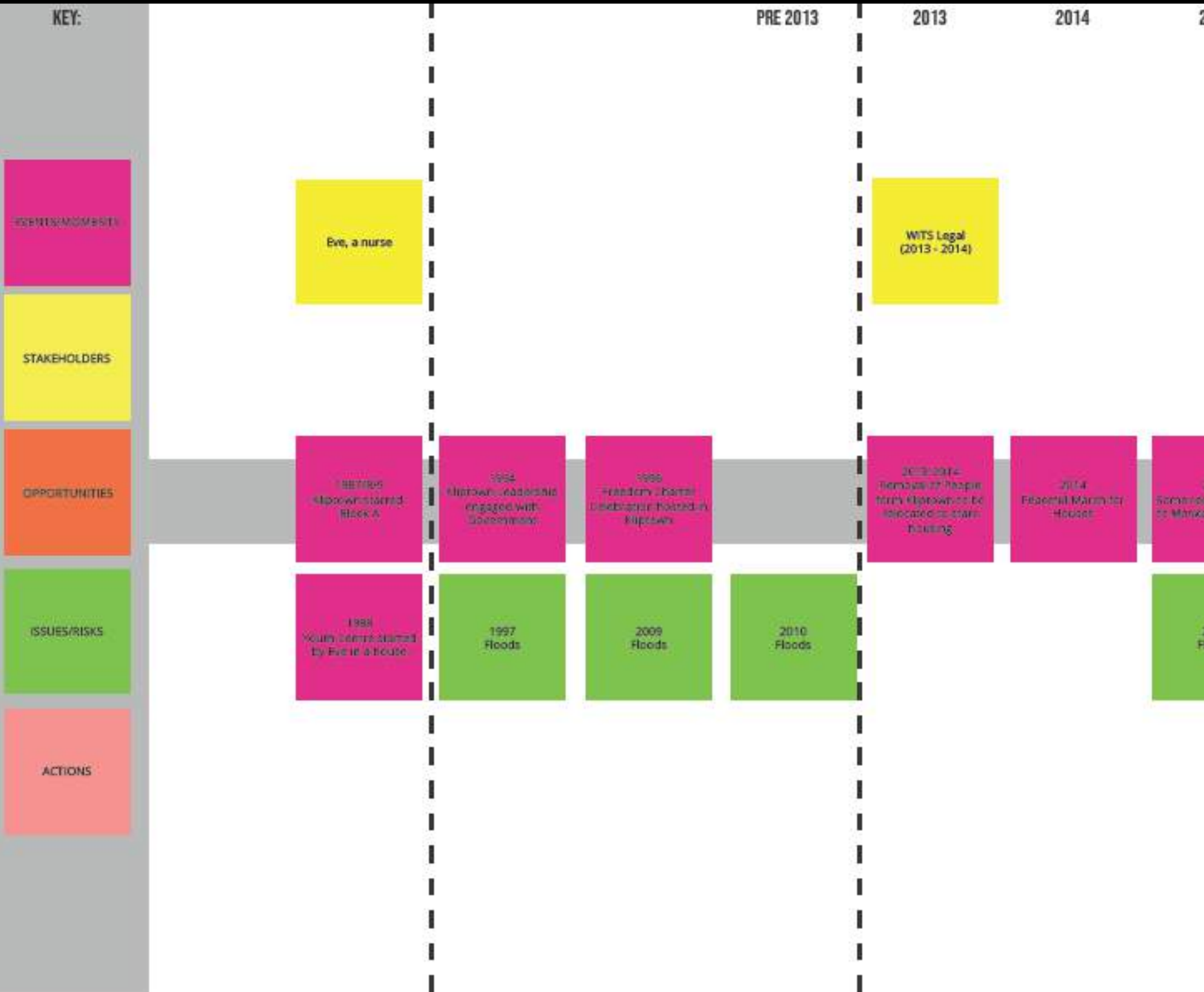
The type of information collected serves to tell a story of Kliptown and as a collective tool around which a plan for the future development can be conceived.

The process involved all those present being given the chance to contribute ideas, which were scribed by the facilitators and collected on a timeline, dating from 5 years before, to 5 years after the date of the workshop.

Items placed on the timeline were categorised as:

- Events/Moments
- Stakeholder
- Opportunities
- Issues/Risks, and
- Actions.

There are also a number of longterm development goals, highlighted in red.



EVENTS

ACTORS

GOALS

RISKS

ACTION

MILESTONES

SABOTEURS

GOALS

REQUIREMENTS

COSTS

As with a process focused methodology for development, participation engagements should be seen as valuable despite possible disappointing outcomes.

It is important to remain agile and flexible, to be open to any outcomes and not be too concerned with the data being collected – it will be processed into something coherent afterwards.

“ THE OUTCOMES OF SUCCESSFUL PARTICIPATION

**ARE OFTEN
INTANGIBLE ”**

What will 1to1 do next?

PARTICIPATION AT SCALE



STAKEHOLDER ANALYSIS TOOL

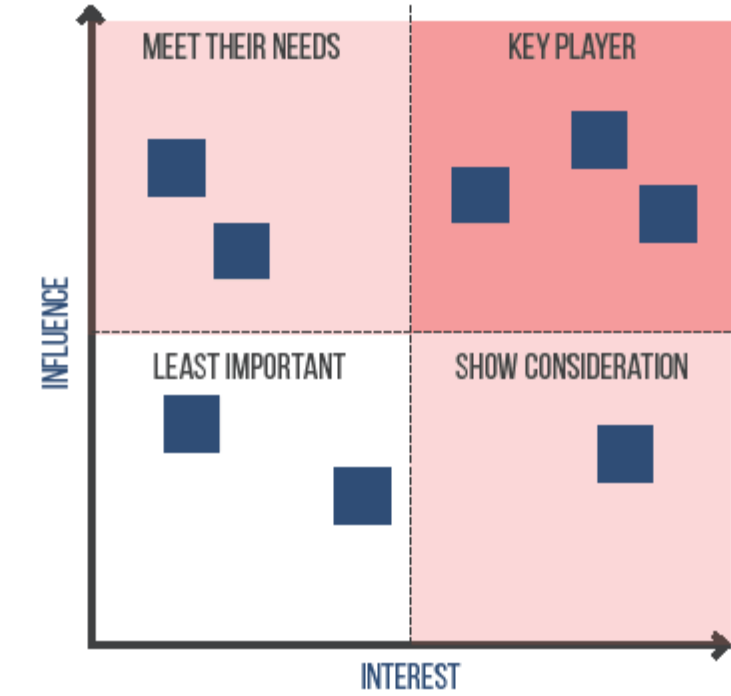
The stakeholder analysis tool is used to articulate a situation in terms of the actors involved. The goal is to outline who are the actors involved and organise them according to their interest in and influence over the situation. The outcome generates a perspective around what type of stakeholders they are in the given situation.

STEP ONE

Using post-its, document all the stakeholders that come to mind in the given situation. Possibly also note what their interest in the situation is.

STEP TWO

Organise the stakeholders according to their interest and influence. Use the axes as shown below.



RESULT

From the organization of the stakeholders you can begin to see which of the stakeholders are

- 1. Key Players in the scenario
- 2. Those whose needs need to be met
- 3. Those to whom consideration must be shown, and
- 4. The least important in the situation at hand.



“The goal was to design projects with/for those affected by spatial inequality in South Africa”

PARTICIPATION AT SCALE



NEIGHBOURHOOD MAKER PROJECT BRIEF

YOU'RE BUILDING A THING! FIRST WE NEED TO KNOW A BIT MORE ABOUT IT.

What are you building?

Who are you? Do you represent an organization/group? How can we contact you?

Name: _____

Organisation:

Correct Details:

If we can't get hold of you, who else can we contact?

Name:

Connect Details:

Decide on a name for your project

Describe your idea and what it is you want to build?

Why do you want to build this project? Cross your neighborhood need-

- ☐ Public Space
☐ Meeting/Leadership place
☐ Playgrounds
☐ Education
☐ Sport facility
☐ Retail space
☐ Other (Specify):

Who would use this space card for what purposes? Could it be used by many different people/groups?

Where would you like to build?

Where is the place you would like to build?

Address:

GPS Coordinates:

Describe the site briefly?

Do you have contact details for the landowner?

Name:

Organization:

Contact details:

Does the owner have an interest in your project? What will they get?

Has the owner given you permission to build here?

☐ Year

☐ No

If not, how can we get permissions?

Is the site clear of any objects and obstructions?

☐ Yes☐ No

If not, describe what is there that needs to be removed.

Please take some photos of the site and include them with this pack - or email them to us.

PART 2

BUILDING COST MATRIX

To estimate the total cost of your project you need to estimate the cost of materials, labour, professional services, on site food, transport and many more things which are often not easy to think about ahead of time. The Building Cost Matrix and the will help you estimate how much money you need to ask for in your funding proposal.

First you will calculate the construction cost which includes materials and labour. Then you will calculate the total cost by estimating how much extra to add to cover professional fees, expenses and contingency costs etc. Please note that you are calculating an estimate. A accurate project cost amount can only be calculated with the employment of professionals such as quantity surveyors and architects.

Step 1:

Start with the size (red). How big is the building you want to build? example: a playground of 5m x 5m is a small size building.

Step 2:

Decide on the building complexity (blue). If you want the playground to have lights it is a standard complexity building.

This example playground would therefore have a construction cost of R1 500 per m²

COMPLEXITY (R per m²)

	LOW	STANDARD	HIGH
SMALL	R1 000,00	R1 500,00	R3 000,00
MEDIUM	R1 500,00	R3 000,00	R4 000,00
LARGE	R2 000,00	R4 000,00	R6 000,00

SIZE (R per m²)

SMALL

MEDIUM

LARGE

SIZE DETAILS

*up to 100m² (10m x 10m)

*playgrounds & parks

*small buildings (eg bike sheds)

*public spaces (eg board/shade)

*100m² - 200m² (10m x 20m)

*community buildings (halls/classrooms)

*churches

*small venues

*201m² upwards

*large community buildings & venues (hall+)

*small schools

*clinics

COMPLEXITY DETAILS

*no electricals

*no plumbing

*no council approval

*simple roof (no truss)

*manual digging and mixing

*council approval required

*electricals

*plumbing

*truss roof

*engineer consult & signature

*machinery required

(TLB/digger/compactor)

*council approval required

*unique elements

(columns/beams/system)

*double story

*engineer appointment

*concrete roof/slab

*pref. building contractor

Step 3:

Once you have determined where your project sits in the diagram above you can calculate the estimated construction cost (which includes labour and material).

EXAMPLE:

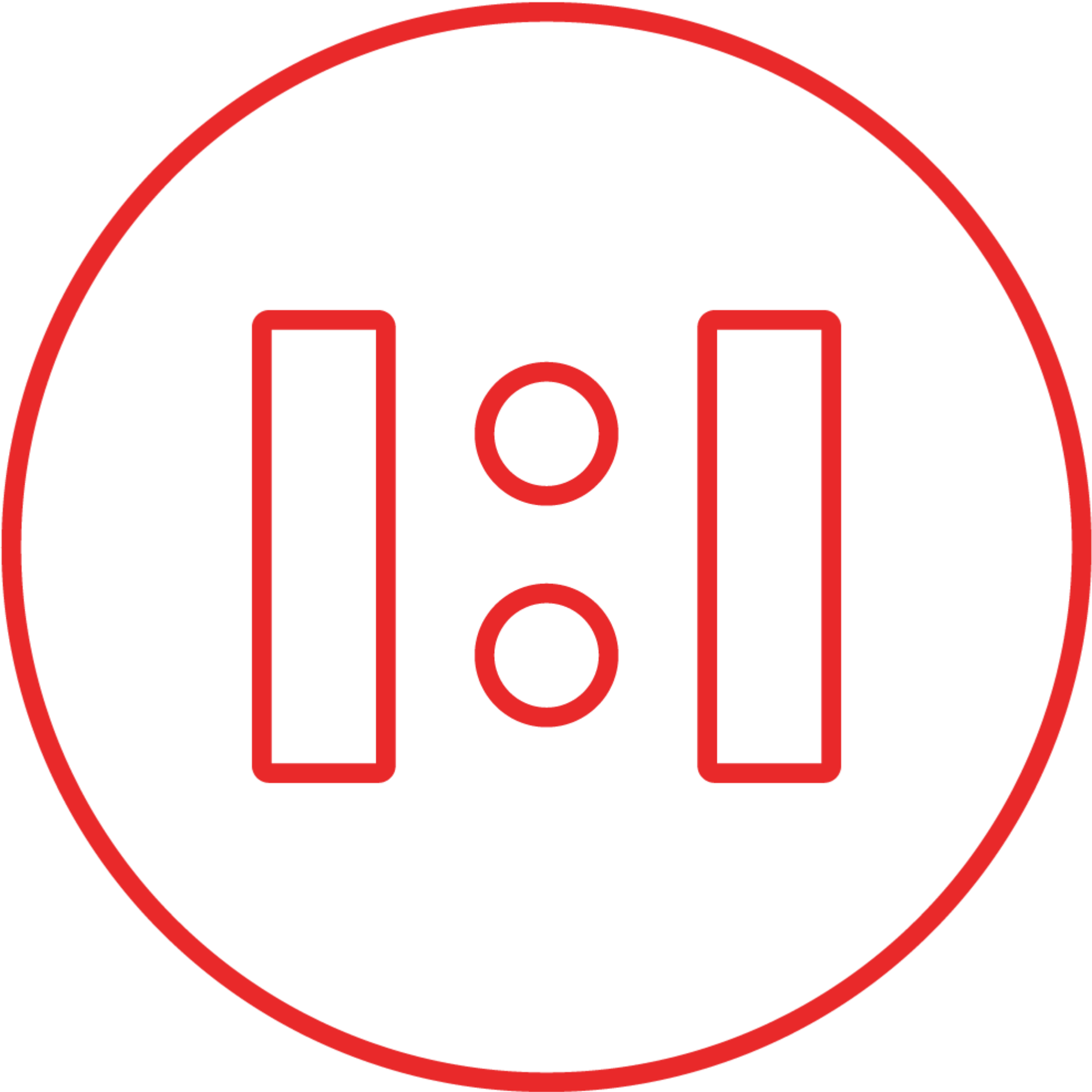
A hall is planned to have an area of 300msq (15m x 20m). This area makes it a large size building. It will need electricity and a bathroom so will therefore be of standard complexity.

Using the above matrix we can therefore calculate the construction cost:

R4 000 x 300msq = R1 200 000.

- 7 -

THANK YOU

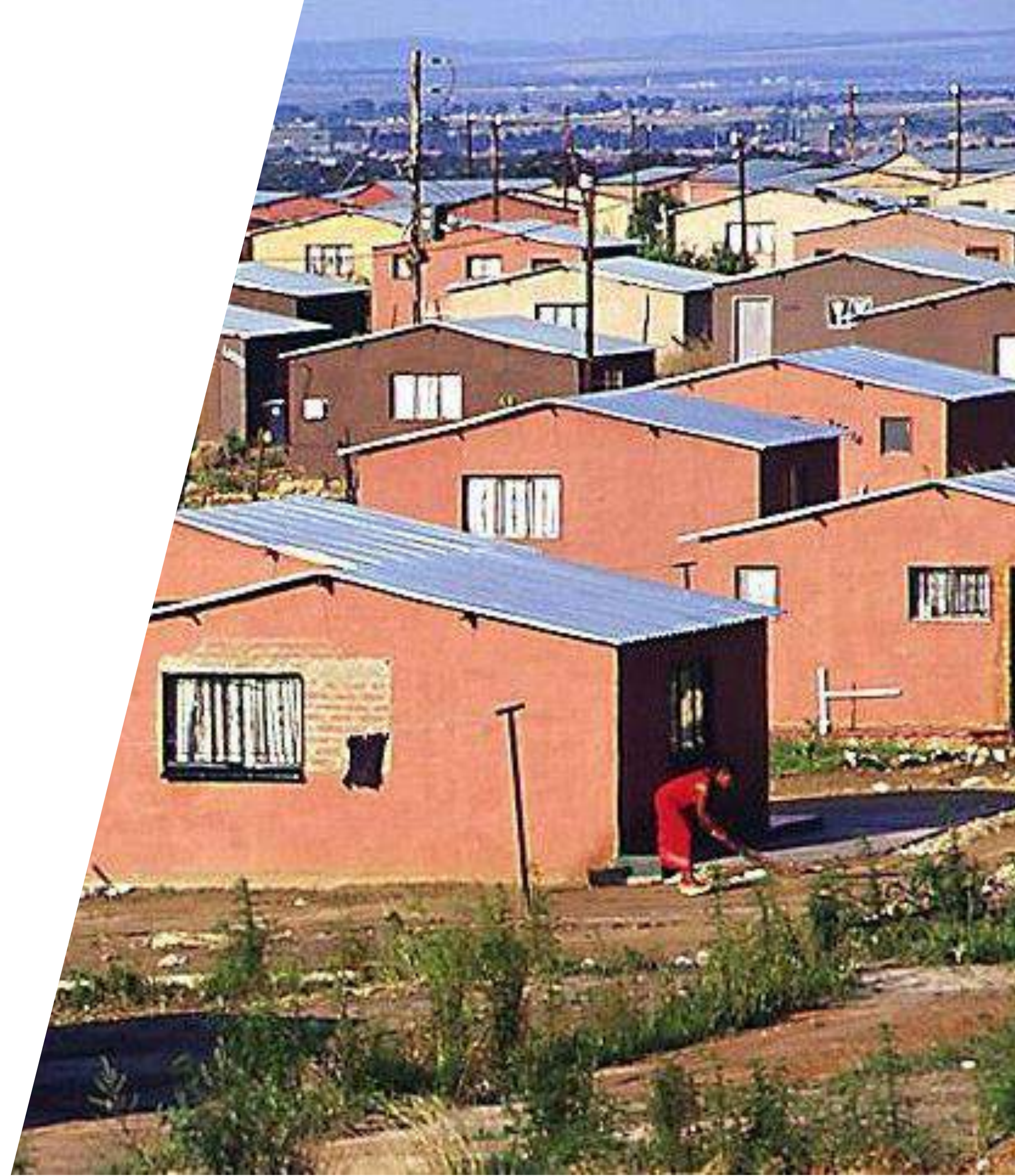


PARTICIPATION AND THE STATE

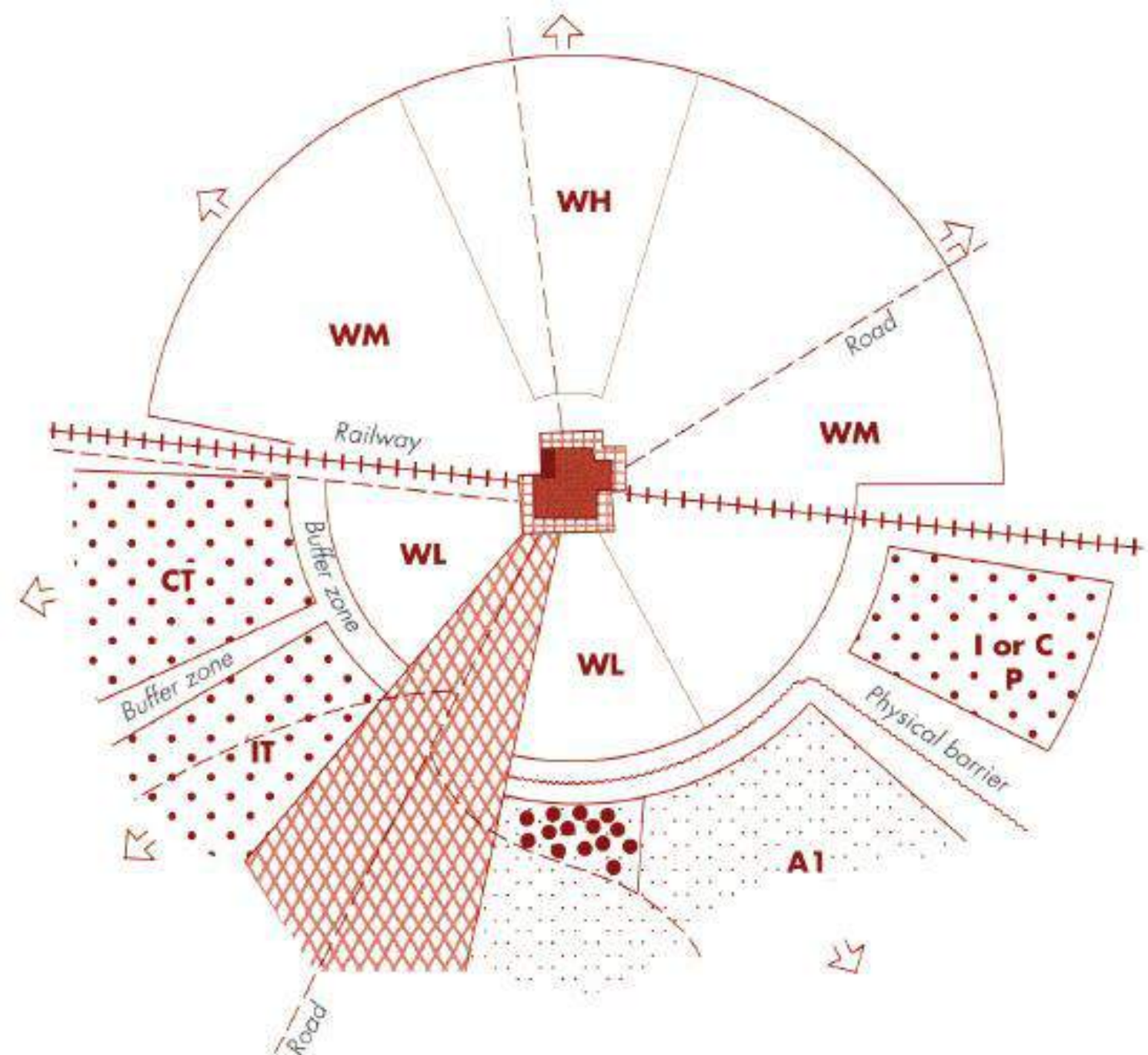
Our Experience



one to one
AGENCY OF ENGAGEMENT



THE SOUTH AFRICAN STATE AND HOUSING



- White CBD
- Indian CBD
- CBD frame
- Industrial

- Residential areas**
- White group area
 - African area
 - Indian or Coloured group area
 - I Indian C Coloured T Township P Privately developed
 - Hostel A1 Municipal township

Socio-economic status (white group area)
H High M Middle L Low
Domestic servants quarters not shown.

1994

Reconstruction and
Development Plan

1997

The Housing Act

2004

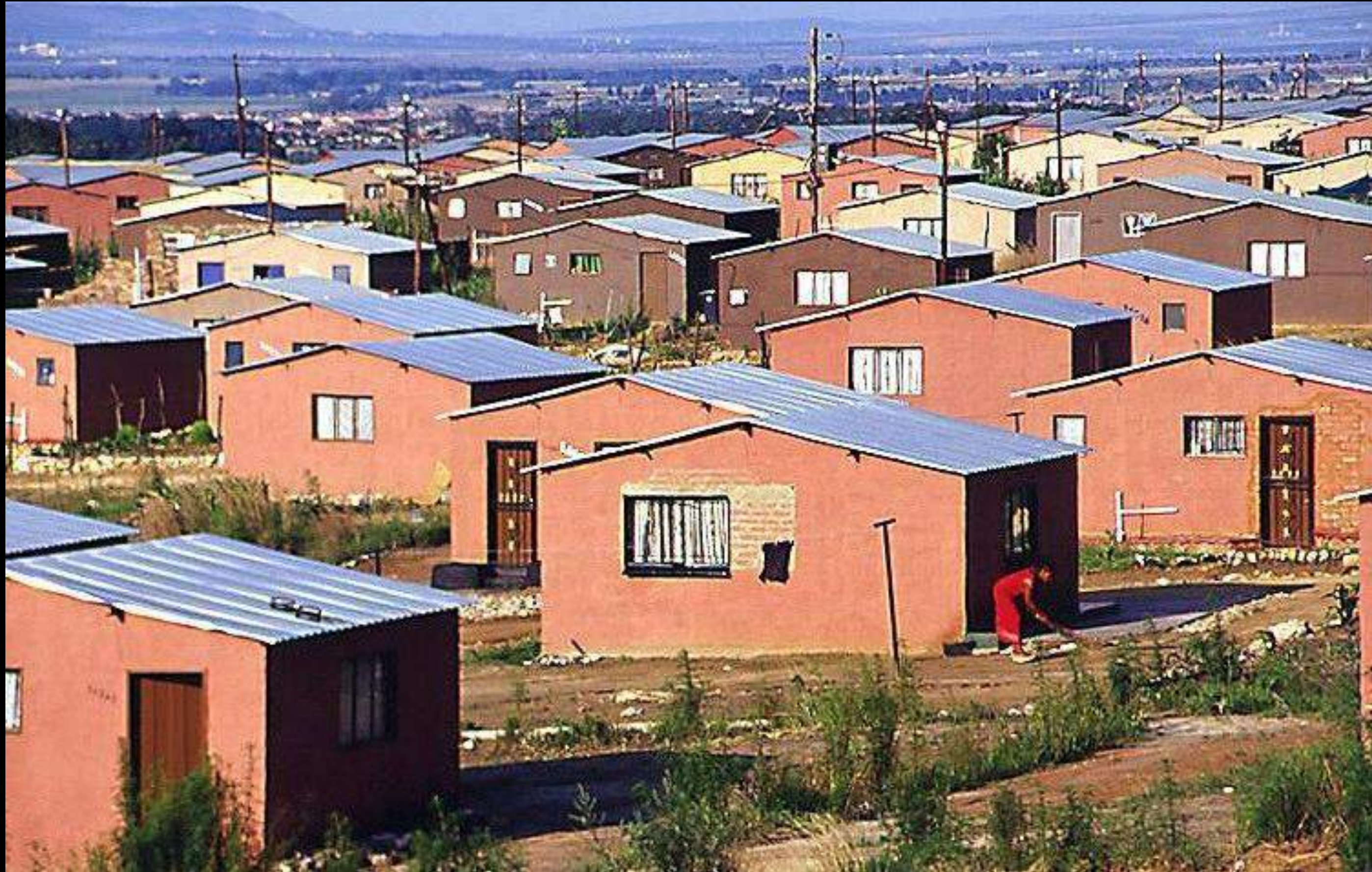
Breaking New Ground

2014

Commitment to upgrade
2200 informal settlements

1994 | RDP INCLUDED:
Housing,
Water &
Electrification,
Land Reform,
Healthcare, and
Public Works

THE SOUTH AFRICAN STATE AND HOUSING – RECONSTRUCTION AND DEVELOPMENT PLAN



1994

Reconstruction and
Development Plan

1997

The Housing Act

2004

Breaking New Ground

2014

Commitment to upgrade
2200 informal settlements

1997 Housing is a basic human need and vital to the socio-economic well-being of the nation

Despite the commitment to delivering houses and eradicating informal settlements the demand far exceeded the supply. A number of reasons for this are cited Breaking New Ground policy documents.

1994

Reconstruction and
Development Plan

1997

The Housing Act

2004

Breaking New Ground

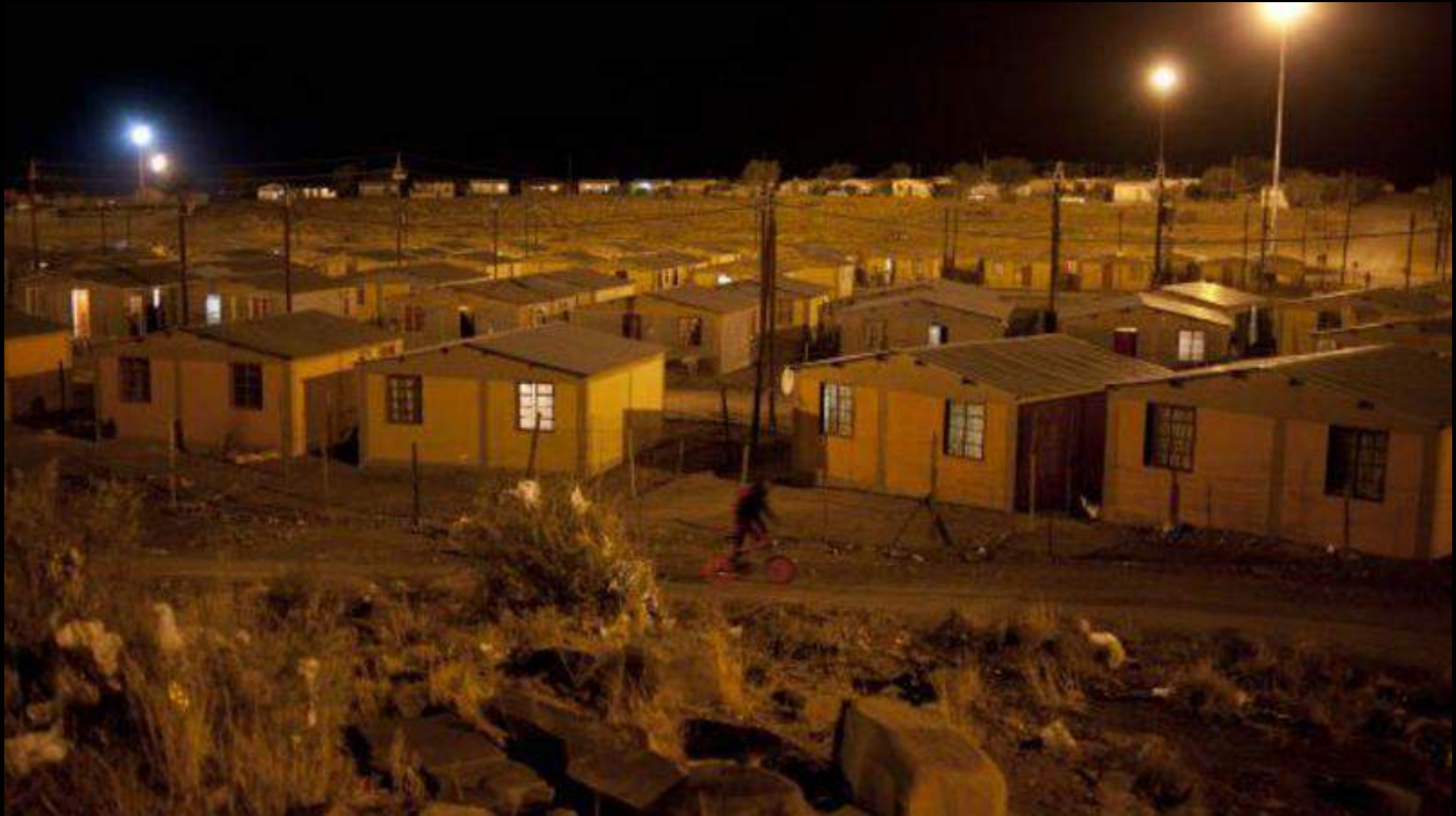
2014

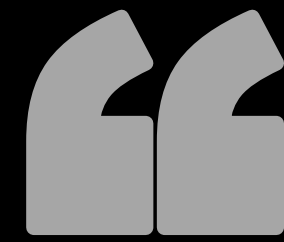
Commitment to upgrade
2200 informal settlements

2004 | A comprehensive
plan for the
development of
sustainable human
settlements within 5
years

The BNG policy highlighted the need to provide mixed methods of housing and to begin upgrading informal settlements in situ.

THE SOUTH AFRICAN STATE AND HOUSING – BREAKING NEW GROUND





40 X 40 X 40:

40m²

40km away

40% of income

on commuting”

THE SOUTH AFRICAN STATE AND HOUSING – BREAKING NEW GROUND



1994

South Africa becomes a
democracy

1997

The Housing Act

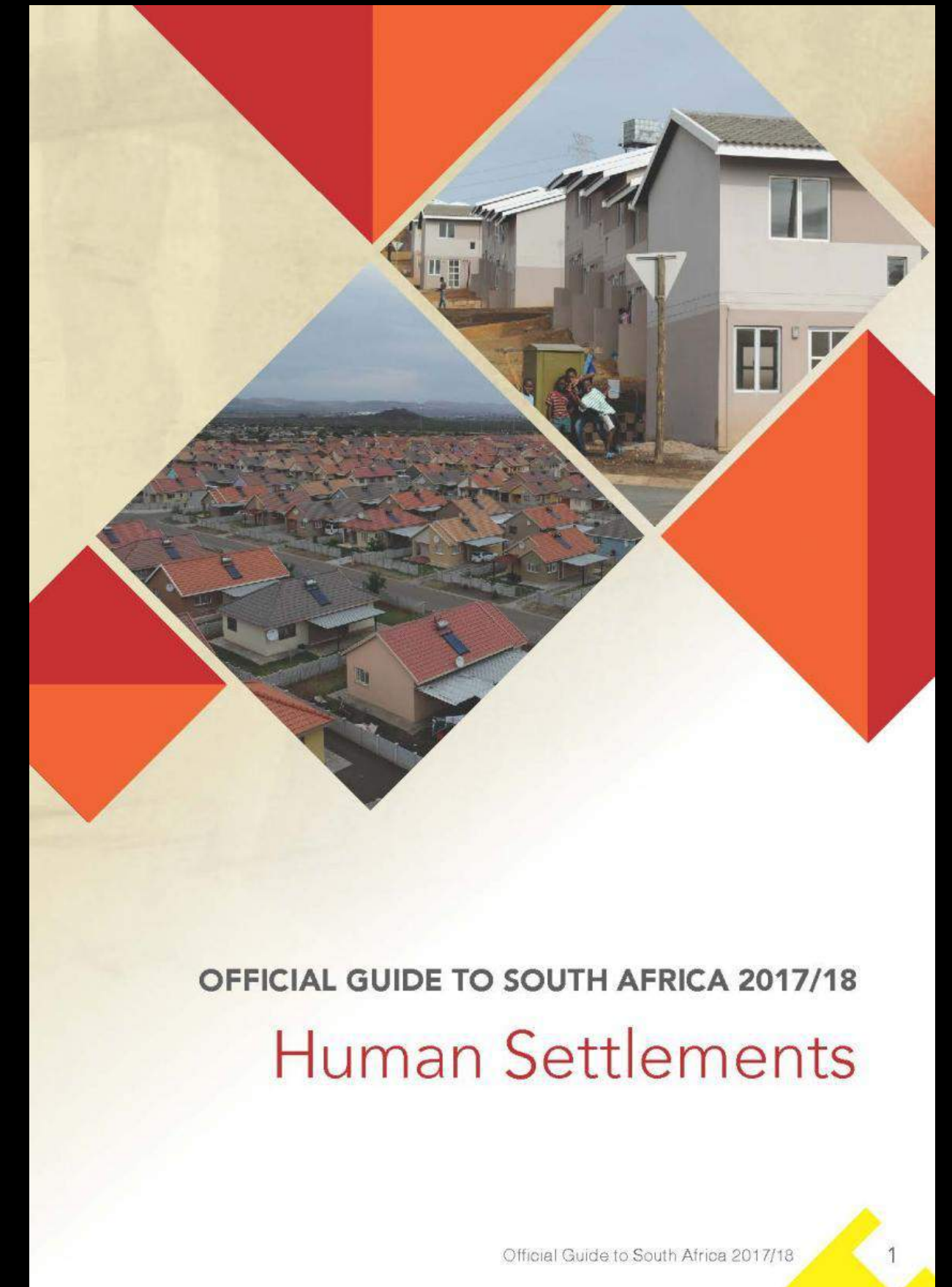
2004

Breaking New Ground

2014

Commitment to upgrade
2200 informal settlements

UISP – upgrading of informal settlements programme



UISP requires *investigation* by the municipality *into the feasibility of in situ upgrading*. Relocation may in some cases be necessary but is a *last resort*.

UISP provides funding for:

- immediate provision of basic services,
- community empowerment and participation in decision-making,
- provision of basic community facilities (not just infrastructure and housing), and
- assistance in relocation where this is required.

“...city officials consciously or unwittingly act as servants of orderly development, global competitiveness and the market, rather than as implementers of the transformative aspects of the Constitution and of progressive policy and legislation that has been developed to ensure realisation of Constitutional rights.”

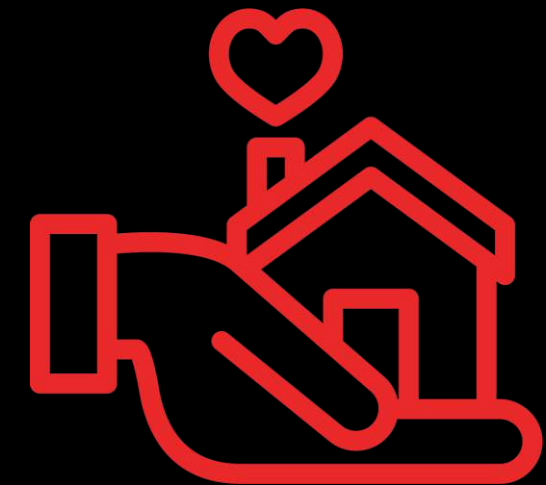
**NATIONAL
GOVERNMENT**



**PROVINCIAL
GOVERNMENT**



**LOCAL
GOVERNMENT**



2009 | NUSP National Upgrading Support Programme



[HOME](#) > [RESOURCES](#)

OVERVIEW	THE MANUAL	TRAINING MATERIALS	CASE STUDY	KEY WORDS & CONCEPTS
----------	------------	--------------------	------------	----------------------

South Africa has developed a progressive and comprehensive policy framework for the in situ or incremental upgrading of informal settlements. This is set out in Part 3, Chapter 13 of the National Housing Code, the Comprehensive Plan for the Creation of Sustainable Human Settlements (Breaking New Ground) and the National Development Plan, Vision for 2030 (2011). Nevertheless, local authorities and practitioners have found the in-situ upgrading of informal settlements extremely challenging. This Resource Kit provides you with the latest thinking, information and approach to undertaking informal settlement upgrading, as well as training materials, to enhance the ability of practitioners and key stakeholders to implement upgrading initiatives

The purpose of this Resource Kit is to support effective informal settlement upgrading in South Africa.

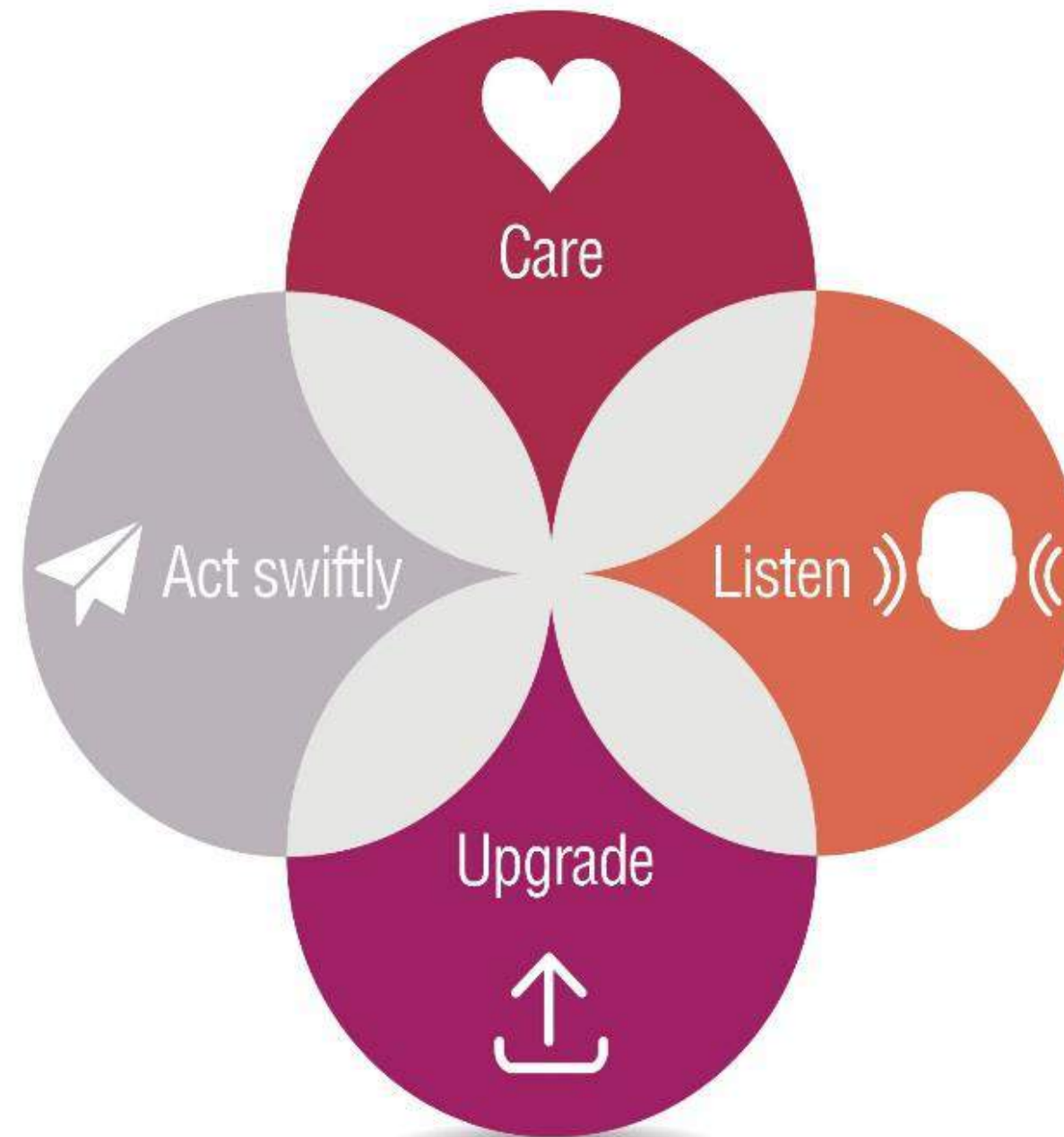
The Resource Kit consists of:

A **Manual** – This comprises thirteen chapters covering different aspects of informal settlement upgrading.

Training Materials – This comprises a participant’s booklet, facilitators guide and references.

In addition the facility to document and submit **case studies** of successful informal settlement upgrading projects and programmes is provided. If you have a case study that you would like to add we would welcome your contribution.

THE FOUR PRINCIPLES RELATING TO INFORMAL SETTLEMENTS





Slovopark, Johannesburg

IN 2016 A HIGH COURT
RULING MANDATED THAT
SLOVOPARK UNDERGO
DEVELOPMENT ACCORDING
TO THE UISP.

IT IS THUS ILLEGAL TO FAIL TO
DELIVER.

Possible reasons for slow progress:

- Lack of understanding
- Lack of energy/desire
- Absence of political will
- Applications get stalled by bureaucratic process

What could 1to1 start to do?

We needed to understand what we were dealing with.

Human Rights Organizations
Community Leadership
Academic Support
Grass Roots Networks





PH 1

Application for funding

PH 2

Project Initiation

PH 3

Implementation

PH 4

Consolidation

Phase 1:

Community cohesion is paramount

Requires political representation of community – WARD councillor

Rigorous application process

Requires a project champion (within municipality)

PH 1

Application for funding

PH 2

Project Initiation

PH 3

Implementation

PH 4

Consolidation

Phase 2:
Land Acquisition
Community Profile
Interim Services
Geotechnical Investigations
Business Plan

PH 1

Application for funding

PH 2

Project Initiation

PH 3

Implementation

PH 4

Consolidation

Phase 3:
Funding is released
Town planning & Setting out of township
Provision of formal services & roads

**** Saving schemes for self build need to be introduced at this stage**

PH 1

Application for funding

PH 2

Project Initiation

PH 3

Implementation

PH 4

Consolidation

Phase 4:
Township Registration
Ownership of parcels transferred
House Construction
Construction of additional agreed social
amenities as agreed

****issues of those not qualifying for
housing subsidies are questionable
Incrementally is also a concern**

Major risks:

- Lack of awareness of UISP process

Major risks:

- Lack of awareness of UISP process
- Lack of understanding of funding mechanisms and grants

Major risks:

- Lack of awareness of UISP process
- Lack of understanding of funding mechanisms and grants
- Lack of will – fast political turnaround time

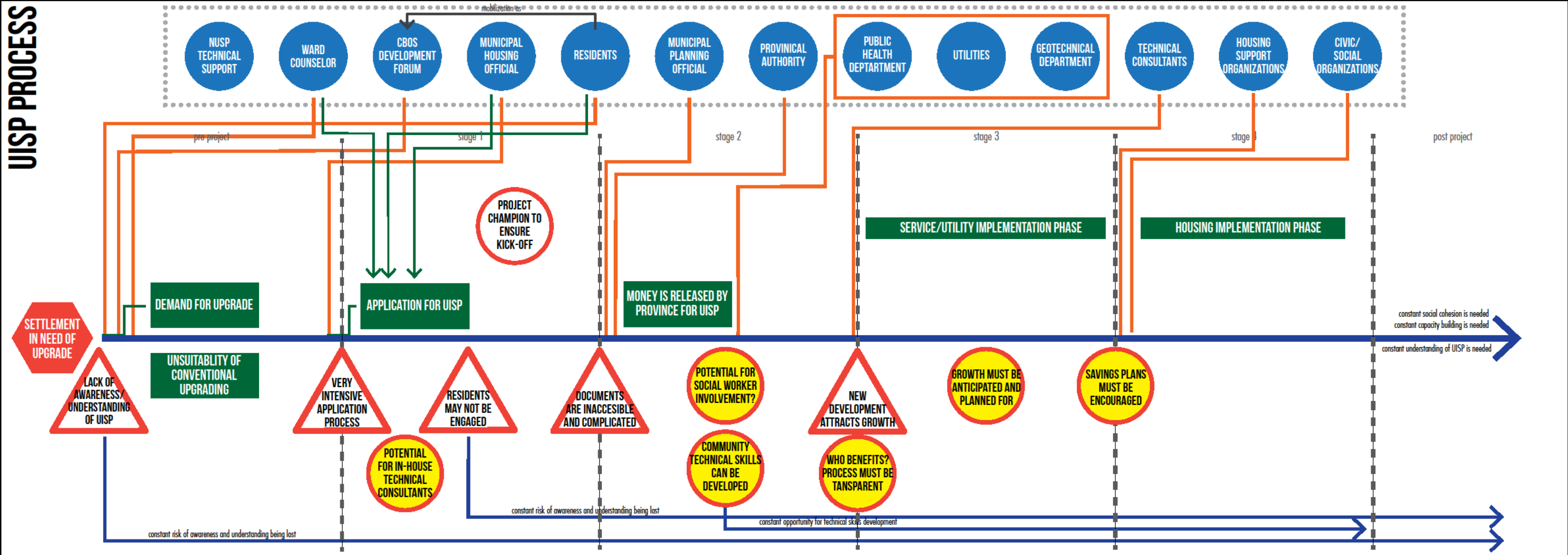
Major risks:

- Lack of awareness of UISP process
- Lack of understanding of funding mechanisms and grants
- Lack of will – fast political turnaround time
- Overly complicated application processes - internally

Major risks:

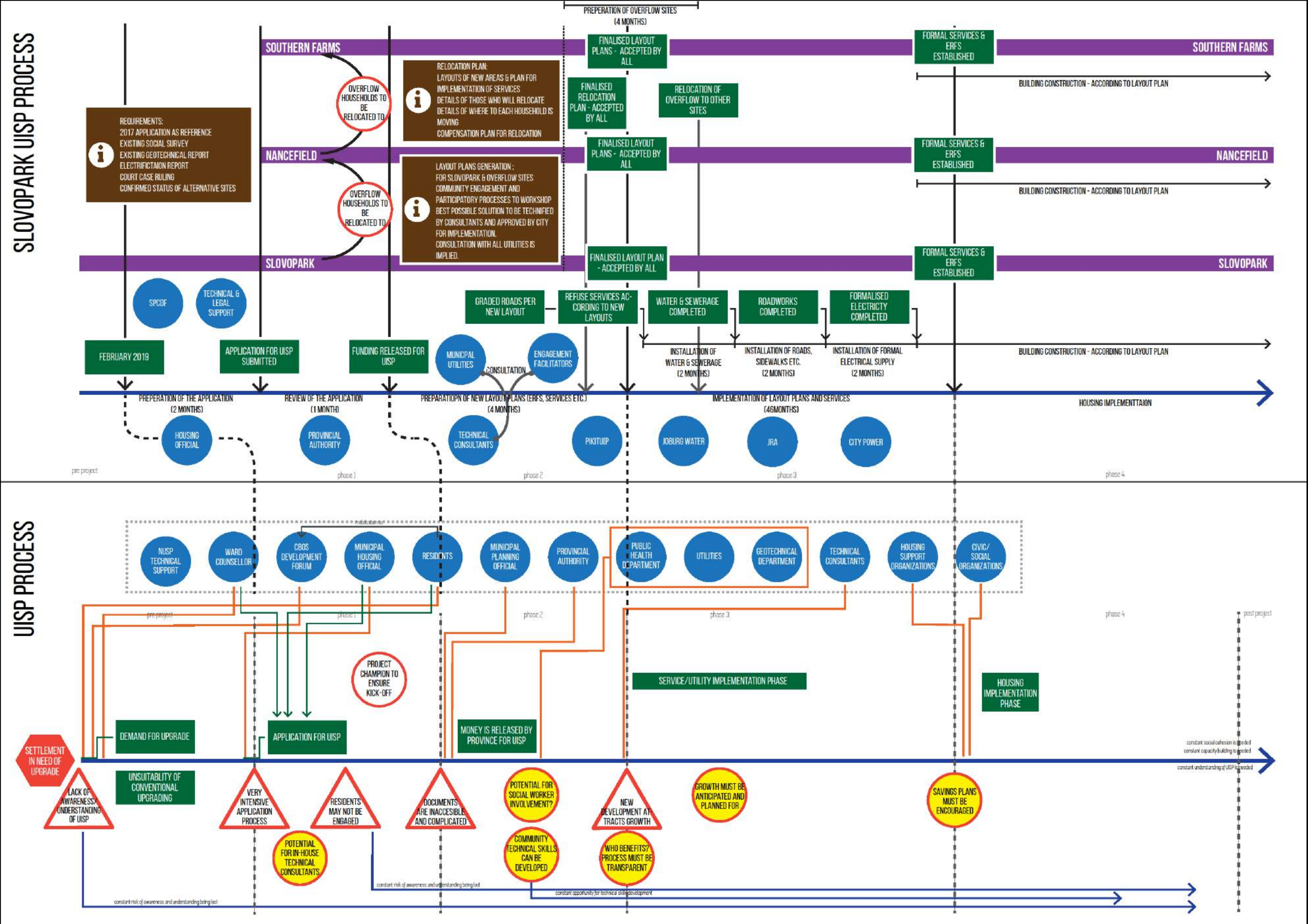
- Lack of awareness of UISP process
- Lack of understanding of funding mechanisms and grants
- Lack of will – fast political turnaround time
- Overly complicated application processes – internally
- Involvement of as many stakeholders makes cohesion very difficult

UNPACKING THE UISP – ROAD MAPS



What could 1to1 start to do next?

We needed to understand WHO we were dealing with.



Meeting with housing officials

Disseminating Information

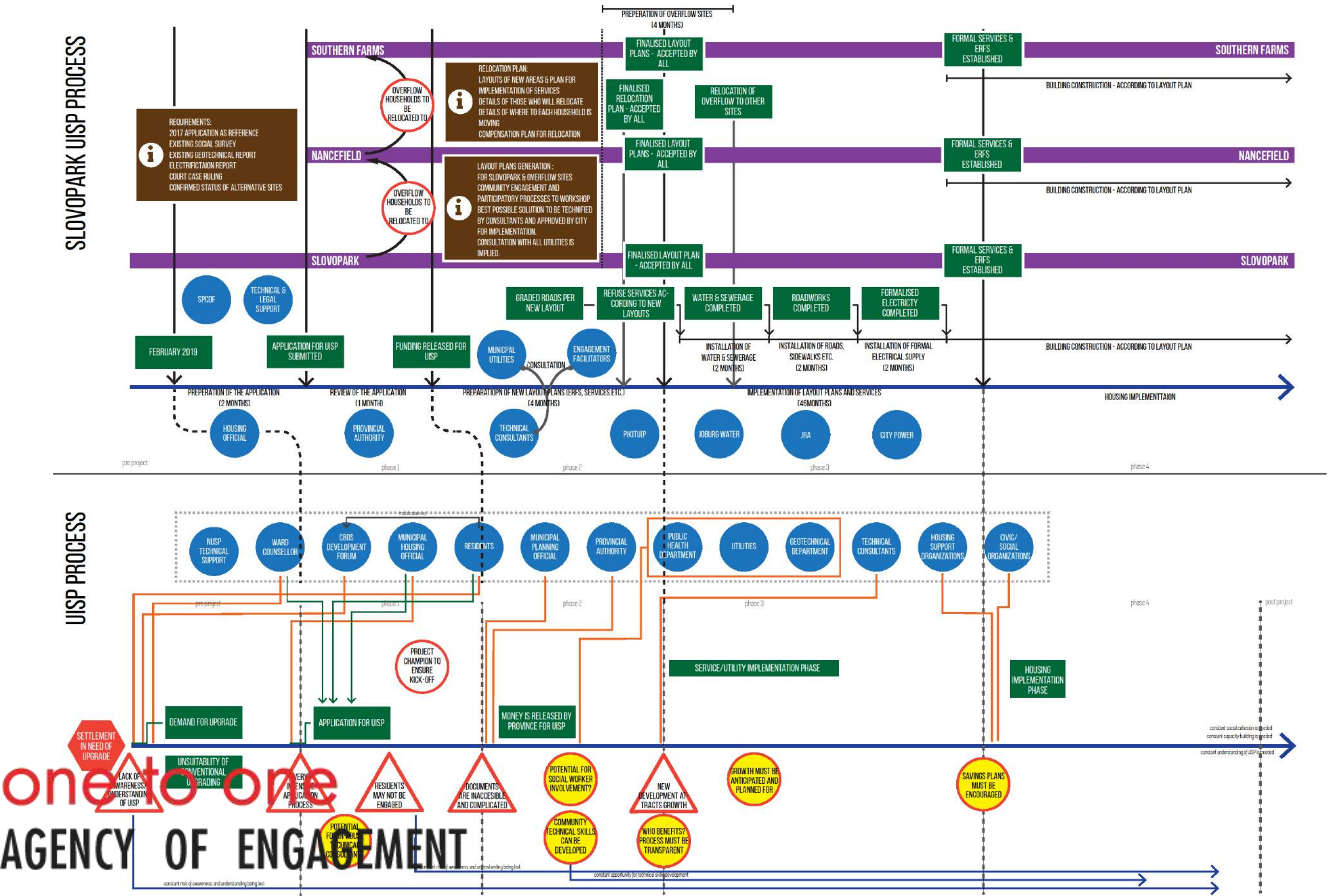
Applying for tenders

Invitations to teaching and training

Development of Road Map

Investigation & Preparation
Planning
Project Management
Translation
Dissemination & Advocacy
Support

THANK YOU



The needs and important development direction to
*Institutionalization to scale up community-driven
development at National scale :*

Sharing from CODI Experiences Thailand

Somsook Boonyabancha

Chairperson, Asian Coalition For Housing Rights

Former Director, Community Organizations Development Institute, Thailand

Why institutionalization of community-driven (housing) development is very important ?

- **System change** It is an important development stage from scattered pilot implementing projects to programs and to further develop to a system change for doing more, broader public-legal and formal acceptance, policy support, etc., a way to formalize and replicate or multiply good practices into a broader and regular practices
- **Scaling up or nationalization and reach out to broad spectrum of needy groups** with broader participation and co-production of broader groups
- **Ways to secure continued financial resources and other regulatory support** for broader and more systematic development
- **Being institutionalized, it is possible to be an umbrella to formalize**, protect and support those relevant existing informal activities existed such as saving groups, organizations, networking, lower-standard but affordable housing, etc. *as well as being an acceptable spring board for promoting more activities and initiatives from communities*
- **Being accepted public mechanism to reform other relevant system** and to adjust other related system of government, finance, policies, laws, regulations, problematic implementations, to build more hybrid programs and projects, etc.,.

There are also problems and challenges to institutionalization

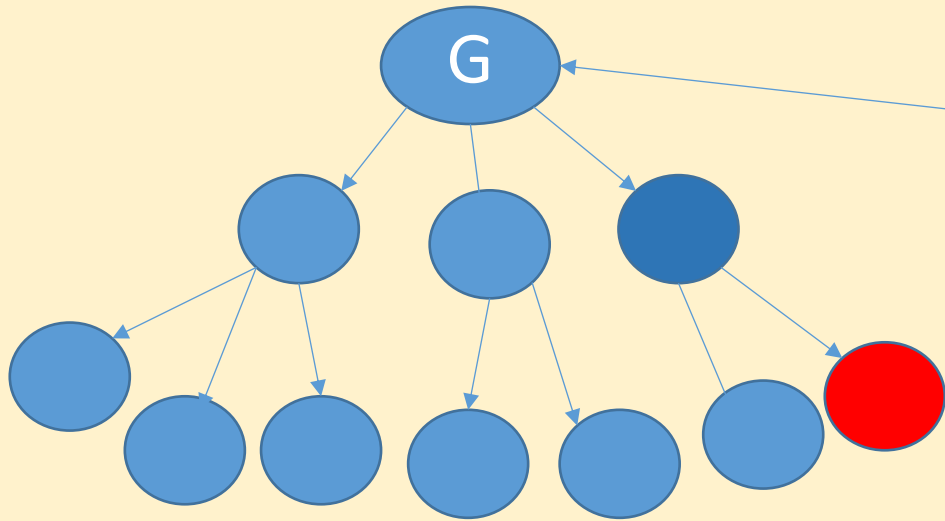
- ***More direct political and various public bureaucratic interference*** and control
- ***The institution itself become more top-down and bureaucratic*** to comply with relevant government regulations and system
- ***Better security and comfort and hierarchical culture of the institution*** and the staffs will probably cause more and more distance to the work with communities. Problems when the institution feel too secure to learn., the staffs and institution could choose to do things easy and avoid all possible problems. How to keep simple, horizontal, interactive, sensitive,
- ***Change of leaderships*** and management over different period and time may bring changes in people, management system and philosophy
- ***Questions on relationship to communities and civil societies*** how communities can maintain their influential roles active involvement and participation to the direction and regular implementation of the institution

How not to become one of another static/or dead/or unresponsive government or public institutions (which good only for the staffs), but become more active institutions of the people by the people and promote more active diversified projects and actions !!!

Where should be the right position of this type of institutions

A

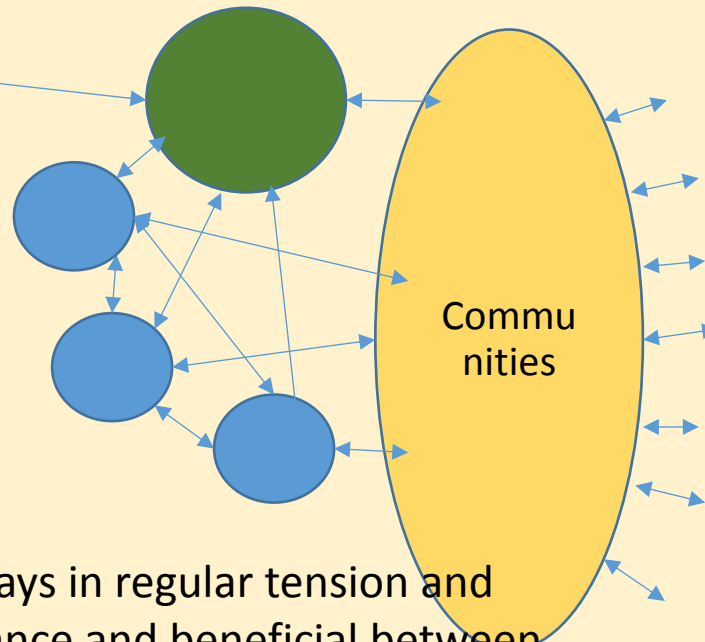
Under full government system



Dangerously under the top-down structure

B

Semi-independent



Always in regular tension and balance and beneficial between government and communities

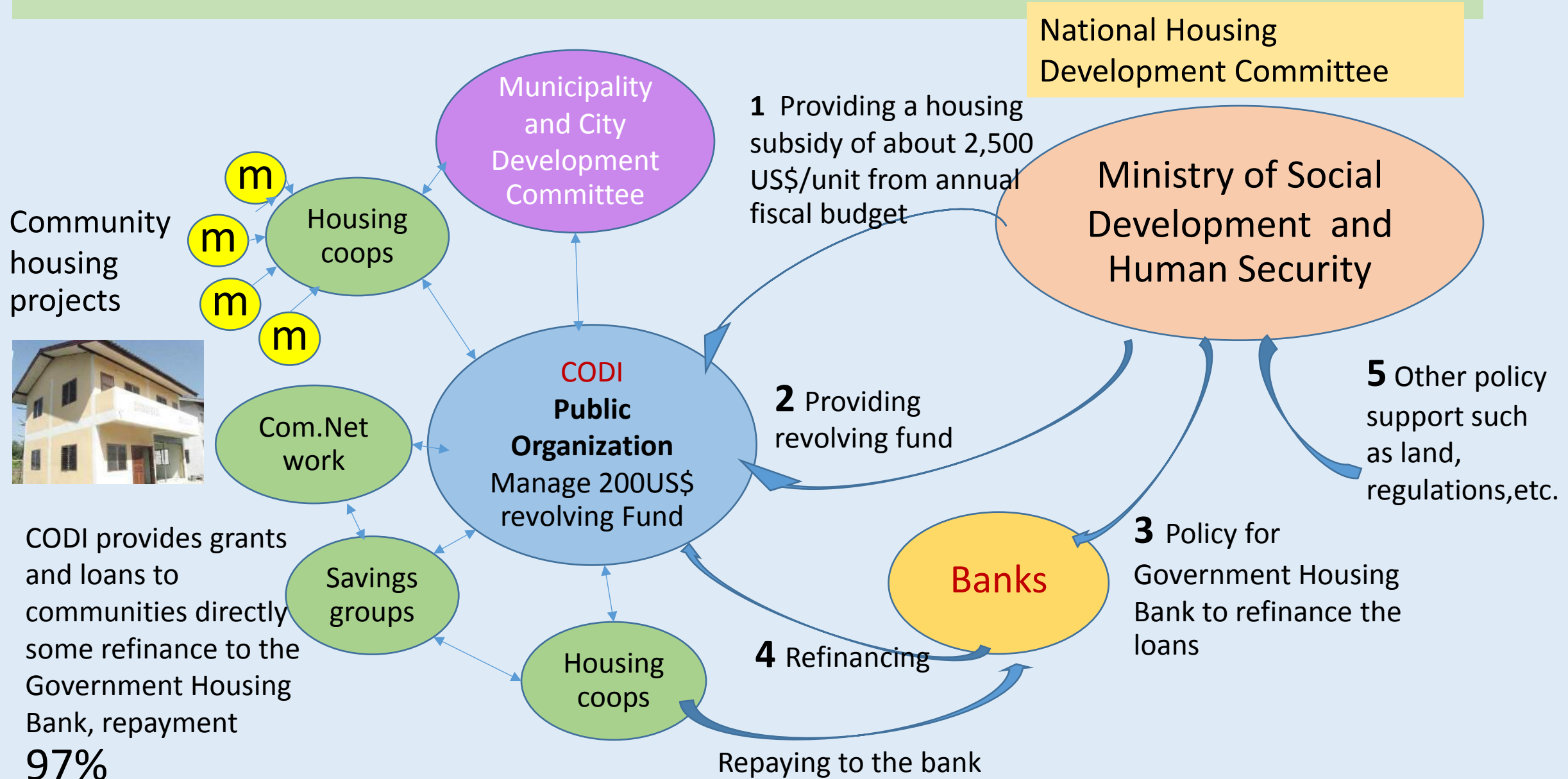
C

Outside government

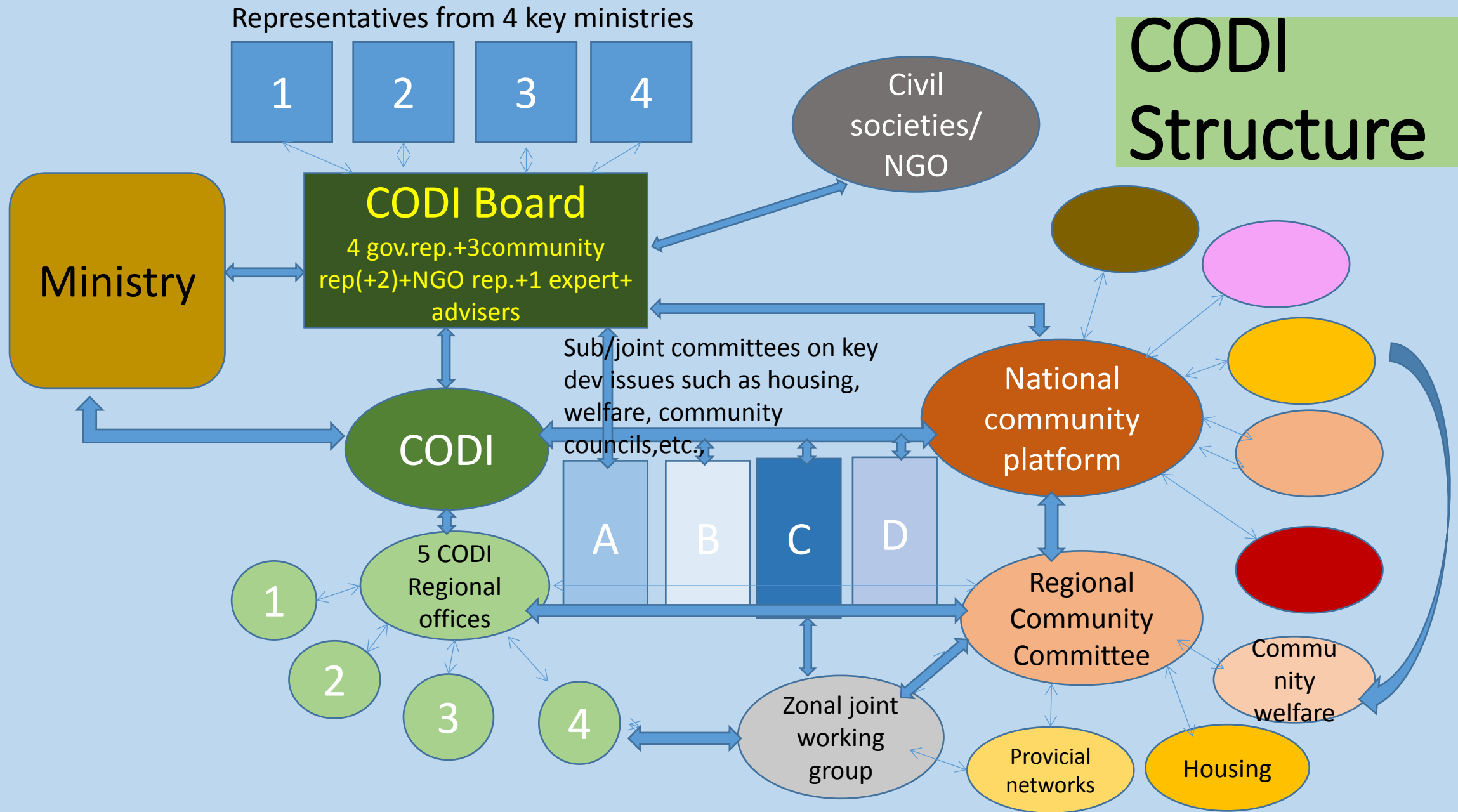
Some forms of registration or legalization but fully independent from government structure

- Need to have participation of respectable people
- Need to be accepted by government orgs. and communities
- Needs to be able to do active activities with good concrete results
- Needs to have sufficient funding

Diagram showing relationship of CODI as Government window to support community-led housing development at national and city scale



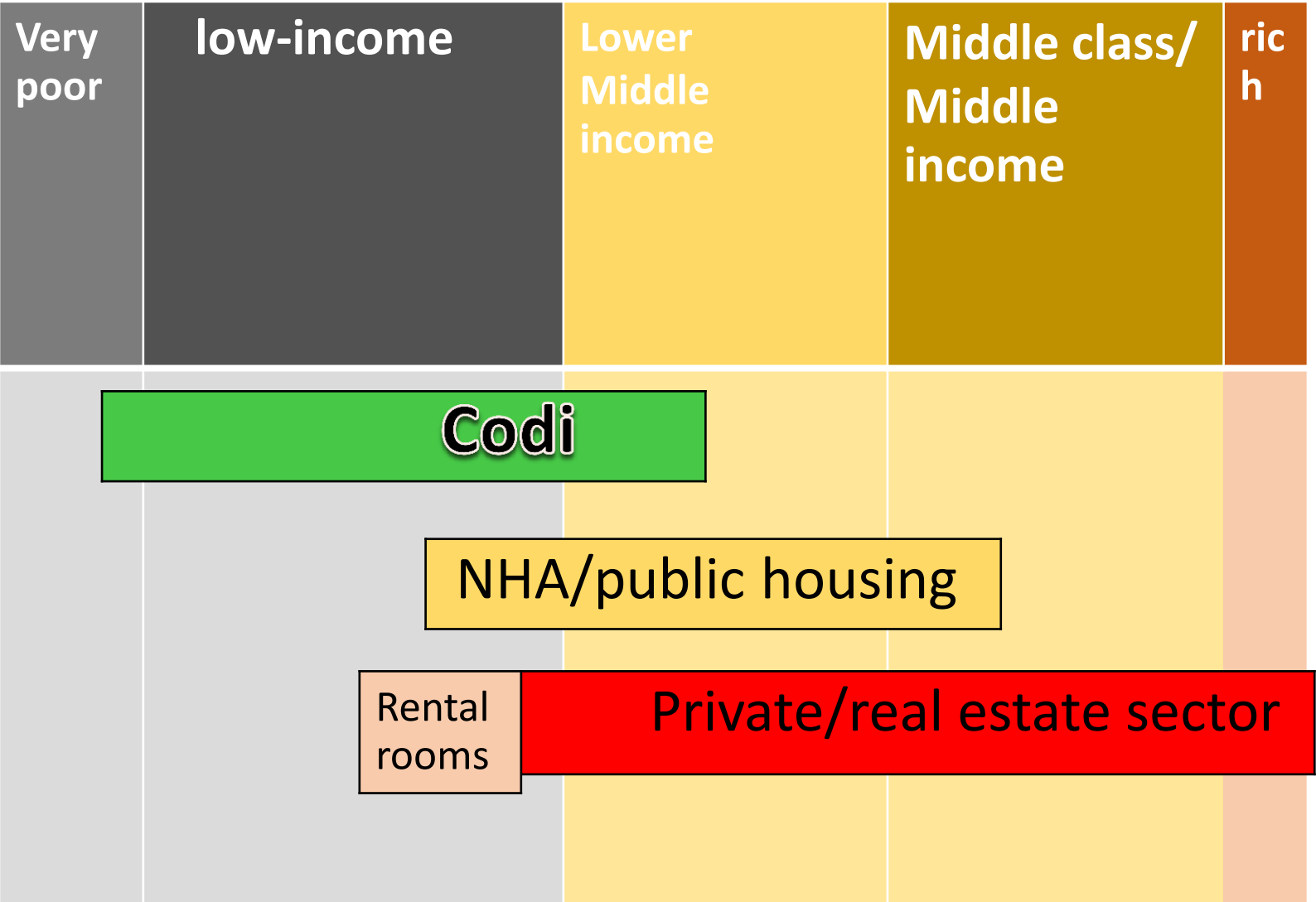
CODI Structure



Housing development by key actors in Thailand



CODI support housing projects, starts where the poor are, managed and owned by the urban poor community organizations



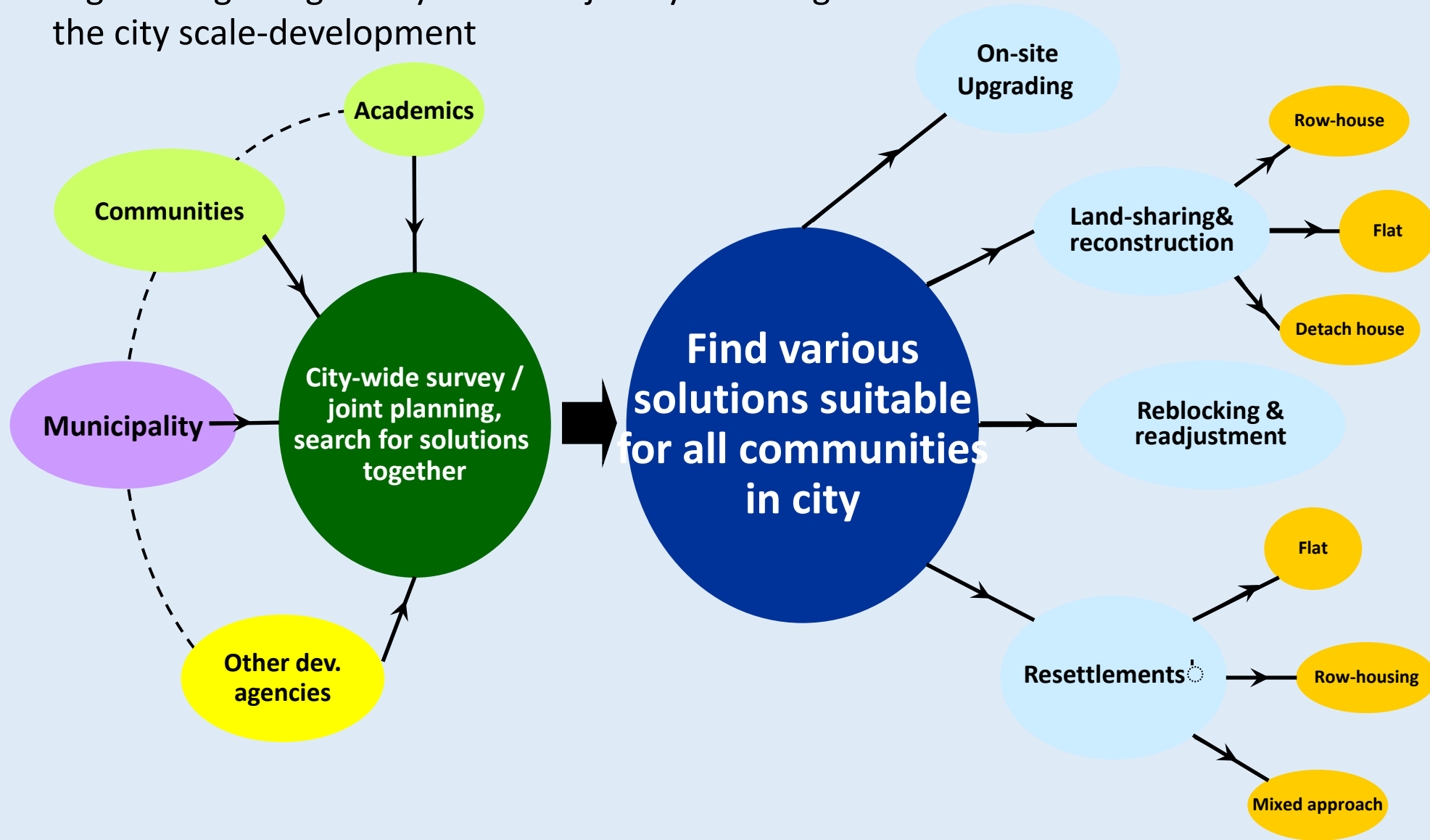
The challenges to work on community-led housing development at scale on city-wide approach

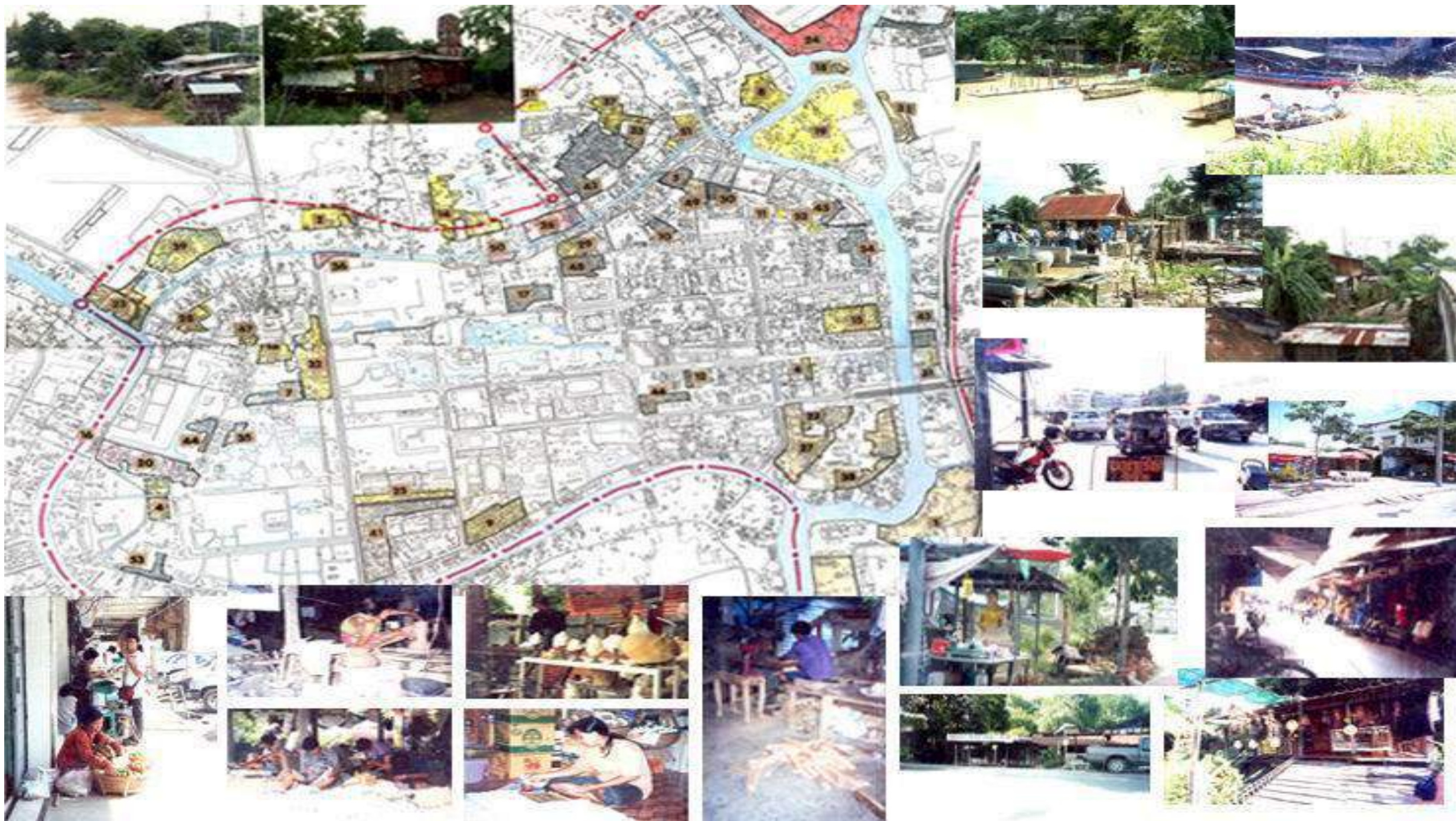
The number of the poor and the cities are the actual demand-led implementing scale

- **Active demand-driven** ; Support urban poor communities to be active actors and owner of projects
- **City-wide** ; make change at the real scale of the problems covering all poor communities to work as partners with city in joint development process
- **New finance system to support** building financial capacity building new active community finance and City Development Fund
- **Integrated and Holistic Approach:** Develop secure housing with integrated approach ; better social, environment, economic, democratic, and healthy community owned and managed by community

Process and linkages of local housing development partnership

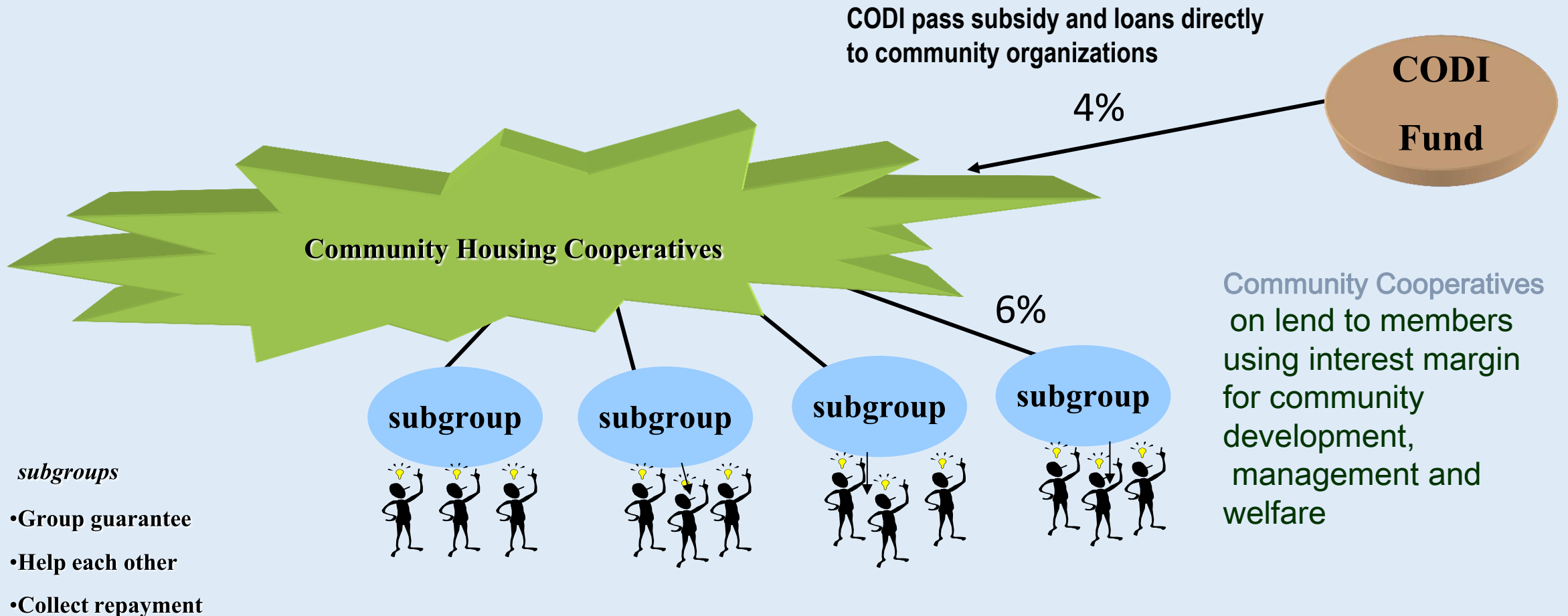
A city-wide co-production process arrangements can be organized getting all key actors to jointly work together in the city scale-development





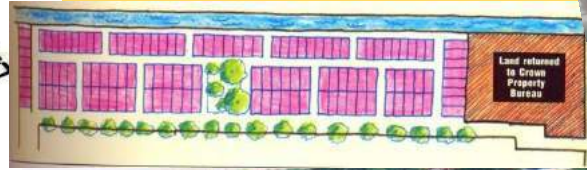
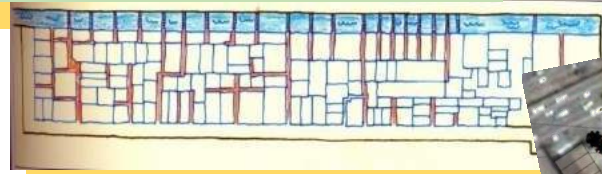
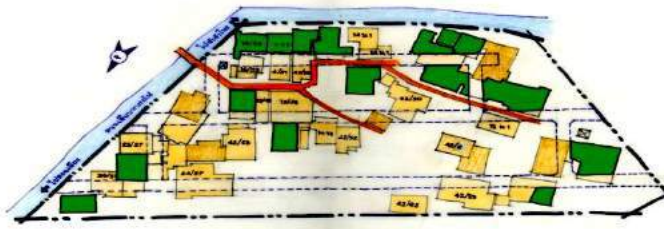
Grants and Wholesale loan from CODI to community cooperatives

Development of sub-group clusters in community management

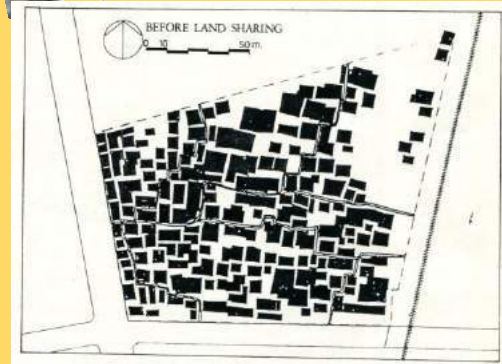


- **subsidy** of about 2,500 \$ per family (for infra., housing, capacity building and coordination)
- **The housing loans** of about 10,000 \$ ceiling/ fa.(av. 7,500 \$/fa.)

Many possible upgrading of housing projects
in the same places or resettlement closeby



Relocation



MAI ANK SILE LAND SHARING PROJECT

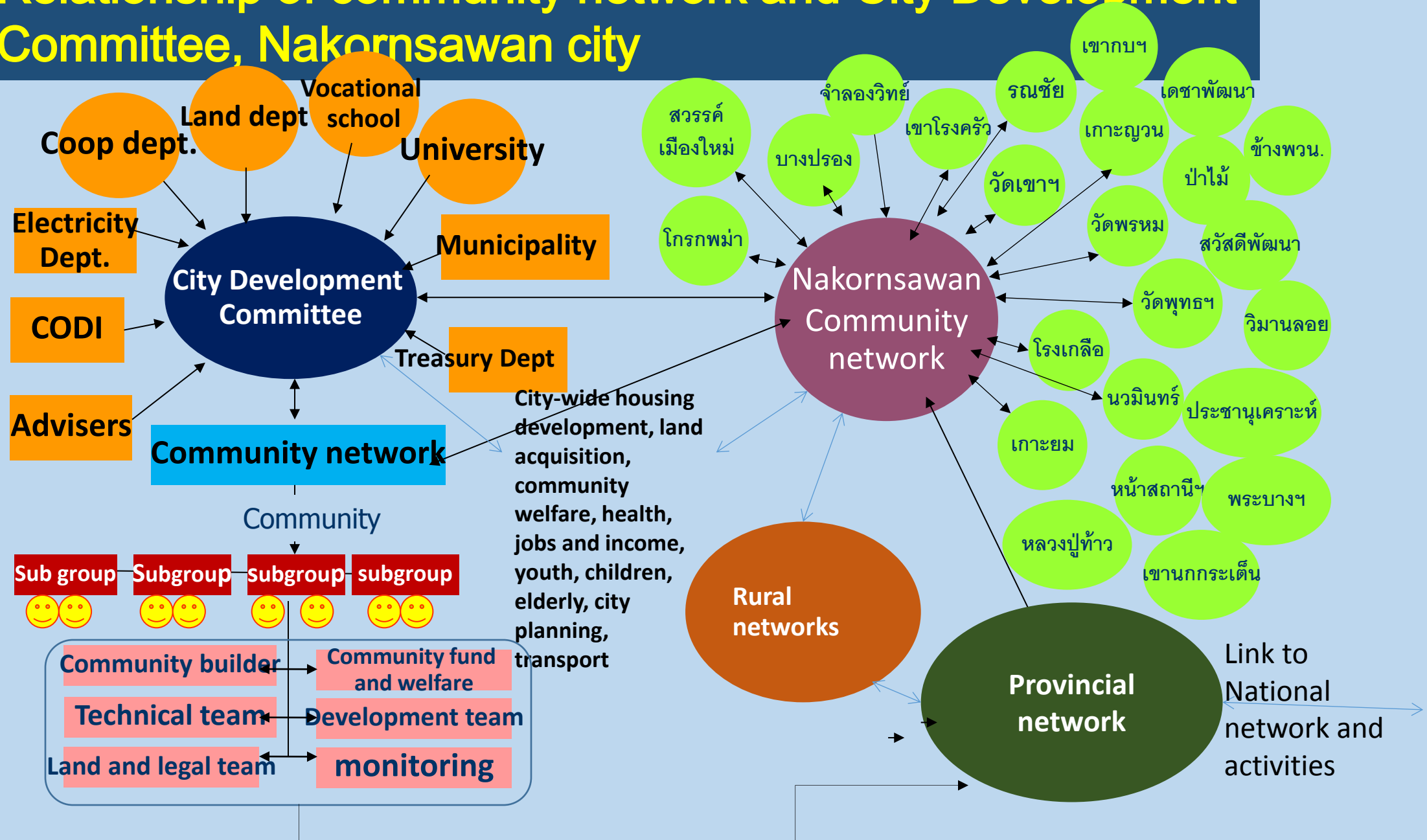


Reblocking



Reconstruction
of former slum
housing

Relationship of community network and City Development Committee, Nakornsawan city



Land ownership of slum communities in Nakornsawan city and the search for new possible land to address city-wide solutions





Community
cleaning team



Nakornsawan city-wide upgrading

Reconstruction of Jamlongvit community after fire disaster



ชุมชนจำลองวิทย์พัฒนา



การมีส่วนร่วมของสมาชิก



After the reconstruction in same area



Picture of Communities along the Ladprao canals before upgrading, there Are about 7,000+ families for this pilot canal side housing upgrading as part Of Flood Prevention Program





After the reconstruction in different sections, about 4,000 units have been completed or under construction



There are many organizations involved : public and private land orgs., infrastructure org., coop dept, Bangkok and District Municipality, Irrigation dept, damn construction units, army, police, local politicians, national politicians, Ministry of Interior, etc.,

Former renters and squatters will have 30 years lease with coops, organization, community Fund, community welfare, etc.,.

Saimai Canal upgrading Reconstruction on the same sites and resettlements nearby

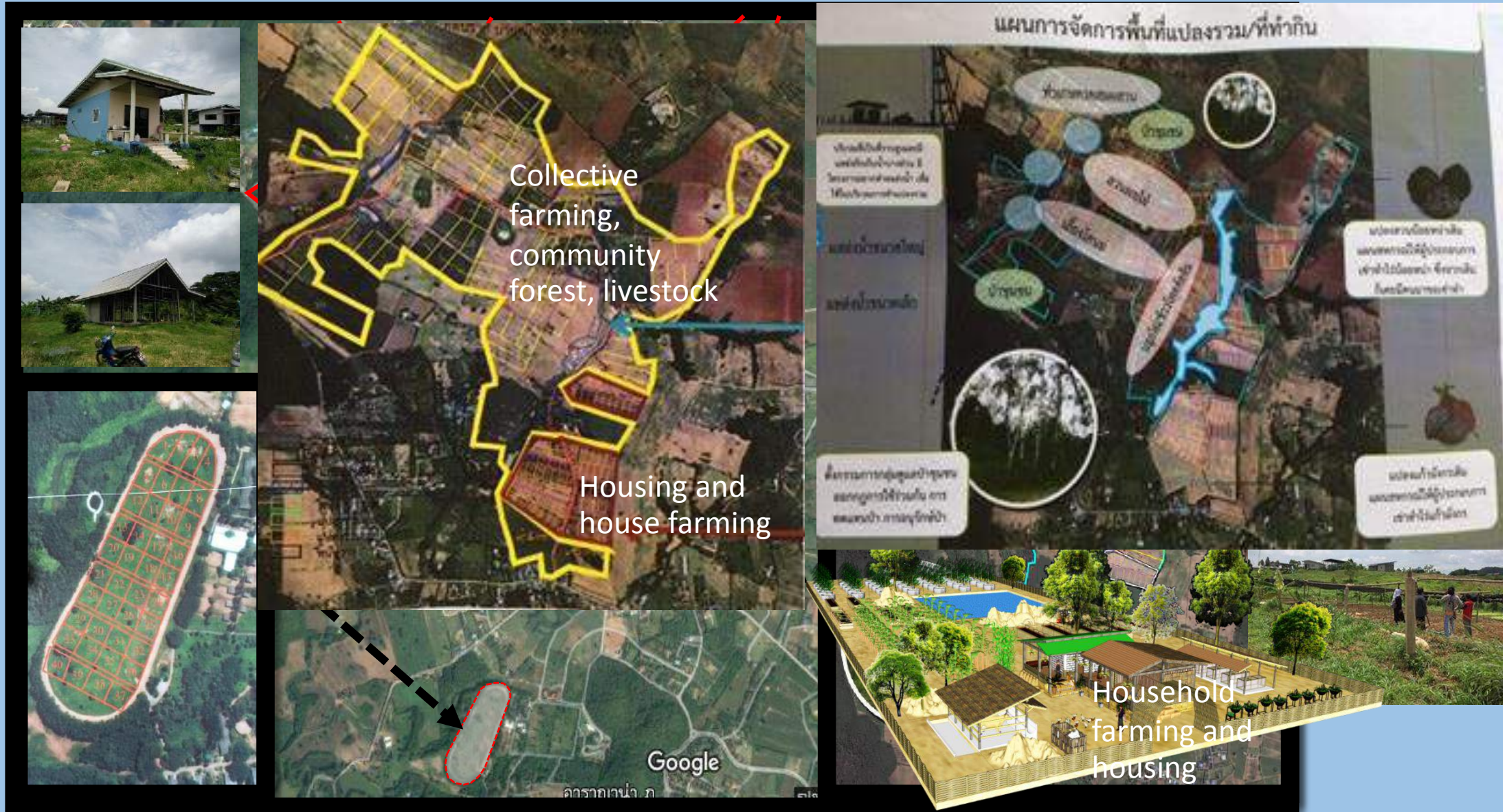




Prime Minister and Ministers inaugurated a new land-sharing project behind Bangkok new terminal hub in Bangkok where SCB Cement company provide cheap affordable land and housing with CODI support and subsidy



Collective land and housing for the poor and providing land for new generation of farmers for organic farming



เลี้ยงโค/ไก่
พื้นบ้าน



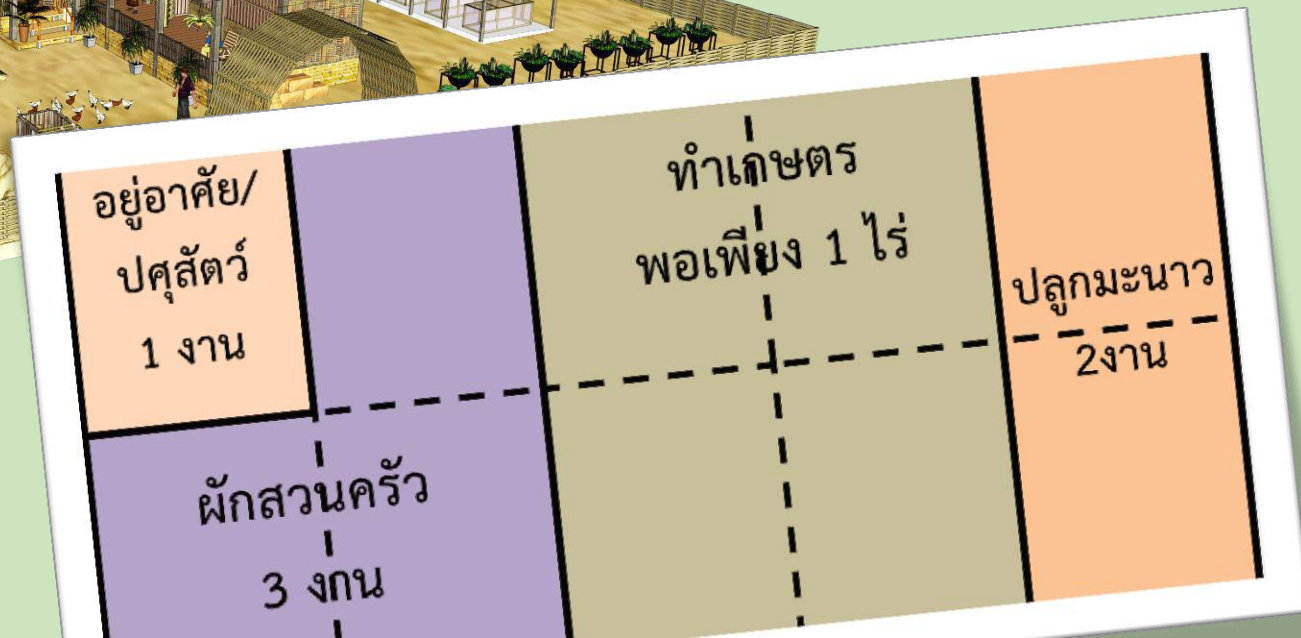
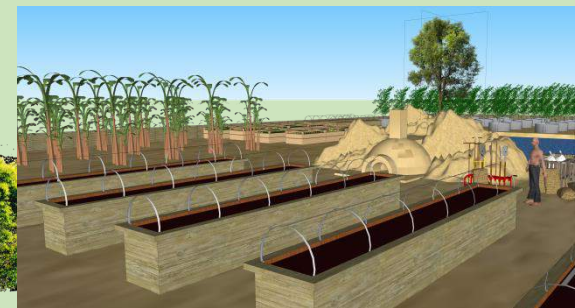
เลี้ยง
จิ้งหรีด



เตาเผา
ถ่าน



ภาพจำลองแปลงอยู่อาศัยและทำเกษตรพอเพียง 2 ไร่ 2 งาน



CODI support rural community cooperatives

for collective land and
housing, infrastructure
as well as organic
farming activities in
Rural settlements
in collaborations with
Land Reform Dept.
Treasury Dept, Forest
Dept.



Resettled 35 young generation farmers back to the farms each receive about 2 acres of land for farming and housing



Securing land and upgrading 1,921 households of fisher folk communities in Trat City



① ที่อยู่อาศัยในชุมชน

LANDPROCESS

Before

After



บริเวณย่านพักอาศัยปรับปรุงภูมิทัศน์ทางเดินให้มีความสัมพันธ์กันระหว่างชุมชนมาก

LANDPROCESS

Develop active community finance

***Saving people, saving money, saving group managerial capacity
And building community financial system for long term housing development***



Products and activities related to community Finance

- Community savings/loans activities
- City Development Fund
- Community welfare
- Community enterprise
- Community economy, jobs and income development
- Community insurance

Going beyond just making houses !!!

Community Resilience

**Community Development Fund
allowing community to develop
and solve many possible poverty
activities collectively**

- Community Fund
- Community welfare
- Income generation activities
- Disaster prevention
- Social cultural activities
- Linking youth and elderly



"Decent poor"

Income generation loans



Help each other
When affected by
disaster



Welfare house
and activities for
elderly



Secure housing and beyond as ways to build strong sustainable community by people and address all forms of poverty and build community collective capacity



OFFICIAL !!!

Community March and demonstration

During the World Habitat Day Event 2018



Some key elements for being desirable community-led government development institution

- The need to have self operated **Revolving Fund** with understanding how new form of flexible finance can support community-led dev.
- Have certain independency with **good balance and active interactions** between government system and communities
- **The Highest Management Committee or the Board should come from all key parties** from government organizations, NGOs, experts and community representatives
- **Communities at scale are involved**, joint manage-joint implementing and actively participate in all the levels and issues
- **A learning and growing organization**, learning people, open for new possible initiatives, new projects and programs, building new bridges, new collaborations
- **Believe in Co-production**, collaborations, building partnership
- **Easy to change and adjust**, restructure, reorganize, simple, easy to reach,
- Understanding well the politics, building constructive political process and relationship but **not directly involve in politics**

Interactions of Structural and Contextual Influences on Participatory Governance:

Insights from Mozambique, Argentina and Mexico



Gabriella Y. Carolini
Massachusetts Institute of Technology
University of Manchester, UK June 12, 2019

State programs supporting participation

Basic questions

What are States opening up?

1. Planning and Design Processes
 - Public meetings, charrettes
2. Budgeting
 - Participatory budgeting for small capital investment projects
3. Project Delivery + monitoring and evaluation
 - Matching Self-help, 'Complaint' lines/platforms, Citizen Report Cards

Why are States opening up?

1. By design (of authorities in power)
2. In response to demand by:
 - Other States/Intl Orgs?
 - Organized advocacy groups?
 - Protesters?

How well and to what end?

Mozambique + briefly Argentina & Mexico

Participatory Budgeting



Influences on State Efforts at Participation

	Structural Influences	Contextual/Place-based Influences
Flexible (i.e., what <i>can</i> change)	Governing regimes; International relations ; Political economies; Levels of decentralization /Inter-governmental relations ; Gender dynamics; Legal statutes; Financial and technical support , Demographics, etc.	Micro-incentives of authorities ; Household livelihood strategies; Individual freedoms and incentives; Organizing experience and advocacy presence; Support for community organizing and organizations ; Current generational expectations, etc.
Fixed	Histories: Past generational experiences ; Political histories; Economic histories; Past State-society relations, etc.	Histories & Physical geographies: Political histories of authorities; Personal histories of household stakeholders, etc.

Why participatory budget in Maputo?

Contextual/place-based:
Micro-incentives of authorities



Structural: Geopolitics



Structural: International relations/tech and financial support

[WHO WE ARE](#)[WHAT WE DO](#)[WHERE WE WORK](#)[UNDERSTANDING POVERTY](#)[WORK WITH US](#)

Where We Work

This page in: [English](#) | [Português](#)



The World Bank In Mozambique

World Bank assistance has evolved from helping to stabilize the economy to close collaboration with the government, development partners, and civil society.

[MOZAMBIQUE](#)[OVERVIEW](#)

What influences how well PB fares?

Participatory Budgeting in Maputo

Well documented:

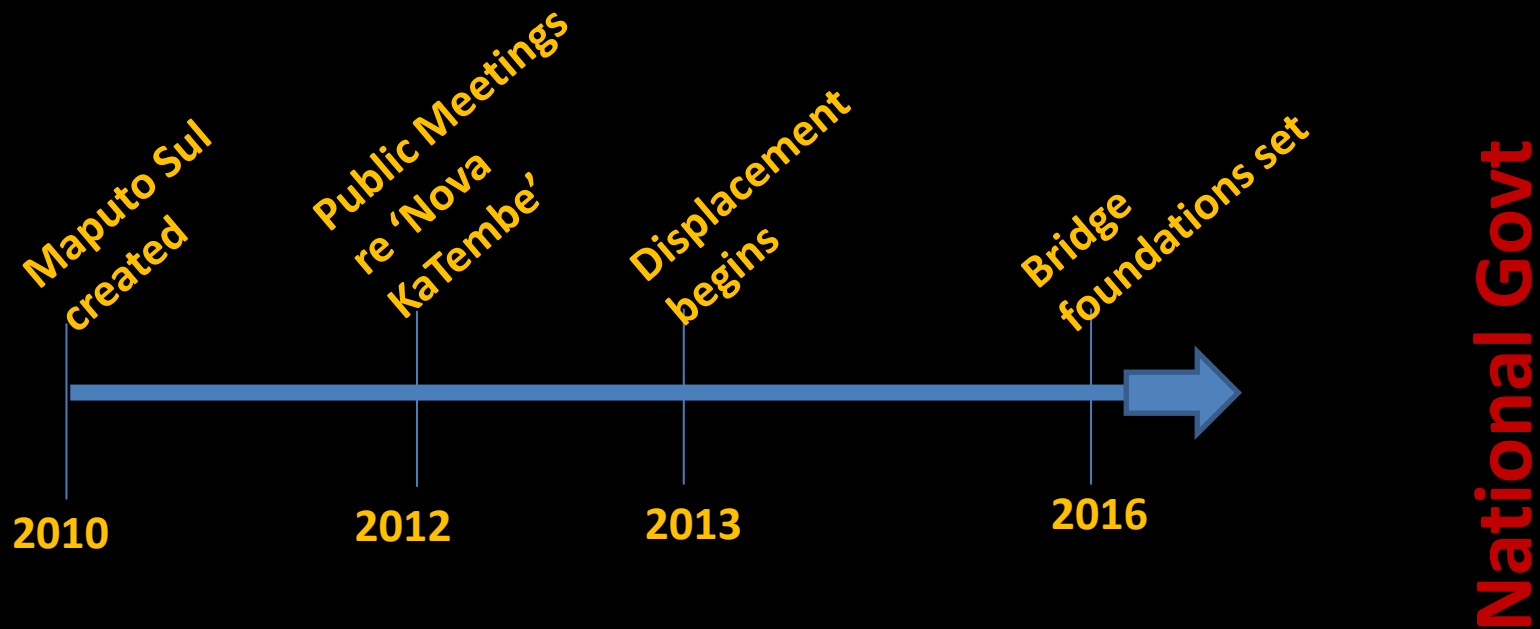
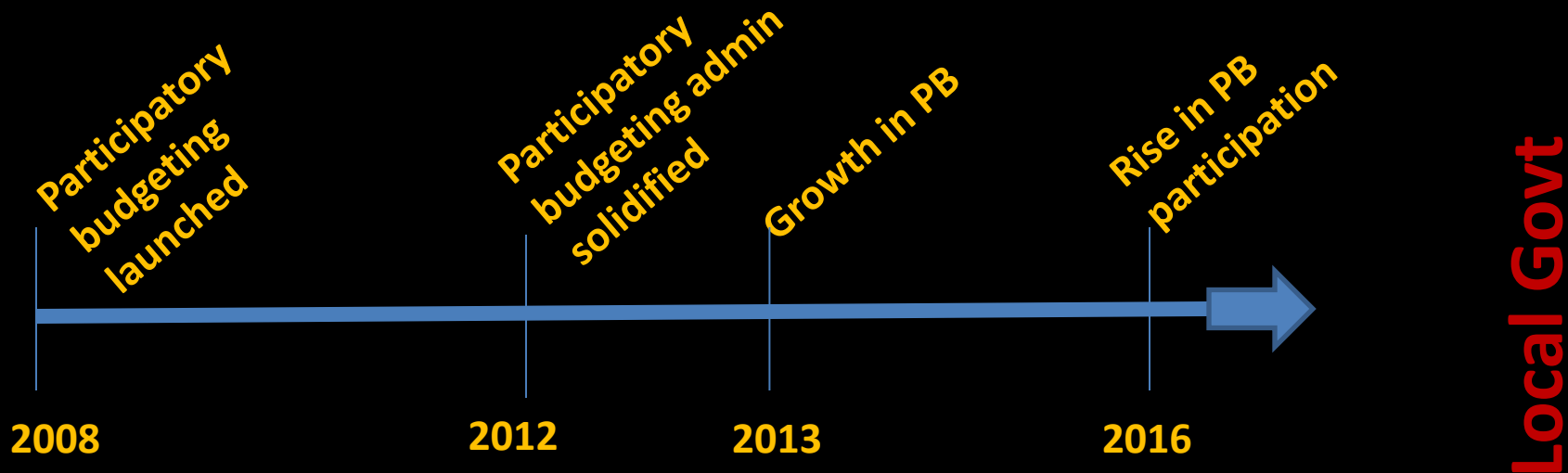
- Level of community organization and support therein (**Contextual**)
- Design of exercise (**Structural**)

Less understood:

- Intergovernmental relations (**Structural**)
- International relations (**Structural**)
- Generational histories and expectations (**Contextual and structural**)
- Household livelihood Strategies (**Both Structural & Contextual**)

Intergovernmental relations: Conflicting motivations/rationalities

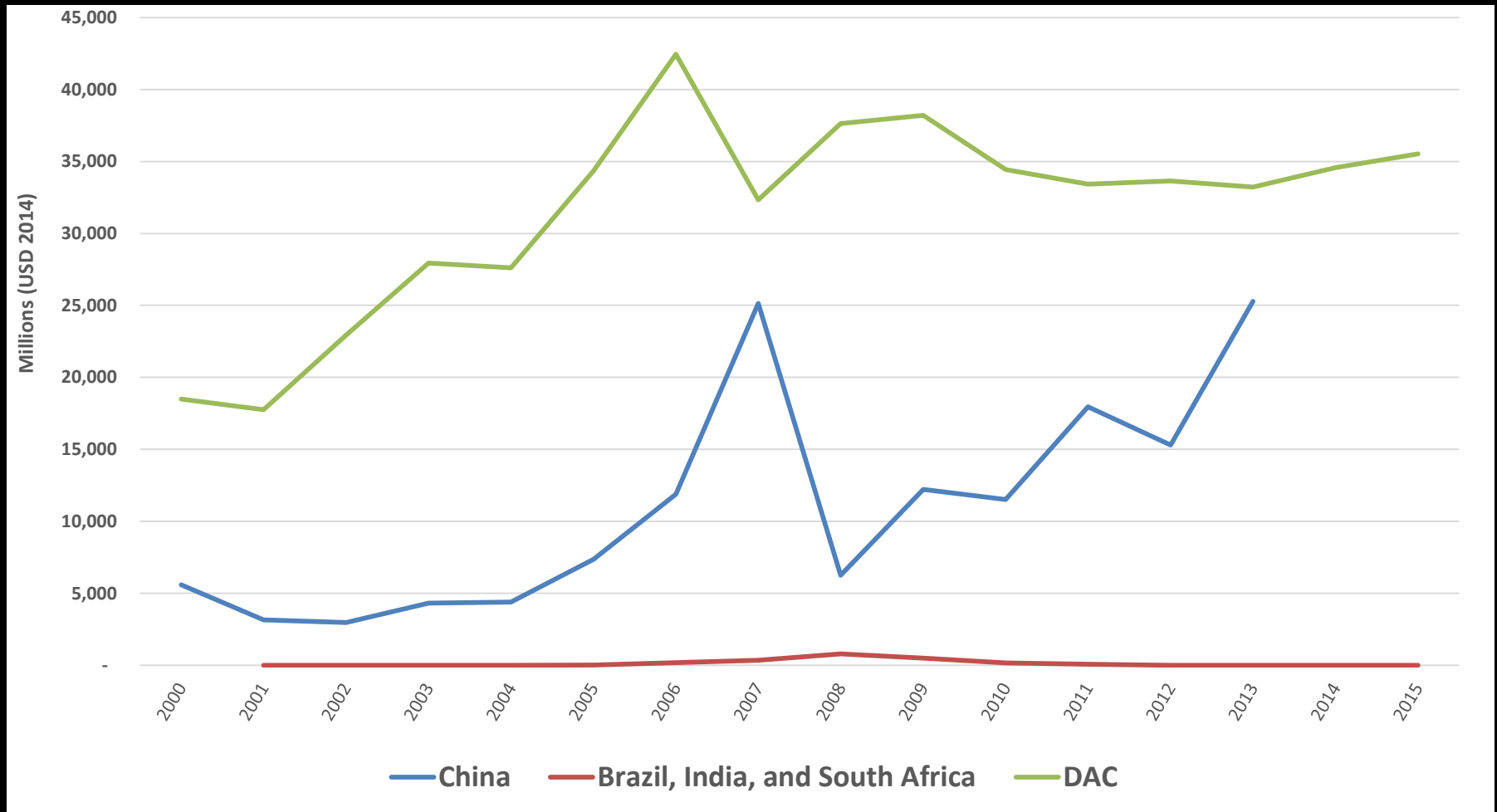






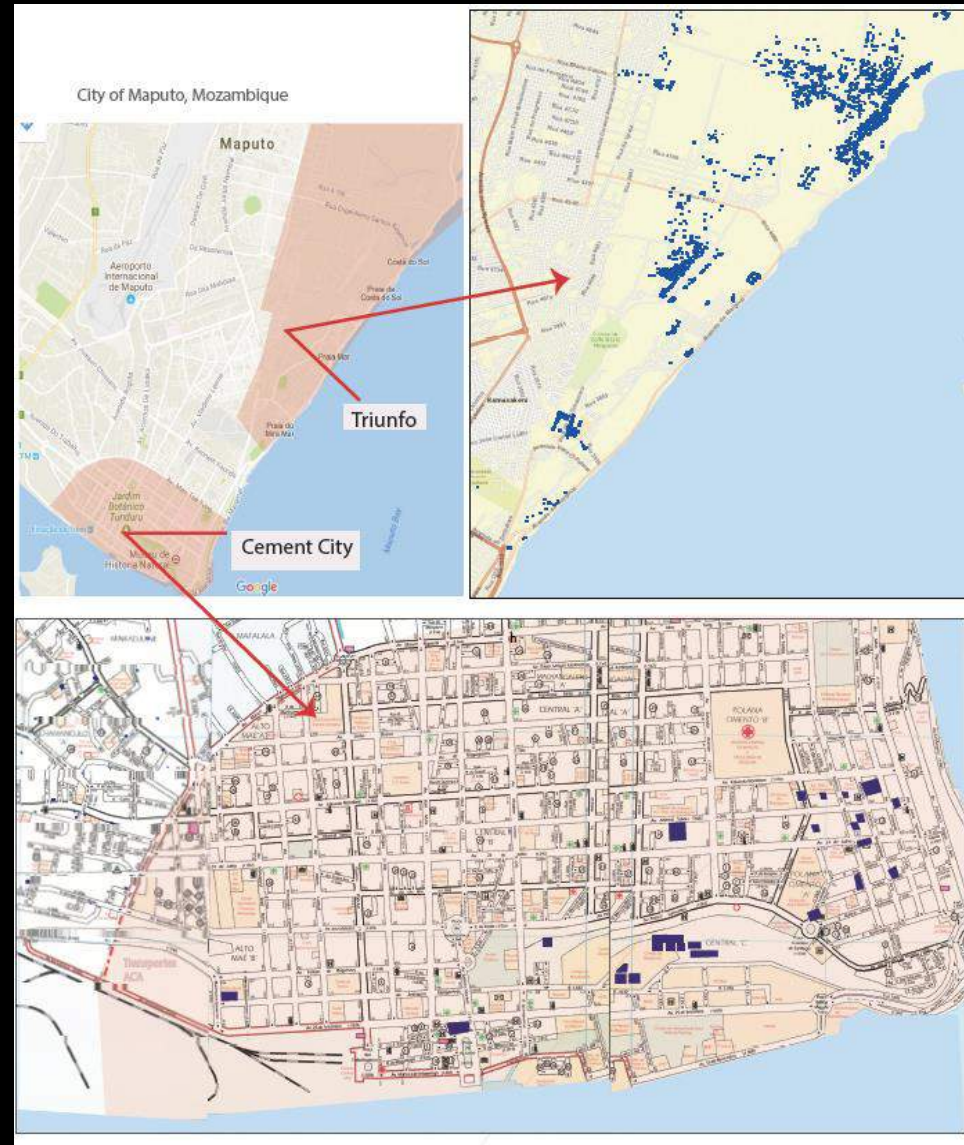
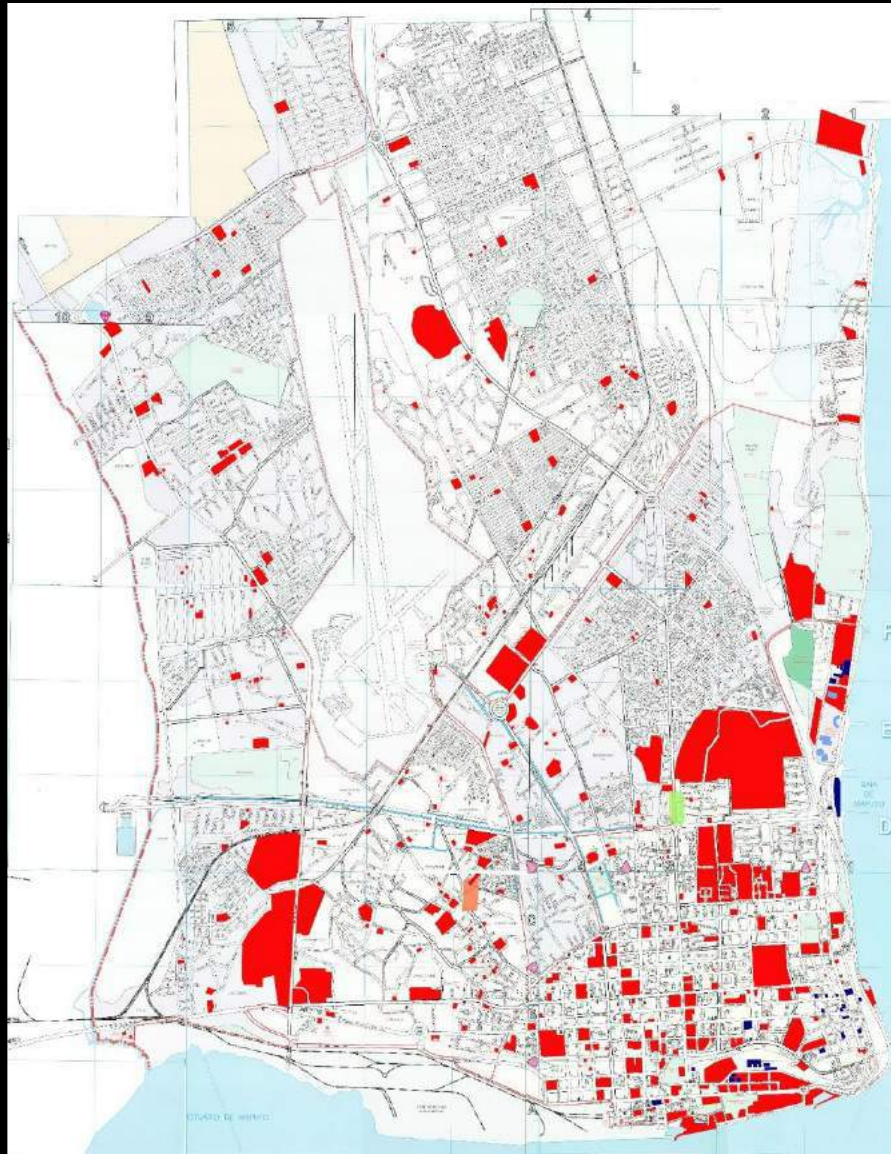
International Relations: Aid's Urban Footprint

DAC, China and Brazil/India/South Africa Commitments to Africa (2000-2015)

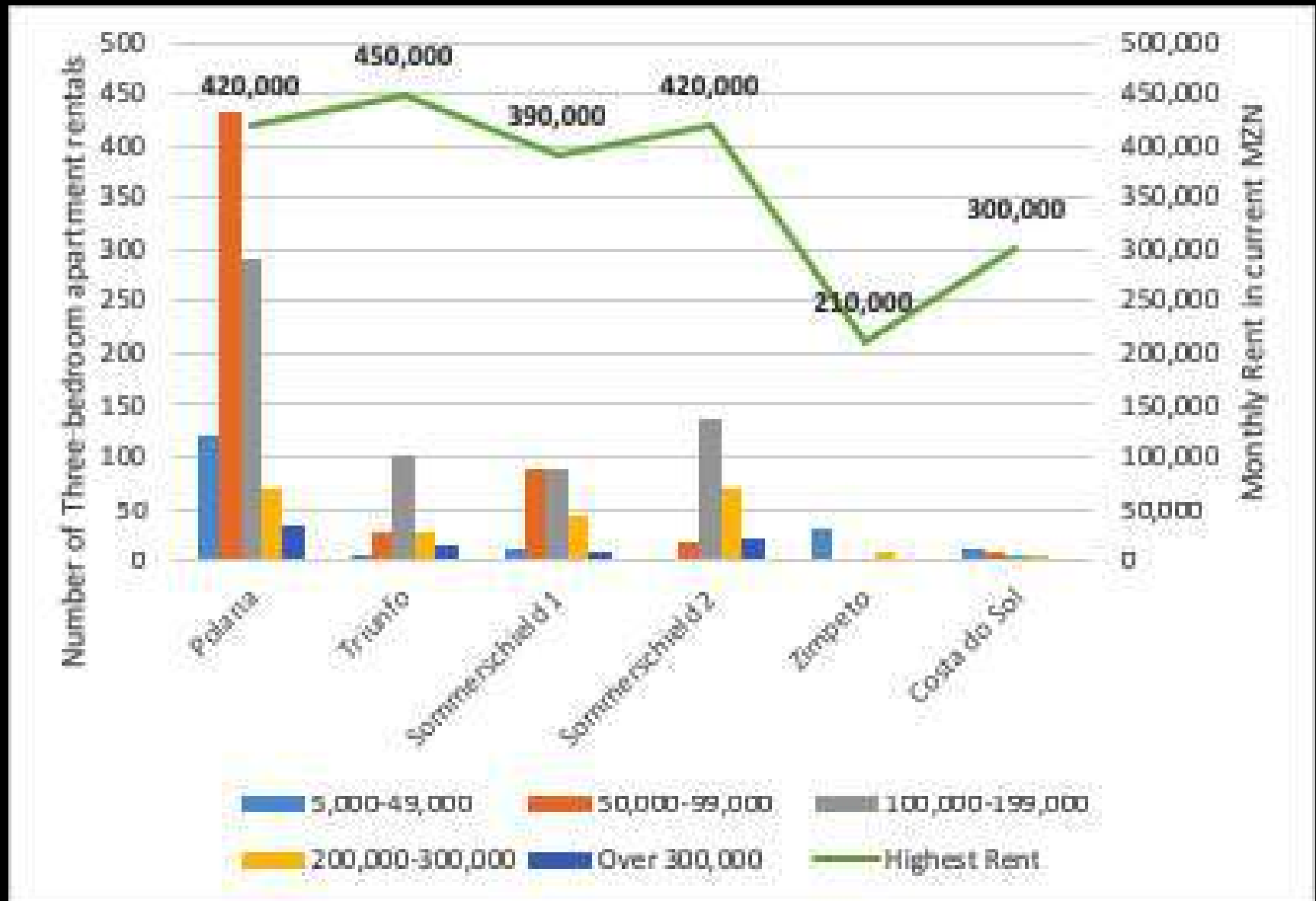


Sources: Calculated based on data in OECD (2017) and at Aiddata.org.

Aid footprint's Impact on Tax Bargaining Potential



Recent Rents for Three-bedroom Condos



Generational Histories and Expectations

Who experienced war? Culture of fear/Respect for the State



Cidadãos de Maputo - Petição Pública updated their cover photo.
August 19, 2014 · 🌐



Share



Cidadãos de Maputo - Petição Pública
June 17, 2014 · 🌐

Perante a crescente preocupação dos cidadãos de Maputo relativamente à evidente perda de qualidade de vida e de ambiente saudável na nossa Cidade, sentimos que a responsabilidade dos cidadãos não se pode limitar às reclamações e lamentos que crescem diariamente nas nossas conversas.

Assim, e num intuito construtivo e de dever de cidadania, decidimos promover uma petição que se destina a alertar e solicitar às autoridades competentes que se unam aos cidadãos na resolução dos ... See More



Por um crescimento urbano que garanta a qualidade de vida dos munícipes de Maputo

Ao agirmos juntos teremos mais força e maior facilidade em sermos ouvidos. Junte-se a nós e...



Household Livelihood Strategies

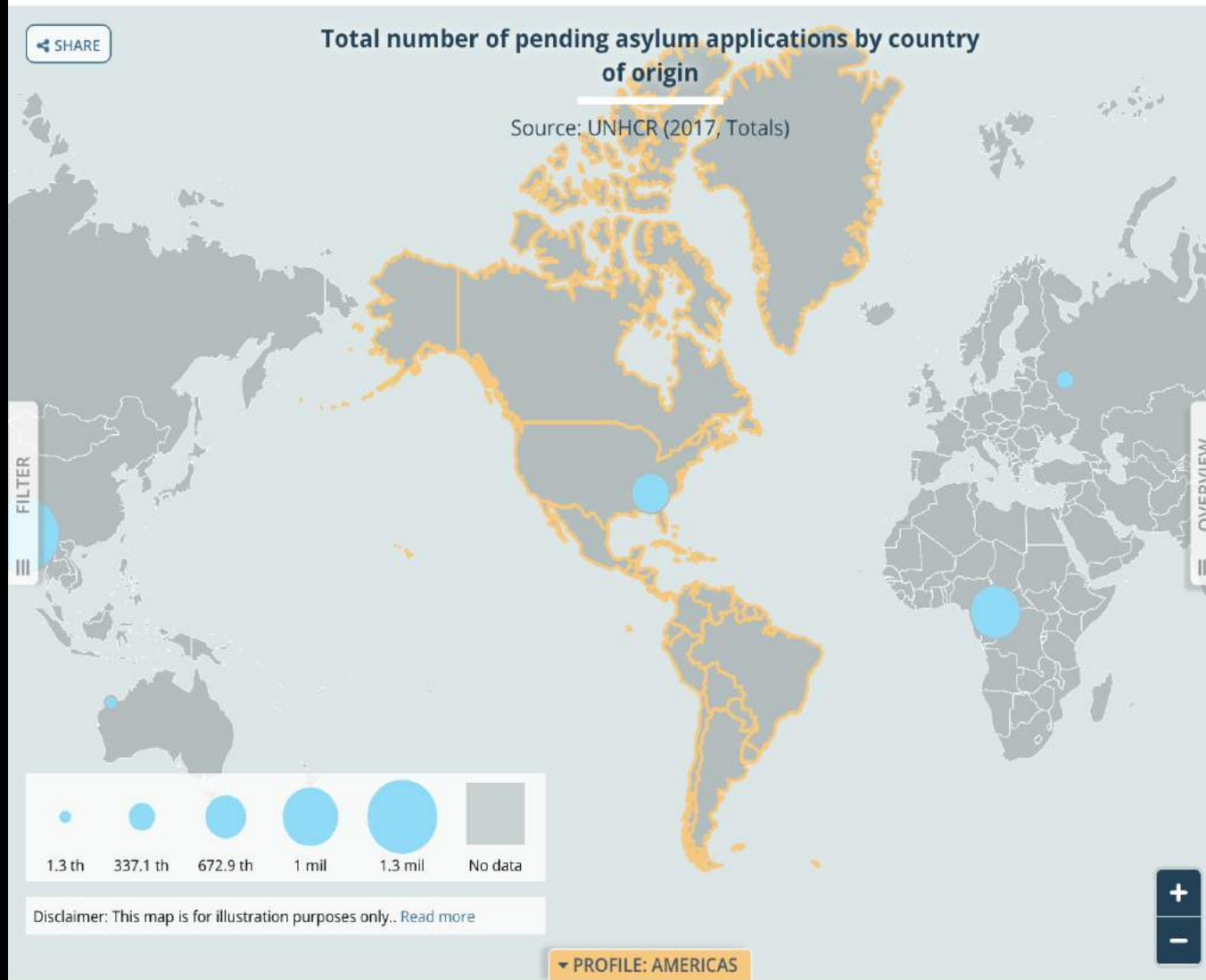


Connecting with Latin American Experiences

SHARE

Total number of pending asylum applications by country of origin

Source: UNHCR (2017, Totals)



Source: UNHCR
FAQs

TRENDS

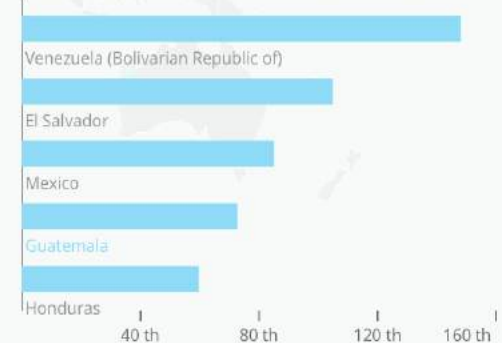
OVERALL (FOR AVAILABLE COUNTRIES)

2017: 3 million

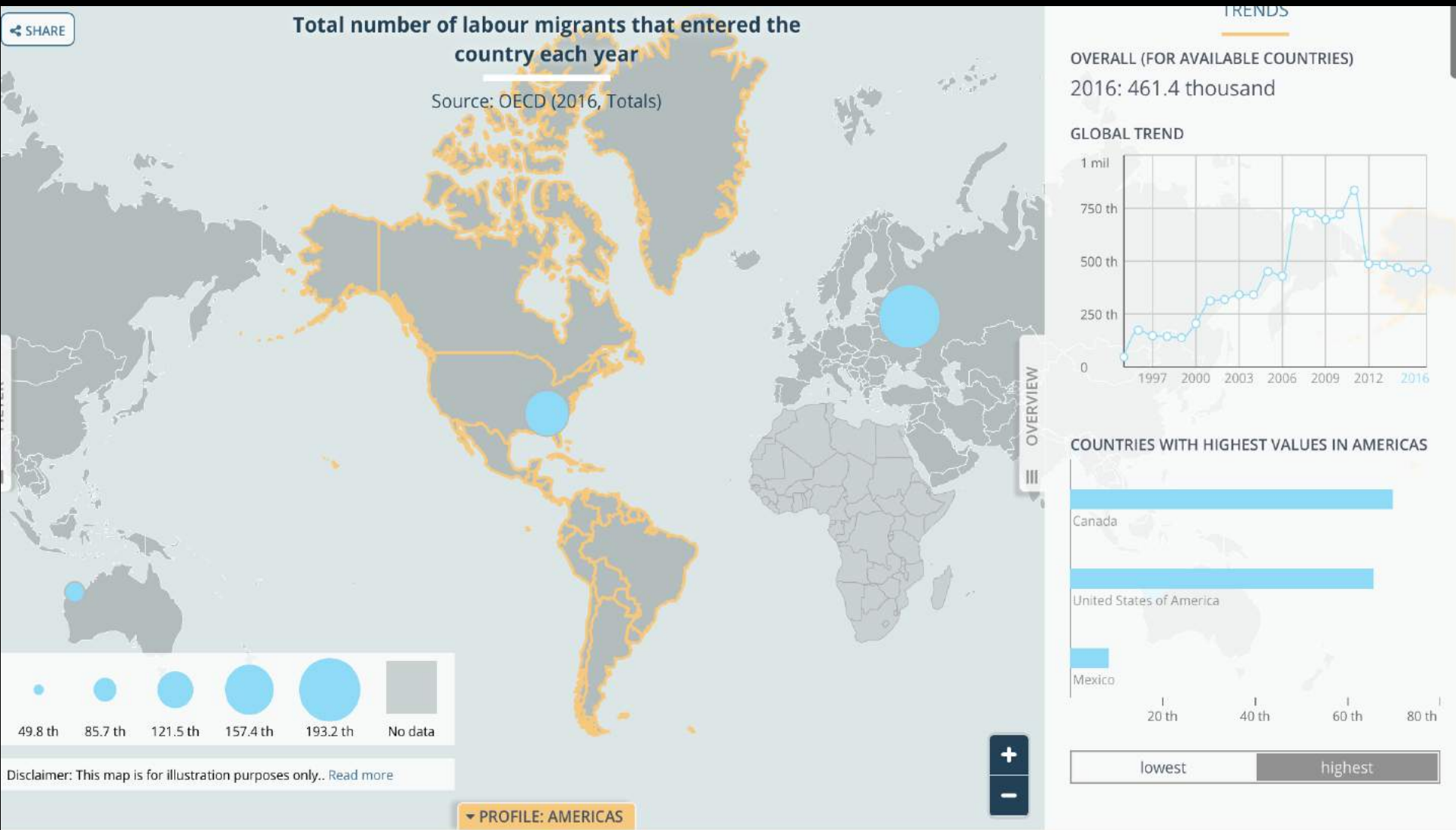
GLOBAL TREND



COUNTRIES WITH HIGHEST VALUES IN AMERICAS



Multi-locational Household Livelihood Strategies



PB in Argentina



PB in Mexico

Estado	Implementación	Municipios Participantes	Estatus
Aguascalientes	Municipal	1	Inactivo
Chiapas	Municipal	1	Inactivo
Coahuila	Municipal	1	Inactivo
Ciudad de México	Estatal/Delegaciones	n.a.	Activo
Durango	Estatal	n.a.	Inactivo
Estado de México	Municipal	1	Inactivo
Hidalgo	Municipal	1	inactivo
Jalisco	Municipal	16	Activo (11 mpios.)
Michoacán	Estatal/Municipal	1	Inactivo
Nayarit	Municipal	1	Activo
Nuevo León	Municipal	2	Inactivo
Puebla	Municipal	2	Activo
Quintana Roo	Municipal	1	Inactivo
Sonora	Estatal	n.d.	Inactivo

Key considerations for Reaching “Scale”

Public Sector:

To get to scale, understand motivations across scales

Civil Society:

How do migration trends complicate participatory exercises?

Contentious politics within the slum rehousing programme and Substantive openings for participation

A case of two slum settlements in the periphery of
Mumbai, India

Participatory urban governance in India

- 74th Constitutional Amendment Act
 - Devolution of powers to the municipal bodies, rules and regulations w.r.t. municipal elections
 - constitution of wards committees consisting of one or more wards for population of more than 0.3 million
- However;
 - There is a limited devolution of power and functions to the wards committees (Baud and Nainan, 2008)
 - Wards committees are non-operational in letter and spirit (Baud and DeWitt, 2009)
 - Serve as venues for co-option rather than informed deliberation, empowerment or democratisation (Coelho et al., 2011)
- Although **civil society activism** has opened up opportunities for participation; however class interests prevail within such forums (Fernandes, 2004; Zerah, 2007; Harris, 2012) – ex. RWAs in Delhi, ALMs in Mumbai (evidence reveal that such platforms are even exclusionary – Bhan 2008)
- **E-governance** platforms/ reforms: while the benefits of e-governance, such as timely and transparent communication, are clear, however there are limitations in terms of access, besides, these platform offset the traditional modes of representation – arenas in which collective struggle, particularly of the poorer women is the norm (Ranganathan, 2012)

Urban reforms and slums

- The BSUP scheme:

- Rested on a 7-point charter
- Propagated an inclusive planning process by creating venues for public participation: Area Sabha – booth level activism
- Introduced a ‘Community Participation Fund’ to incentivise new forms of local-level activism in cities (Coelho, Kamath, & Vijaybaskar, 2011).

- Despite the fact

- That the scheme aims to **convert rights-bearing citizens into customer citizens**
- And **treats poor as beneficiaries of development** instead of its rightful and legitimate claimants

- The scheme’s provisions are hardly put into place

- ‘Community Participation Fund’ within the BSUP scheme has been hardly utilised
 - the eligibility criteria for using the fund has been far too restrictive for the urban poor (Sivaramakrishnan, 2011).
 - Government officials often lack clarity on what constitutes a community (Kamath, 2012).
- Tokenistic nature of community participation exercises (Kundu, 2014; Burra et al, 2018). Poor groups’ recommendations are rarely incorporated within plans (Burra et al, 2018; Patel, 2013; Mahadevia, Datey, & Mishra, 2013).

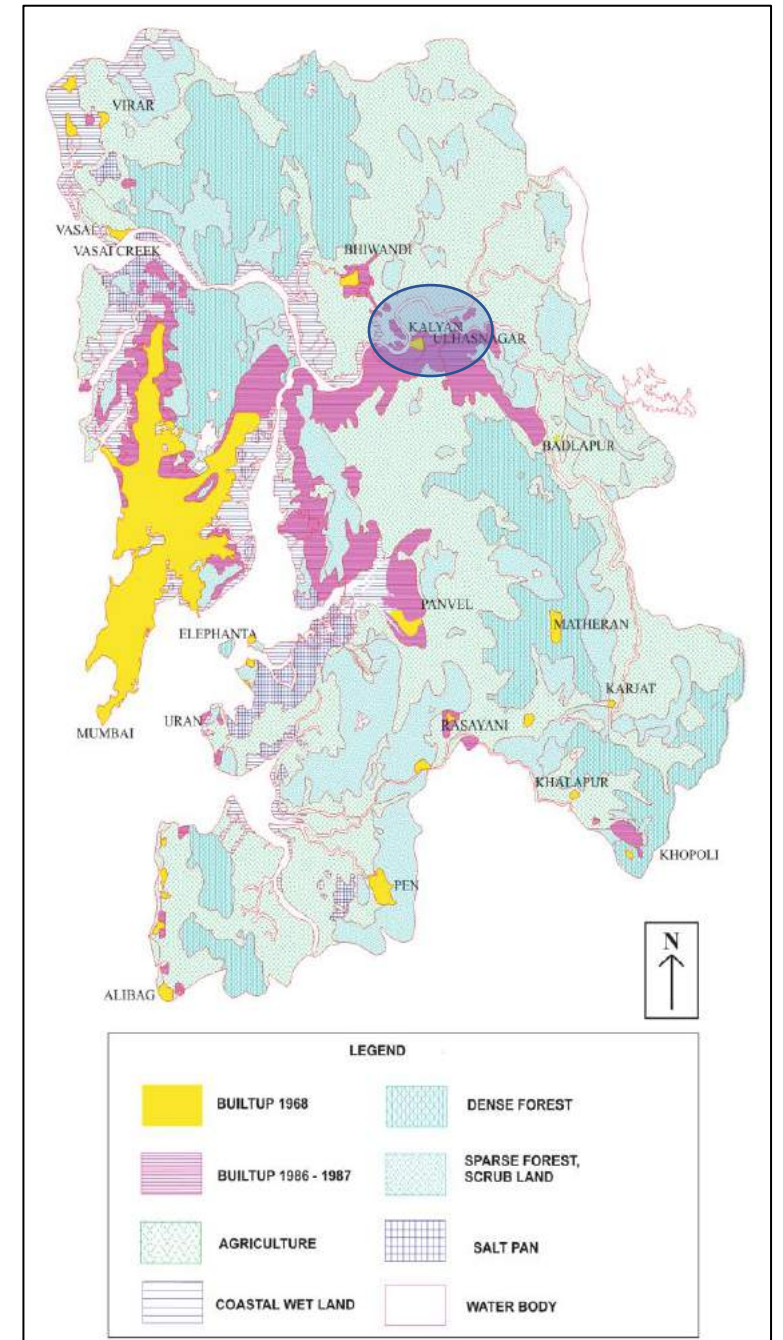
Organised resistance in slum-housing; substantive openings?

- Rise of new **housing rights associations in Mumbai** following the series of slum demolitions in Mumbai – YUVA, Nivara Hakk, SPARC, NSDF, Mahila Milan (Chatterji and Mehta, 2007, p.156).
- These organisations **lobby for a participatory discourse** in state's approach to slums.
 - Through networks of resistance (Appadurai, 2002; Patel et al., 2002)
 - Collectively reasserting the importance of the scale of community by recreating new scales of influence (Smith, 1993; Leitner, Sheppard, & Sziarto, 2008)
- The inclusion of 'improvement', and 'redevelopment' in the Maharashtra Slum Areas (Improvement, Clearance, And Redevelopment) Act of 1971
- However, to Roy (2009) and Benjamin (2008): "fair and just resettlement of the communities being displaced by the construction of these megaprojects" does not question the "codes upon which [such] transformation is based" (Rao, 2012, p.682) – **invited space (Cornwall, 2004); Civic governmentality (Roy, 2009c)**
- Besides, what about those places where the presence of rights association is negligible?

Contestation within BSUP in KD

Kalyan Dombivli

- 1960s through to 1970s and 80s – slums
- Late 70s till 2005 – informal housing
- Mid 2000 – real estate growth in the surrounding villages



KD's experience with the BSUP scheme

- Key stakeholder meetings at the planning stage
- Briefing slum dwellers during the implementation
 - use of narratives of better living conditions within the scheme housing; legality status of scheme housing; a better market value of scheme housing; and a possibility of selling the houses later on.
 - exercises that were actually meant for diffusing any **opposition** to the scheme.
- Threatening the settlers with eviction notices, criminal allegations, suspension of supply of basic services for not participating in the scheme
- Delaying the allotment of the newly built tower blocks as the Chief Minister was not available for the allotment
- **Tokenistic form of community participation, arguably done in order to fulfil the criteria mentioned in the BSUP scheme (Burra et al., 2018)**
- **Local state's vertical encompassment and domination over the scales of community, and household' (c.f. Smith, 1992; 1993; Ferguson and Gupta, 2002)**

Insurgent political act-Ambedkar Nagar

- Delay in the process of allotment:
- more than 150 people belonging to wagari-Dalit community [ethnolinguistic identity] stormed into the newly completed, un-allotted tenements
- Supported by their elected politician (division amongst the political elites- MLA and the Commissioner)
- The KDMC officials led by the Commissioner, on their part, came along with a lot of arrangements for suppressing the protest.
- 6 months later, they received formal allotment (2 years earlier than Dutta Nagar)



An image showing the community protesting in order to get the allotments, source: DNA article dated 16th of June 2012

Resisting participation in the scheme- Dutta Nagar

- Key highlight: a substantial part (approx. 160 out of 600 households) of the slum managed to not participate within the scheme
- Formed a union in the name – Dutta Nagar Janahit Sangh (Dutta Nagar People's welfare forum/union) with around 160 people in it
- Approached the judiciary, approached other govt. agencies in a bid to share information regarding the irregularities that had taken place within the scheme
- Actively pursued others as well from within the settlements through [posters and banners](#)
- Approached an MLA through the lady slum lord (division amongst the political elites – councillor and the slum lord)
- contested the local state's coercive practices- demonstrations, negotiations



What do we learn from KD

- Reveals how political communities are formed-
 - Caste and ethnic solidarity
 - Materiality of space (c.f. Smith, 1993; Leitner et. al., 2008, p.162; Bayat, 2013, p. 13)
 - Networks (Appadurai, 2002; Patel et al., 2002)
 - Existence of weak-ties between the Dalits and non-Dalits within Ambedkar nagar (c.f. Granovetter, 1973; Gamson and Meyer, 1996).
- What determines the type of contestation – insurgence v/s resistance,
 - a political history of caste (Dalits), the ethnic majority (the Agaris) and its way of protesting (a history of de-municipalisation in KD)
- The crucial role of division amongst the political elites- POS (McAdam et al., 2001; Koopmans, 2004, p.19; Gamson & Meyer, 1996)

How do we scale up participation

- Movements (do open up spaces for better negotiation)
- By understanding how political communities are formed and what determines the type of contestations
- By understanding the micro-politics of contestations
- Use of patron-client relationship in contesting the local state' vertical encompassment ? (is it a vicious circle?)

- 1) that the scheme only provides one housing unit per family,
- 2) those who do not have jhoppadpatti photo-pass (that confirms that the settler has been living within the settlement prior to 1995 cut-off date) shall not get any house in the scheme,
- 3) No provision of shops/commercial space within the scheme,
- 4) one has to live in a 8 storey tower block and hence cannot practice their vocation/commercial occupation, and
- 5) The scheme ends in 2012 and the corporation is not financially sound in order to make its own contributions in completing the projects.

ज्या पक्षाच्या नावाने याला नगरसेवक पद दिले त्याच पक्षाची इमान न राखता आईच्या आजरपणाला वेळ देता येत नाही म्हणुन नगर सेवक पदाच्या राजामनामा देवुन शिवसेनेत प्रवेश केला.

९४ वार्ड प्रमोक्तमधील अंमडी रहिवाशी असल्याने २१ साल्या शतकातही आई वडिलांची सेवा करणारा प्रति श्रावण बाळ आपल्या वार्डाचा नगर सेवक असल्याने या वार्डातील रहिवाशांच्या वतीने नागरी सत्कार कावा असाही विचार झाल्या पण एक दोन दिवसांनी वर्तमान पत्रात बातमी वाचुन आमच्या लक्षात आले की दुसरा घरोबा करण्यासाठीच आईचे आजारपणाचे निमित्त पळे करून याने आपला स्वार्थ साधला.

निवडणुकीचा आर्थिक बोजा स्थानिक महानगरपालिकेवर लादून निव्वळ पैशाच्या जोरावर परत निवडून आला. महानगरपालिका किंवा इतर क्षेत्रात शिपाई म्हणून नोकरी मिळविण्यासाठी १२ बी उत्तीर्ण व्हावे लागते. मग लोक प्रतिनिधित्वा शिपायाची जागळूक मतदार म्हणून कोणी गेल्या ९/१० वर्षांच्या कालावधीमध्ये क.डो.म.पर सभागृहात सभेमध्ये लोक प्रतिनिधी म्हणून लोकांच्या समस्या किंवा इतर कारभाराबद्दल काही बोलता आले का? असा नीनी (मुका) नगर सेवक कीर्तीइदाही नगर सेवक झाला तरी स्वतःच्या स्वाध्याय व्यतिरिक्त जन सामान्यतः त्याचा काहीच उपयोग उघडतात। मान्यवरांच्या उघड्यावरील दत्तनगर वसाहती मध्ये ८० टक्केपेक्षाही घरे असून एस.आर. ए. योजना अंतर्गत लाभार्थीला एकही पैसा न भरता मोफत घरे देण्याची योजना चर्चेत होती. स्थानिक नगरसेवक व महानगर पालिका संबंधीत अधिकाऱ्याचा आर्थिक फायदा होणार नाही म्हणून या योजनेस विरोध झाला.

२ मार्च २००४ रोजी शास्त्रीहॉल डोंबिवली-पूर्व येथे सोबत जोडलेल्या पत्रिकेवर उपस्थित मान्यवरांच्या उपस्थितीत दत्तनगर वसाहती मध्ये ८० टक्के पक्क्या घरे असून त्यात १+३ अशा ८० इमारती आहेत. होपडपट्टी म्हणून नगर नगरसेवकांनी व नगरपालिका अधिकारी यांचे संगमनाते जाहीर करून खोटे अहवाल दिलेल्या पाठवतु मंजुरीही मिळविलेली नगर सेवकांच्या चुकड्यावर जगणाऱ्या त्याच्या कार्यकर्त्यांनी आपली घरही खाली करून दिली. आज ते २ ते ४ हजार प्रतिमहिना दुसऱ्या ठिकाणी भाडे देऊन रहात आहेत.

ज्या लोकांनी आपली अमुल्य मते देतून याला नगरसेवक पद दिले त्याच लोकांनी बरे केल्याच घडतीने जारत बोलबोलानार मधुनून नीव करडूकशन प्रालि. यांच्या चश्यात झाली याच आत्माविश्रवासावर विरंदार प्रमाणे सर्व डोविलीवर साभाज्य जाजवियात याच्या निभार असून बाई क्र. १४ महिला बाई घोषीत झाल्याने बाजुचा बाई क्र. १०५ मधुन उमेदवारी मिळविली आहे. या बाईतील मतदारीनी वरील बाबीची गोभीयने विचा करून डोळसपणे योग्य उमेदवारास मत देणे.

आता आलेल्या विधान सभेच्या निवडणुकींमध्ये कल्याण पूर्व कोळसे वाड भागांमध्ये मतदारांला वैसे वाढतांना पोलीसोनी पकडून बेदम मार दिला. तेथील रहिवासी महिला - पुष्पाबाई अशी भरपूर मार खाल्ला लाखां रूपयांची रोख रक्कम गाडी हत्य इत्यादी जण कळत नाही परंतु वर्ष भरत अशा गुन्हेगार व्यवक्तीला पक्ष उमेदवारी देत निवडणुकी आयोजनी मान्यता देतो याला लोकशाही म्हणानी काय बाब संप्रभात सामान मतदार पडला असून प्रत्येक निवडणुकीत मतदारांची संख्या कमी होत आहेत.

निवडणुक आयोगाने निवडणुकीच्या कालावधी मध्ये मतदार केंद्रा पासुन १०० मिटर इत रहावे प्रत्यक्षात मात्र उमेदवार निवडणुक केंद्राच्या गेटवर जसे काय आपल्या मुला-मुलीच्या विवाहात स्वागत करायला जसे आईवडिल रहातात तसे उभे आहेत असेच निवड दिसते. त्यापुढे जावुन मतदान करीता रंगेत उभे असलेल्या मतदाराच्या पाया पडतो. पोलीसही या वेळी यच्याची भूमिका घेतात अशा लाचार लोकशाहीला काय म्हणावे.

वि.एस.मु. पी. योजनेमुळे लिथल्या रहिवाशांचे नुकसान

१. या योजनेत १५ पासुन रहात असलेल्या लाभार्थी कुटुंब प्रमुखाच्या नावे एकाच घर मालकावर एकाच कुटुंबातील ४/५ नांवे फार्म भरला आहे. किंवा एकाच व्यक्तीच्या नावे १४ वर्ग भरले आहेत. उर्वरित सदनिका स्थानिक नगर सेवक क.डो.म.न.पा अधिकारी संघमताने जास्त मोबदला घेवुन विकणार निवडणुकीच्या वेळी पक्षाला विजय मिळी सत्तावाला दिलेली रक्कम याच्या शतपटीने वसुल करणार.

२. इ.स. २००२ मध्ये दलतनगरमध्ये सरकारी जागेतील अतीक्रमण झालेला घरांना फोटो वास देण्याकरिता बायोमेट्रिक सर्वेक्षण केले त्यात तब्बल मजल्यावर राहणाऱ्या ४६८ कुटुंबांचे सर्वेक्षण झाले १ + ३ मधील विल्डींगमध्ये राहणाऱ्या कुटुंबांचे सर्वेक्षण झाले नाही फोटो पासवरी देण्यात आला नाही. म्हणजे बी. एस. यू.पी कोव्हेमध्ये त्याला सर्टनिका मिळणार नाही. किमान २०० ते ५०० कुटुंब बेघर होणार त्यांनी काय करवे.

३. बी.एस.यु.पी योजना गृह संकुलन असुन यात व्यापारी गाळयांची तरतूद नाही दत्तनगर मध्ये १०० दुकानाचे गाळे असुन इथे राहणारे कमी शिक्षण असणारे सायकल सवारी रिपेअरिंग किंवा कोंदा - बटाटा भाजी इ. छोटे मोठे व्यवसाय करतात. भविष्यात त्यांना व्यापारी गाळे मिळाले नाही. व्यवसाय बंद करावा लागला तर त्यांच्या कुटुंबियांनी काय करावे.

४. दातनगरमध्ये या योजने अंतर्गत एकुण आठ मजली टॉवर असुन त्यात ७८० कुटुंबांची राहण्याची व्यवस्था आहे. या योजनेच्या अटी शर्ती मुळे कीमान ३००/४०० कुटुंब व दुकानदार बेघर होणार व त्यांच्या घरावर व दुकानदार स्थानिक नगरसेवक व के.डी.एम.सी संबंधीत अधिकारी आपला हक्क दाखवणार.

कल्याण डोंबिवली महानगरपालिका क्षेत्रात पहिल्या टप्प्यातील १२ ठिकाणी ही योजना राबवीत असुन ५ वर्षांच्या पहिल्या कालावधी २०११ मध्ये संपत असुन एकही घर लाभार्थ्यांना मिळाले नाही. केंद्र शासन ५० टक्के, राज्य सरकार २५ टक्के व स्थानीय महानगरपालिका उर्वरित २५ टक्के या योजनेकरिता निधी देणार असुन लाभार्थ्यांना मागासवर्गीयांसाठी १० टक्के व इतर वर्गासाठी १२ टक्के निधी द्याव्यात आहे व के.डी.एम.सी च्या वार्षिक उत्पन्नाच्या निष्कावावर ३ श्रेणीत वसते तर या योजनेस महानगरपालिका हि निधी उपलब्ध करून देणु शकते काय? या बद्दल संकेत आहे. महागटु सरकारचे पहिल्या टप्प्यातील २५ कोटी देणे होते. परंतु ५ वर्षांच्या कालावधीत फक्त ७ कोटी रूपये देण्यात आले. परिणामी देशाच्या अपायी हि योजना अर्धवट राहून इथे राहणाऱ्या कुटुंबाचे संसार उध्वस्थ होतार हे नक्की. तरी जाणकार बंधु भाग्यीनो आपल्या विवेक बुद्धीचा वापर करून विचार करत. कि कोणाला निवडून घ्यायचे.

A snapshot of the notices that the mobilised community circulated within the community to make each one of them aware of the issues within the scheme (Source: Ravi, 21 March 2016).

State Ambition

1. Interventions in a changing context (rural migration, global migration) – and a consistent context (patron clients)

Whatever the nature of state intervention to support participatory planning and related developments, they have to work within the broader political and economic context. Hence, in South Africa, despite millions of dwellings having been built, the housing backlog is bigger than ever due to continuing rural to urban migration and declining family size in urban areas. Global migration may also influence the nature of demographic shifts and financing options (as some households benefit from remittances). Real estate development – sometimes financed by the diaspora – may exacerbate competition over urban land and make it difficult for well-located affordable shelter improvements.

2. Different contexts make for different responses; how to respond to local imperatives

We heard about government programmes in Mozambique, South Africa and Thailand with an additional contribution focused on Mumbai (India). What is clear is that there are significant differences in the way in which governments engage with participatory development. In some cases, this is through a programme directly supporting participatory (eg. participatory budget (Maputo), Law of Participation (India)). In other cases this is related to a programme with another sectoral intervention eg. housing and informal settlement upgrading.

Government led

3. What are governments good at?

Governments may be committed to participation, but they may not be well placed to deliver participation. However, these capabilities can be developed. Civil society efforts to promote and support participation need to consider what the government can do and where it is more limited. This needs to recognise government interests; in South Africa there have been continued repeated commitments to participation but the practices on the ground have not changed.

4. What do governments want to do? How much do they want to do it? (Be re-elected) (multiple narratives – truth not straight-forward); and positions are contested

In Mozambique the emergence of a participatory budget in Maputo can at least partially be explained by the political position of the mayor and his desire to remain in office. In South Africa, the commitment to introduce a housing subsidy was very much part of the Reconstruction and Development Programme in 1994, although the relatively new emphasis on informal settlement upgrading responded to the failure to address housing need at scale.

Recognising that governments may not be pro-poor, there is a need for grassroots organization and leadership. This has to be strategic, analysing the available political opportunities and identifying approaches with potential.

Governments have multiple objectives in supporting participatory development; and election interests are very much part of the mix.

5. How do non-state agencies respond? (Reach out to agencies - work in agency – create new agency)

Contributions highlighted that participation needs strong grassroots agencies. These can either be new agencies, created to advance participatory development in a highly stratified and unequal local

context or can be existing organizations, re-tooled for the purpose. Whatever strategy is preferred, experience consistently affirms the need to recognise and work with existing residents' associations but not depend on them to enhance local participatory process. The SDI experience highlights the importance of savings-based organizing to enhance women's engagement with the opportunities that emerge from ambitious state programmes and ensure that existing grassroots organizations engage with gender issues (in the case of traditional neighbourhood associations) and are political (in the case of rotating savings and local associations).

6. History matters!

It is easy to be carried away by new initiatives. However, the experience of the People's Housing Process in South Africa during the second half of the 1990s highlights the importance of taking into account past efforts and the difficulties in advancing progressive policy into progressive programming and practice. We should not neglect studying historical experience to ensure that efforts to advance participatory development do not repeat past mistakes.

Reformer-led (govt. and civil society)

7. Participation a result but also a catalyst for redistribution.

Participation is important to ensure that resources are used to best effect and address the needs of local urban citizens. In some cases, participation can result in additional resources and potentially substantive redistribution to ensure that basic services are provided and housing options improved. Participation – if substantive – will increase the capabilities and scale of organized citizens and enable them to negotiate for improved development programmes from their local authorities. Mass organization is a necessary – but may not be sufficient – condition for government resources being allocated to low-income disadvantaged and marginalized people.

8. Need to respect and work with autonomy

Despite the interest in engaging the state, and the need to secure more participation in government policy and programming, the autonomy of grassroots organizations and urban social movements need to be respected.

9. How to learn about what to do – try and try again

It is not possible to design the perfect programme. In this context it is important that adaptive programming is introduced with cycles of knowledge and learning. This is needed for multiple reasons: sometimes there are unintended consequences that need to be identified and considered, often officials and community activists need to learn new capabilities, frequently there is a changing context and programmes need to adjust to this.

10. What about the populations that do not qualify?

We need to recognise that even well-considered programmes and policies do not include all of the lowest-income most vulnerable groups who frequently have only weak organisations to represent their interests. Attention has to be given to this.