COURSE ON PARTICIPATORY SLUM UPGRADING

MODULE 6

Transformative
Slum Upgrading projects
Contents developed through the:

1. TRANSFORMATIVE PROJECTS
2. SITE SELECTION
3. PROJECT CONCEPT NOTE
4. PROJECT DOCUMENT
1. TRANSFORMATIVE PROJECTS
1. TRANSFORMATIVE PROJECTS:
Logic description

Situation Analysis and recommendations
Policy and regulatory framework review

CITY WIDE SLUM UPGRADING STRATEGY:
Definition of concrete priority actions

Short term
Medium term
Long term

Identification of transformative projects

Financing and resource mobilization strategy
1. TRANSFORMATIVE PROJECTS:
Approach and use of resources and partnerships

**APPROACH**
- be a clear manifestation of the Participatory Slum Upgrading principles and priorities and of its participatory approach.
- Innovative approach to slum upgrading;
- focus on agreed priority actions from the City Wide Slum Upgrading Strategy

**RESSOURCES**
- effective use of technical, human and other resources available;
- drawn on existing knowledge/skills/capacity;
- create synergies with other slum upgrading interventions;
- gain benefit from multiple partnerships;
1. TRANSFORMATIVE PROJECTS:
Areas covered

**ACTIONS**

- Address one or several of the slum deprivations
- Take into account crosscutting issues
- Integrated approach socio/economic welfare
1. **Relevance of the transformative action(s)**

- General problem presentation and analysis at all levels (community level, local government and national level).
- Problem identification (related to the 5 deprivations).
- Description of target group and beneficiaries and how the relevant the action is for their advancement.
- Description of how relevant the proposal is to the needs of target city/cities and target groups.
1. TRANSFORMATIVE PROJECTS:
relevant, coherent, effective and sustainable actions 2/4

2. Coherence of the transformative action(s)

- Coherence and consistency of PCN must converge into coherent actions.
- Production of a concrete ‘deliverable’ consistent with PSUP’s principles and priorities and with local factors.
- PCN’s content shall be rigorous and presented in a comprehensible text.
- High congruity between collected data, identified priorities, proposed activities and requested funds.
- Coherent use of resources in pursuit of identified priorities.
1. TRANSFORMATIVE PROJECTS:
relevant, coherent, effective and sustainable actions 3/4

**ACTIONS**

- relevant, coherent, effective and sustainable actions;

3. Effectiveness of the transformative action(s)

- Description of proposed actions and their overall objective, duration and expected results;
- Description of the proposed activities’ effectiveness;
- Description of roles and relationship of the different stakeholders;
- Description of other possible stakeholders and their anticipated role and/or potential attitudes towards the project.
1. TRANSFORMATIVE PROJECTS: relevant, coherent, effective and sustainable actions 4/4

**ACTIONS**

- relevant, coherent, effective and sustainable actions;

4. **Sustainability of the transformative action(s)**

- Actions resulting in durable and self-sustaining slum upgrading, with measurable impact and meaningful engagement of targeted communities.
- Risk analysis (physical, environmental, political, economic and social) and contingency plans for proposed activities.
- Measures and strategies for securing sustainability after completion of the actions.
5. ACTION PLANNING
Piloting and incremental approach

**INCREMENITAL APPROACH**

Projects need to have an incremental approach to the upgrading (based in the CWSUS) identifying actions and solution which are suitable at short term and that can be completed or complemented at medium and long term.

**PROJECTS CAN BE PILOTS in order to:**

1. Refine the original hypotheses and/or research questions
2. Produce information that will help improve evaluation approaches
3. Improve curriculum materials or evaluation instruments
4. Test approaches for data imputation and analysis
5. Uncover politically sensitive issues
6. Estimate costs for people, equipment, materials, and time
7. Ascertain the cultural appropriateness of interventions in diverse populations by inclusion on program development
8. Enhance the “marketability” of an intervention with senior agency administrators when a pilot test is successful
2. SITE SELECTION
2. SITE SELECTION: Selection criteria

- **Socioeconomic and health situation:** Settlements with critical poverty as evaluated by appropriate socioeconomic indicators.

- **Level of community organization:** The stronger the organization the easier will be the process - particularly in participatory approaches - and potentially more successful the outcome.

- **Land tenure:** Those on land belonging to the state or other public bodies are better to select, than those on invaded private land which will face legal obstacles and will delay implementation.

- **Settlements in high risk areas:** These are avoided because they would require removal and resettlement of a large portion of the residents. Steep-slope areas which would require installation of new access roads and resultant displacement of families are also included in this group.
2. SITE SELECTION: Selection criteria

- **Land use constraints:** Settlements in areas set-aside by law for a specific use should be avoided.

- **Overriding public interest:** When located in areas that are earmarked for large infrastructure of city-wide interest, it is unwise to upgrade these areas.

- **Existence of trunk infrastructure:** Areas near existing spare capacity of trunk infrastructure should receive priority, since investments will be more cost effective.

- **Impact Measurement:** The settlement should not already be having multiple interventions being undertaken by other donors.
2. SITE SELECTION: Process

- Hold consultative public meetings/workshops, etc.

- Have comparative data from the socio-economic study to select the best choice
  - Present a problem trees analysis

- Use maps and spatial tools to demonstrate the extent (boundaries) of the intended site
2. SITE SELECTION: tools

SLUM WIDE SOCIO-ECONOMIC SURVEY

See neighborhood planning

SITE SELECTION CHECK LIST

Checklist to assess how the site selection process should be oriented and how community participation should be ensured in the process.
## 2. SITE SELECTION:
### Tool: Check list for identifying pilot site selection

<table>
<thead>
<tr>
<th>Identifying pilot sites</th>
<th>Yes</th>
<th>No</th>
<th>Explain</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have you had an experience in selecting upgrading sites?</td>
<td></td>
<td></td>
<td>Give examples</td>
</tr>
<tr>
<td>What tools/methods/criteria did your employ for selecting the upgrading site?</td>
<td></td>
<td></td>
<td>Give the criteria used and accompanying socio-economic conditions</td>
</tr>
<tr>
<td>Was the enumeration and socio-economic survey used to choose the site?</td>
<td></td>
<td></td>
<td>Provide details</td>
</tr>
<tr>
<td>How did you deal with political pressure/community in objectively undertaking this.</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>What were the main challenges and bottlenecks and how did you overcome them?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Was the community supportive of the choice?</td>
<td></td>
<td></td>
<td>If no, what would you do so the community agrees?</td>
</tr>
<tr>
<td>Is the choice aligned with the CWSUS and previous work on slum upgrading?</td>
<td></td>
<td></td>
<td>Explain</td>
</tr>
</tbody>
</table>
### Assessing participation

<table>
<thead>
<tr>
<th>Did all relevant stakeholders contribute to the choice of the site?</th>
<th>Yes</th>
<th>No</th>
<th>Indicator / evidence</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Which stakeholders contributed?</td>
</tr>
<tr>
<td></td>
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<tr>
<td>Was the criteria used shared with other stakeholders (CBO/NGO)?</td>
<td>Yes</td>
<td>No</td>
<td>Provide examples of previous experiences other actors</td>
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<tr>
<td></td>
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</tr>
<tr>
<td>Were residents of the larger slum well informed of how the selected site for upgrading chosen?</td>
<td>Yes</td>
<td>No</td>
<td>How were they involved, and when?</td>
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<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Did women, youth, disabled and marginalized groups considered as a criteria in selecting the site?</td>
<td>Yes</td>
<td>No</td>
<td>E.g. Gender ratio of participants</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is the final plan approved/endorsed by the municipality and community?</td>
<td>Yes</td>
<td>No</td>
<td>Official document?</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is the final plan publicly available; does the community have copies?</td>
<td>Yes</td>
<td>No</td>
<td>Where; who can access it?</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do residents and CBOs feel a sense of ownership over the plan?</td>
<td>Yes</td>
<td>No</td>
<td>If so, explain how</td>
</tr>
</tbody>
</table>
3. CONCEPT NOTES
A **Project Concept Note (PCN)** is:

- a brief description of the idea for a project and the objectives pursued;
- a document that’s part of a resource mobilisation strategy;
- a document which is subject of review and evaluation.

A **Project Concept Note (PCN)** purpose is:

- to further define activities and mobilise resources for implementing the PSUP’s identified priorities. For financing partners.
- inform the preparation of full project proposals.

To use easy language to facilitate assessment and evaluation.
A Project Concept Note (PCN) structure is:

Short document, approx. four (4) A4 pages.

PCN’s Structure:

i. Title
ii. Background
iii. Objective
iv. Expected accomplishments
v. Indicators of achievement
vi. Main activities
vii. Relationship to SDGs and PSU approach
viii. Budget narrative
3. PROJECT CONCEPT NOTES:
Concept note structure 2/5

i. Title:

It reflects the main programmatic thrust of the project. It should be short, concise, one sentence long and indicate main beneficiaries, geographical scope and living standards/capacities to be strengthened.

ii. Background:

Concise description of the slum upgrading issues that the project intends to address, highlighting current deprivations of target slum communities. It should explain how the project fits into the CWSUS. It should highlight lessons learned and achievements from earlier projects, as well as respective roles and contributions of the different partners.
iii. Objective

Overall intended **goal of the project** that project activities contribute to achieve through the expected accomplishments. The objective should answer the question **‘What does the project intend to achieve?’**

There should be only one objective, one sentence long.

iv. Expected accomplishments (EA):

Describe **desirable future conditions** and institutional changes that can be attributed to the project, achievable within the project timeframe and budget.

EAs are **measured** by indicators of achievement. There should be a maximum of three (3) EAs, **logically linked to the project objective.**
v. Indicators of Achievement

Measures used to determine to what extent the stated EAs have been achieved. They refer to information needed to check progress towards meeting stated project objectives. Indicators should be SMART:

- **Specific**, 
- **Measurable**, 
- **Achievable / Attainable**, 
- **Realistic and Relevant** 
- **Time bound**

vi. Main Activities

Actions that need to be taken by the project team, in cooperation with the target communities, in order to achieve the EAs. There should be around six (6) main activities per proposal. Objective, EAs, Main Activities and Indicators need to be clearly linked through a log-frame.
vii. Relationship to the SDGs and the approach for PSU.

Meaningful reference is to be made to relevant EAs in relation to concerned Sustainable Development Goals, particularly those referred to the 5 deprivations of slum dwellers. References to how the PCN incorporate the approach of Participatory Slum Upgrading should be highlighted and clearly explained.

viii. Budget Narrative:

Main budget lines and respective costs shall be presented as a preliminary budget.

Full and reviewed budget details are meant to be produced with the full project document to be developed later.
The standard document used by UN Habitat (and the UN system) to specify in detail an agreement on implementing operational activities; a document that’s part of a resource mobilisation strategy;

A **Project Document (PRODOC)** is:

A **Project Document (PRODOC)** includes:

i. Duration of project, dollar value of project, objectives and location;

ii. Scope of the problem and specific aspects to be addressed;

iii. Strategies and range of activities the project shall employ;

iv. Key partners in the implementation process;

v. Listing of expected accomplishments;

vi. Institutional arrangements and budget

vii. Timing and risk analysis;

viii. Monitoring and reporting
i. Project summary

- Duration of project,
- Dollar value of project,
- Objectives and
- Location

ii. Situation analysis and project rationale

- Central issues the project is addressing;
- Project’s purpose;
- Project’s alignment to national development;
- Reasons for engagement;
- Lessons learnt from similar interventions
iii. Project implementation strategy

- Goal and objectives;
- Expected accomplishments/outcomes;
- Critical assumptions to project success;
- Risk analysis matrix;

iv. Stakeholder analysis matrix

- Listing of stakeholders at national, local government, and community level;
- What is their role in the project?;
- What is their gain from involvement?;
- Priority importance of stakeholder involvement;
v. Project logic model and Performance Measurement Framework (PMF)

- Detailing of logical relationships between project objectives, chosen activities and implementation strategy;
- Detailing of Cause-Effect relationships between project activities and expected accomplishments/outcomes;
- Indicators for verification/evidence;

vi. Budget and Management structure

- Institutional arrangements for key stakeholders, organogram;
- Project strategy for sustainability;
- Public awareness, communication strategy;
- Environmental and social safeguards;
- Gender strategy;
- Legal instruments (MOU, AoC);
- Budget and funding sources.
vii. Project implementation schedule and Risk analysis matrix

- Relating key activities to a timeline of project duration years, split into quarter years
- Partner operational risk;
- Partner financial risk;
- Political stability;
- Economic/social/cultural issues;
- Environmental issues

viii. Monitoring, evaluation and reporting

- Results monitoring and evaluation plans;
- Stakeholder role / participation in monitoring;
- Internal and external evaluations;
- Documentation and reporting
Exercise: Identifying transformative projects from the CWSUS

• Which of the priority actions from the CWSUS can be translated into transformative projects?
• Which of the 5 slum deprivations does it tackle?
• Relevance of the action?
• Sustainability of the action?
• Coherence of the action?
• Effectiveness of the action?
• How existing resources and partnerships are leveraged?