



"We don't need others to collect information on our settlements. We can do it ourselves!"

"This has been the eye-opener of our settlement and city."

"We are a part of change in our communities and this is a result of KYC."

"We have the problems, but we also have solutions."

"Data collection is the key to community improvement— if we know how to create partnerships and negotiate with our information. With our data, we were able to form partnerships and negotiate for the construction of two biogas toilets, four water kiosks, and the renovation of four public toilets."

"The data was used to negotiate with the county for a City Fund."

"The use of our data will help us to upgrade our settlements."

"Savings builds strong relationships in our communities. It starts with us coming together and then taking actions to improve our surroundings."

"We know our communities, and our community members know what they have and what they don't have. This is the best thing about Know Your City." "It's good for everyone to have enough knowledge about the city they live in. That helps them to act as agents of development."

"Know Your City has enabled us slum dwellers to identify a number of settlements in other countries facing the same challenges as us. This has eventually increased the voices of poor people demanding better services in their settlements."

These quotes are from slum dwellers throughout the SDI network who profiled their settlements and cities.

Know Your City: Slum Dwellers Count

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Foreword

Minister Lindiwe Sisulu

Human Settlements, South Africa

It is my privilege to serve as South Africa's Minister of Human Settlements and to lead a department on the cutting edge of pro-poor policy and practice both at home and abroad. No country in the world has achieved what our government has achieved since 1994 in the provision of shelter for its people. Given our political formation, our policy orientation is to be pro-poor and concerned about the most vulnerable and disadvantaged in our society. We approach this not out of sympathy but out of necessity—to deliver on our constitutional obligation and to work toward restoring the dignity of our people.

I am proud to be associated with this publication, which advances our understanding of what it will take to move forward and reminds us that the urban poor are our critical partners in this struggle against inequality. Governments must move from a situation of confrontation with the urban poor to one of collaboration. Indeed, Human Settlements has a long history of engagement with the urban poor, including with our longtime partner SDI—a global shack and slum dweller people's movement. I have been fortunate to serve as the chairperson of SDI's Board of Governors, and I have watched the organization grow from strength to strength over the past decade, dramatically enhancing the scope and depth of its work. Its members are now the most visible representatives of the urban poor globally, and their participation in global urban debates and strategy development has become indispensable.

At the 2016 United Nations Habitat III conference in Quito, delegates praised South Africa for prioritizing the provision of decent housing and community infrastructure for the poor. In 2017, I officiated at the launch of the Know Your City campaign in South Africa. With support from SDI, informal settlement communities from over 30 countries are organized into urban poor federations that undertake city-wide community-led informal settlement profiling and enumeration. Such work seeks to anchor partnerships between communities and local and national governments and to bridge the knowledge gaps that perpetuate inequality. This will support our government and is intended to set an example for others in implementing the New Urban Agenda (NUA) and in pushing the frontiers for collaboration, inclusiveness, and transformation. We must shake off complacency and avoid repetition of the same methods if we are to meet the ambitious and necessary goals set out below.

In our submission to the United Nations at Quito for inclusion in the Habitat III agenda, the South African government also emphasized the importance of understanding rural dynamics in accelerating inclusive growth, employment creation and servicing the poor, youth empowerment through education, strengthening integrated planning with organs of states, and addressing urban mobility challenges. We have gathered together in these pages examples of the potential for the Know Your City campaign and the partnerships that can be forged to support governments, particularly in the Global South, to defeat centuries—old systems whose hallmarks were to demean, fragment, stratify, racialize, and compartmentalize cities. In short, this report addresses the human condition. We intensify our clarion call to governments across the world to prioritize human settlements—to put human settlements at the center of economic development.



Minister Lindiwe Sisulu, Human Settlements, South Africa

Introduction

Rose Molokoane

When I told people at the launch of our Know Your City campaign at Habitat III that SDI would profile 100 cities before World Urban Forum 9 (WUF), people thought I was making empty promises like everyone else. I told people that SDI was done with all the talking. Yes, it was good to talk and get the New Urban Agenda and the Sustainable Development Goals (SDGs) in place, but now the talking should end and the work should begin.

Sometimes when I'm in the community, I gossip about the Member States arguing about commas and which words to put in their documents. While they argue, we're in the informal settlements counting toilets, negotiating with mayors, and building our own houses. I tell the community that we were the ones who put words into the New Urban Agenda about participation and community knowledge, and that now we have to show everyone how it's done in practice.

If you want to know what it means to Know Your City, I want you to talk to one of the SDI federation members. You'll find them in more than 30 countries. They're easy to spot. Usually they're singing and making a lot of noise. I want them to tell you about measuring shacks that are so close together you need to climb up on roofs to see what's what; about mapping settlement boundaries and trying not to fall in drainage channels lined with garbage; about going house to house and hearing stories that make you want to cry; and about being chased by dogs and even by people with weapons as you administer enumerations. SDI members will tell you why they go to all that trouble and why they're always screaming, "Information Is Power!"

After you ask them, then you can read this report. Some of you don't believe things until they're in a report with some big words and big numbers. That's why we did this. We have too many stories, but if we made the report too big it would cost too much money, and we need that money to keep doing our work.

As communities, we know we can't do everything alone. But we want the global community to understand just how much we're doing to try to improve our settlements and cities and fulfill the goals we set together. While we're trying so hard, some governments are still bulldozing our communities and setting them on fire because they want our land. This is one of the things that makes me so angry and disappointed.

In South Africa, our government is trying to understand. You see from the minister's foreword that our national government is trying to support Know Your City. Our local governments, through the South African Local Government Association (SALGA) and United Cities and Local Governments of Africa (UCLG-Africa), are also trying. The problem is that government normally promises to bring resources, and then they don't. If the slum dwellers can bring their resources, why can't governments? Governments have already committed to these goals. If we really have a partnership, then each side needs to bring something to the table.

Know Your City is about understanding our problems together and then working, practically, to fix them. It's not a "project," this thing we call Know Your City. We have been doing it for decades, and we're going to keep doing it until our cities change. SDG 11 calls for inclusive, safe, resilient, and sustainable cities. Look at our information, our knowledge, and our efforts, and think about how it will support all of us to implement these commitments.

Below: Rose Molokoane and Federation members from across Africa at Habitat III in 2016

Right: Cape Town Re-Blocking





SDI and Know Your City

Founded in 1996, SDI is a transnational network of the urban poor bringing together over a million federated slum dwellers in 30 countries in Africa, Asia, and Latin America. The federations comprise thousands of savings schemes networked at the settlement, city, and national level to collectively drive a bottom-up change agenda for inclusive and resilient cities. Federations use strategies and tools such as daily savings, peer-to-peer exchange, community profiling, enumeration, and mapping to organize a critical mass of urban poor communities in the cities of the Global South. The SDI network places a special focus on the role of women as key drivers of this change. Women-led savings collectives form the building blocks of SDI federations. These collectives provide a supportive space for women to become active local organizers and drivers of urban transformation that is rooted in gendered, local, and communal priorities.

An initiative of SDI and its partners, Know Your City (KYC) is a groundbreaking global campaign for participatory, pro-poor, people-centered urban governance. KYC unites organized slum dwellers and local governments in partnerships anchored by community-led slum profiling, enumeration, and mapping. The KYC campaign builds upon the rich history of grassroots informal settlement profiling in SDI that was pioneered by Indian slum and pavement dwellers in order to make informal settlements visible to city authorities. Through SDI support to peer-to-peer exchange, the process spread to 30 countries on three continents and ushered in a new era for slum community dialogue with governments. Led by a commitment from UCLG-Africa, a KYC campaign was born that formalized this international partnership between slum dwellers and local governments.

The KYC campaign serves as a powerful engine for community organization, participatory local governance, partnership building, and collective action to enhance inclusive city planning and management. Know Your City TV (KYC TV) ensures youth living in informal settlements are not excluded from this process by organizing them to create media and films about life in slums and creating space for them to engage in the dialogue about city futures. KYC has the potential to guide not only local governments but national and international policies, programs, and investments at scale, and to contribute significantly to managing the persistent social, economic, and political risks facing cities and nations.

For more information on SDI and KYC, visit: www.sdinet.org www.knowyourcity.info info@sdinet.org

"I always tell communities, 'You slum dwellers can count huts better than any educated person or government official.' I have won so many bets when discussing pavement dwellers in Bombay! The officials kept saying that there were over 100,000. So I would casually ask them, 'On this road, how many do you think there are?' When they said their number, I would say, 'No, no, it's one-fourth of that.' And we would count hut by hut. Of course I was right, but more than that, I made the officials walk through the whole street counting huts."

Jockin Arputham, SDI President



Right: Slum mapping in Mumbai, India

Flawed Assumptions

Right: Mathare slum, Nairobi, Kenya

Robert M. Buckley, Achilles Kallergis, and David Satterthwaite

Forty-two years after Habitat I—the first international commitment toward an urban agenda—urban poverty persists, the number of slum dwellers continues to increase, and hundreds of millions lack access to the basic services associated with city living: shelter, water and sanitation, and jobs. How is it possible that in 2018 a silent urban crisis continues unabated—right alongside global pronouncements and aspirations of inclusive, resilient, and "smart" cities?

* * *

The idea that cities and urban policy play an extraordinarily important role in the development process is increasingly recognized, though still given low priority by most international agencies and national governments. The New Urban Agenda and the Sustainable Development Goals attempt to elevate the role of cities as crucial spaces where struggles for inclusive and resilient development will be won or lost. Almost all the world's governments endorsed the SDGs' commitment to "leave no one behind." How far are we from this reality, and what will it take to make sure cities become inclusive, safe, resilient, and sustainable?

These questions resonate strongly for the urban poor. The population of slum dwellers by absolute numbers is on the rise. In many low-income countries, the growth of slum populations has been more rapid than the average urban growth. In some regions, access to the basic improvements associated with city living—better health, stable jobs, good housing, and vital household services—have yet to materialize for the majority of urbanites. In addition, the projected demographic growth in cities of the Global South makes previous urbanization phases seem like ripples in a stream. While urban growth rates are declining, almost all of the growth in the urban population—from 4 billion in 2015 to over a projected 6 billion by 2050—is expected to take place in low- and middle-income countries. By 2050, these cities, already facing acute challenges in terms of access to land, shelter, and services, will need to absorb over 2 billion people, increasing their total urban population by 75 percent. There is a narrow window of opportunity to address the needs of current and future city dwellers, particularly the most vulnerable slum dwellers.

Do We Know Our Cities? Revisiting Assumptions About Urban Development

The inability to improve the living conditions in cities for so many urban dwellers makes it imperative for us to reexamine the basic assumptions underlying urban development policy and practice.

Flawed Assumption 1: Informal settlements are temporary way stations for the urban poor on the path to modernity and prosperity.

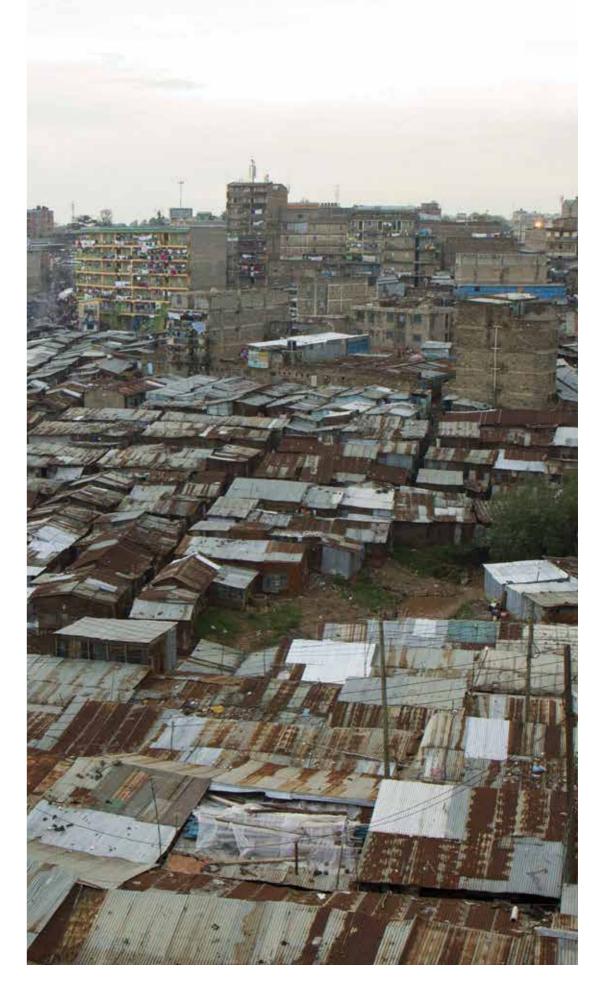
It is assumed that as countries urbanize, welfare gradually improves, and the corresponding increases in income help societies afford more and better housing, increased educational opportunities, improved health care, and other amenities. It is also understood that urban density lowers unit costs for most services and contributes to greater innovation and creativity. By this logic, informal settlements are temporary way stations on the path to modernity and prosperity.

However, when urbanization takes place without job opportunities and infrastructure, urban density does not contribute to innovation and growth. On the contrary, without provision of safe shelter and services, density becomes deadly and costly. The fact that most of the urban population in many low- and middle-income countries now resides in informal settlements—often for generations—implies that these locations have become poverty traps rather than stepping-stones to prosperity.

Flawed Assumption 2: Slum dwellers benefit from better overall health conditions in urban areas.

It has long been assumed that an increase in the share of the population living in cities assures significant improvements in health through what is called the "urban health premium"—that is, better health conditions are found in cities than rural areas.

However, while this "urban health premium" has played an important role in improving welfare throughout the world, it appears to be disappearing in many cities. In at least two African cities for which data is



available—Nairobi and Dar es Salaam—infant and child mortality rates among urban poor groups approach and sometimes exceed rural averages. In some cases, health outcomes among low-income urban dwellers are far worse than among low-income rural dwellers.

Flawed Assumption 3: The conditions of the urban poor can be improved without their involvement in planning processes.

There is an assumption that improving the conditions of the urban poor can be done without detailed knowledge of what their living conditions are. Moreover, it is assumed planning priorities in informal settlements can be set without consulting the residents, suggesting housing, infrastructure services, and resilient communities can be built without consideration of people's incomes, needs, and preferences.

However, while knowledge about cities overall is growing, our knowledge of urban poverty and the living conditions of slum dwellers in particular is seriously lacking. Although contemporary urban practice recognizes and underlines the need for greater participation and better data, there is no mechanism in place to systematically assess and collect information about the living conditions of the urban poor. Official reporting on housing, basic services, and health vectors relies, for the most part, on urban averages that obscure the challenges in informal settlements.

Going Forward: Inclusivity Is Not Automatic

Inclusive outcomes demand inclusive knowledge and action. The above flawed assumptions beg the question: How can we "leave no one behind" if there are hundreds of millions of urban dwellers whose needs are undocumented, whose voices are unheard, and whose capacities are ignored? We simply cannot produce nuanced definitions of "poverty" unless these are grounded in local data and knowledge.

For cities to serve as engines of inclusion, growth, and development for all inhabitants, especially those who are poor and vulnerable, policies and institutions must be constructed with the explicit intent of facilitating and safeguarding social, political, and economic inclusion for all residents.

Collaborative planning leads to collaborative action. Such action can resolve the concerns of low-income residents in practical, affordable, and scalable ways while motivating local government to realize the benefits of engaging the community in dialogue and viewing community members as valuable partners and constituents. Considerable evidence shows that including the voices and capacities of urban poor households and community organizations in planning and implementation leads to collective action that produces more inclusive and sustainable outcomes.

Complex cities require collaborative planning and insights from local knowledge and data. The capacity to act fast and effectively almost always rests on adequate knowledge. The SDGs acknowledge the need for disaggregated data, but little data exists that can be disaggregated to settlement level, and the system continues to use urban averages that perpetuate myths

and flawed assumptions. Many of those left behind simply cannot be found in the data, and if you are not in the data, you (and your needs and capacities) do not count.

* *

In the chapters that follow, authors from government, academia, non-governmental organizations (NGOs), community-based organizations (CBOs), and public-private partnerships outline proven and emergent solutions that hold greater promise for enhancing inclusiveness and resilience at scale. These solutions highlight the fundamental importance of collective action and partnership in addressing the growing challenges of the urban poor. Specifically, we will explore the Know Your City campaign and how federations have collected systematic data on conditions in their communities that matches or exceeds the credibility and reliability of much more expensive surveys and catalyzes the organization of communities and partnerships required for collective action.

The data has unmet potential to assess whether SDGs are being met in informal settlements—the very places where people are being left behind. We must acknowledge that we can and must do better. We must also recognize that new insights and partnerships with the urban poor can lead to new ways of thinking and acting that inspire and catalyze transformative change.

Right: Zimbabwe savings group meeting



Essential Partnerships: Local Governments and Organized Communities

Joel Bolnick, William Cobbett, and Jean-Pierre Elong Mbassi

The roots of the Know Your City campaign grew from the acknowledgment over the past decades that a fundamental shift in the approach to urban development is urgently needed. From its initial work in two slum areas to its current partnerships in 103 cities covering 1,238 settlements, the KYC campaign demonstrates that constructive dialogue, knowledge sharing, and collaboration between slum and informal settlement communities and local government authorities can replace confrontation and lead to the effective integration of informal settlements in comprehensive city planning and upgrading.

The KYC campaign is a joint program between SDI-affiliated federations of the urban poor, and the United Cities and Local Governments of Africa (UCLG-Africa), with active support from Cities Alliance—of which SDI and UCLG-Africa are prominent members. It is a powerful mechanism for community organization, participatory local governance, partnership building, and collective action. Anchored by community-led informal settlement data collection and the creation of a verifiable body of critical knowledge, the KYC campaign produces a framework for comprehensive and inclusive city planning and management.

In its origins and ongoing practice, the KYC campaign recognizes the interdependence of city governments and the urban poor and draws attention to the resources available and needed for integration of informal settlements into city planning.

KYC is not just about data collection, sharing, and management. It is a participatory, pro-poor, peoplecentered approach to urban governance. Over the last decade, partnerships between local governments and communities have enhanced collective knowledge about informal settlements and strengthened the capacity of urban poor communities and local authorities to plan inclusively, to enable livelihood opportunities, and to provide land, services, and shelter for the poor.

Filling the knowledge gap is the first essential step toward an informed and balanced dialogue between slum and informal settlement communities and local governments. Many city governments do not have the data necessary for inclusive city planning and slum communities are viewed as a burden to the city and a problem to be controlled and regulated. KYC data on informal settlements fills this gap and enables informed dialogue on inclusive policy and practice. Starting with the demarcation and mapping of slum and informal settlement neighborhoods in the city, slum dwellers set about settlement profiling and self-enumeration. The information is housed in a data system shared by city governments and slum dwellers, and has the potential to transform dysfunctional systems of urban planning and management.

The co-production of data and information advances recognition of informal settlement dwellers—often considered illegal or nonexistent by authorities—and reinforces their right to the city by quite literally putting them on the map. Such recognition fosters a sense of belonging among communities, confers pride and dignity, and sets the stage for dialogue and partnership. For any dialogue and collaboration to be successful, both parties must know each other and the essential facts of their shared space, and be able to enter the conversation as equals.

Two important factors have made the KYC campaign collaboration possible: first, SDI's emergence as a global constituency of organized urban poor communities with a proven capacity to develop and implement innovative, bottom-up strategies in concert with formal-sector responses to the challenges faced by cities; and, second, the essential commitment of enlightened local government officials and officers to demonstrate a more inclusive and participatory approach to city planning and management.

In 2016, following successful pilots in Lusaka and Ougadougou, SDI and UCLG-Africa concluded an agreement to expand the Know Your City concept into a Know Your City campaign. Endorsed by Cities Alliance, the campaign is based on protocols co-developed by SDI and UCLG-Africa. The protocols, summarized below, guide the key phases of the campaign.

The key steps in the Know Your City Campaign are:

- Expressions of interest: The city government or organized community forwards expressions of interest to a team of evaluators comprised of city mayors and leaders of organizations of the urban poor.
- A readiness assessment is carried out by SDI and UCLG-Africa with the support of Cities Alliance before the campaign is officially sanctioned.
- Teams are formed comprising the relevant city government line departments and slum community representatives.
- The campaign is launched with a public event providing a platform for all stakeholders to pledge their commitment.
- The actual profiling and mapping is undertaken in all settlements, led by slum communities.
- Data management: Representatives of all stakeholders, especially local authorities and communities, are trained in digital data management, and a Know Your City data management center is set up at the municipal offices.
- Data dissemination: Data is held by communities, local government, UCLG-Africa, and SDI. Data is analyzed, and reports are produced and disseminated.
- Settlement-level and municipal-level forums are convened for the verification of information and its dissemination back to the communities, and to provide input into city development plans.
- A City Fund may be considered to resource the proposed city developments emerging from the campaign.
- A city-wide federation or network is formed from the grassroots collectives that are activated or identified through the campaign process.
- Peer-to-peer exchanges with national associations of local governments and national federations of slum dwellers are facilitated, as well as participation in strategic global advocacy events that further expand and highlight the value of the KYC campaign.

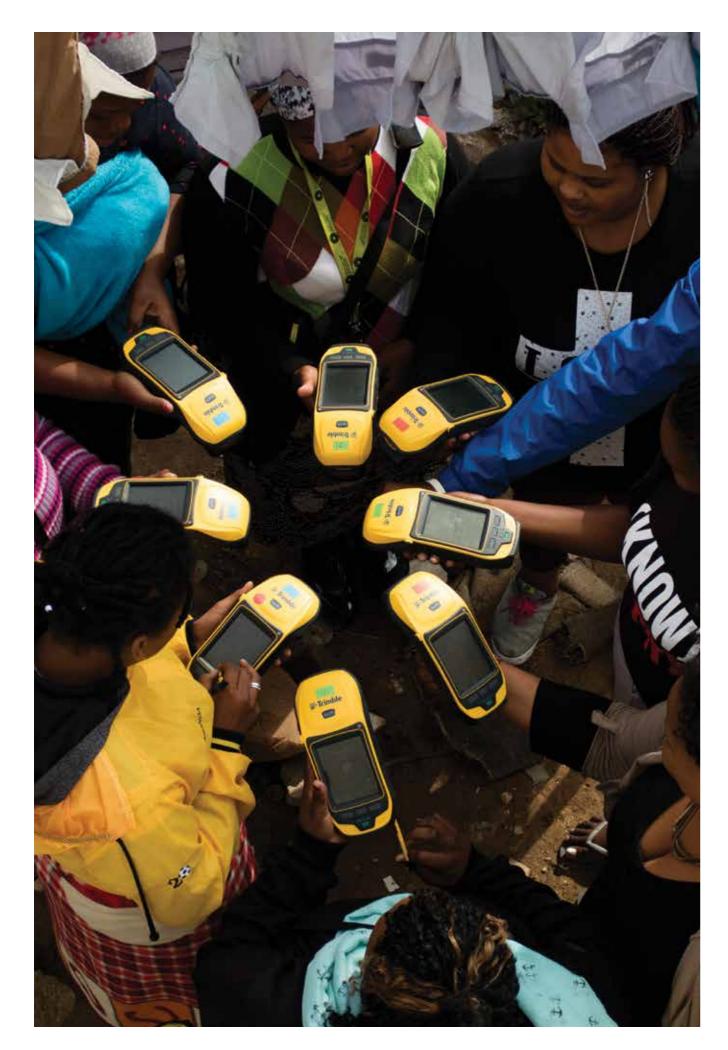
The design of these campaigns captures the way in which SDI and UCLG-Africa have significantly widened and expanded the Know Your City concept. Know Your City is no longer only a database in which all SDI's community mapping and profile data is housed. It is a powerful campaign that enables dialogue, collaboration, and the use of rich community data to inform inclusive policies, practices, and investments. Achievements to date indicate that functional relationships between these two most critical role-players set the preconditions for sustainable and secure cities in which all citizens can live safe and productive lives.

Beyond Africa, many other federations in the SDI network have taken up the Know Your City initiative and have built partnerships with their city governments through data collection. As a result, the Know Your City website now houses detailed profile data and survey maps for over 100 cities in Africa, Asia, and Latin America.

The Know Your City campaign makes a commitment to being pro-poor and offers a challenge to the "smart cities" concept, which tends to place a major emphasis on the use of high-tech and big data to guide choices in the planning and management of cities. By contrast, a Know Your City campaign emphasizes the collaboration of organized communities and local authorities as the cornerstone of planning for inclusive and resilient cities. KYC offers a strategy for harnessing data that is deeply rooted in local knowledge and context, to guide decisions to make cities safe, secure, livable, and attractive to all.



Above: Making cities inclusive, Old



Producing and Aggregating Local Knowledge

Luis M.A. Bettencourt, Anni Beukes, and José Lobo

The power of the SDI network is predicated on the strength of collective action. The power of knowledge is predicated on its scope, quality, and credibility. At the close of 2017, SDI-affiliated slum dweller organizations had profiled 103 cities covering 1,238 settlements.

Settlement profiling is a process driven by the community for the community. It was designed by slum dweller communities to organize and empower themselves through knowledge. The process of profiling their settlement together fosters social cohesion, contributes to constructive conflict resolution and consensus building, and lays the foundation of a social infrastructure that supports long-term planning and implementation of development projects.

Over the past decade, SDI has recognized the power of aggregating local data. While the aggregated data conventionally used for city planning uses samples and averages of data from formal and informal areas, KYC takes detailed information on informal settlements and aggregates this to generate a unique global database on informal settlements.

After the initial success of data aggregation at city, metro, and country levels—the Nairobi Slum Profiles in Kenya, the Ekurhuleni Profiles in South Africa, and the Community Land Information Program (CLIP) in Namibia—SDI federations set out on an ambitious path to map all of the cities in which they had a presence, settlement by settlement. By aggregating their settlement profiles at the city level, federations could: 1) demonstrate their capacity to collect data at scale; and 2) harness the power of aggregated data to negotiate at settlement and city level with their local government. This would contribute to better and more effective planning with their local governments and better serve an international agenda for inclusive cities.

A central objective of profiling is that members of the community discuss and identify their most pressing problems, agree on priorities, listen to one another (women may experience different problems than men; the young may see things differently than the old), and harmonize the many voices that are heard. By means of a

general survey, a settlement profile collects the baseline data of a settlement, including information related to demographics, shelter, access to basic services, and community development priorities. This is often followed by a household enumeration, during which a door-to-door, household-by-household census is conducted.

KYC is a scalable data system and a common platform that will improve over time through the contributions of many different communities, stakeholders, and partner organizations. It will drive the accumulation of knowledge, which in turn will inform policy solutions and action at local, city, national, and international levels.

Data Quality, Completeness, and Verifiability

Efforts to improve the collection of data about informal settlements initially focused on issues of data quality, completeness, and verifiability. The intention was, and remains, to use data to document and tell powerful stories about communities' needs and aspirations, stories that can guide policymaking at local, city, national, and international levels. "Hard Data and Rich Stories" is the way SDI describes it.

Changes and innovations to the KYC data system follow a careful path of evolution. To avoid community processes being tool–driven, technology is used carefully as an enhancer and facilitator of human practices that were slow, burdensome, and prone to error or omission. Throughout these processes, technology (cell phones, portable GPS devices, aerial and remote photography, and mapping) is introduced incrementally to complement and facilitate the community process.

As the KYC data system moved through cycles of development and testing, valuable lessons emerged about managing and mediating the inevitable clash of perspectives among diverse stakeholders hoping to use community data. The values that underpin KYC are the core of its effective and transformative potential:

• By and for the community: Informal settlement profiles must be conducted in the interest of local communities, and must be carried out by the community for the community. Only then can local knowledge capture people's priorities.

Left: Youth mapping their settlement with GPS devices in Cape Town, South Africa

- Accurate, comprehensive, and verifiable: Data collected must be accurate, comprehensive, and verifiable by third parties.
- Comparable: Data collections must document comparable human-centric problems across settlements so that analysis and assessments at the city, national, regional, and international levels become possible. Currently, data collections document the size (population, area, dwellings) and location of a settlement, its leadership structure, residents' land tenure status, and the community's priorities, as well as creating a detailed record of available physical, economic, and social services, with attention paid to access (public, private) and cost (money and time).
- Accessible, transparent: Data and information about each local community is archived in a shared online platform, accessible in principle to any stakeholder. Data collection was designed in such a way as to allow transparent peer-to-peer comparison between data collections in different settlements. One goal was to facilitate data quality improvements and augmentations from any place of origin to the entire network. The Know Your City website is the visible face of the KYC data platform.

KYC is continuously growing in scope and quality, while at the same time maintaining a staunch commitment to keep mapping and urban planning tools in the hands of community members. Profile questionnaires have been standardized and rigorously tested on multiple platforms; geo-referencing is mandatory; means of verification are embedded in the data collection tools and community protocols; standard questionnaires can be modified to accommodate different contexts, shocks, and stresses such as natural disasters, flooding, typhoons, and earthquakes; and slum dwellers, especially women and youth, are vigorously trained through "learning-by-doing" approaches in the art of digital data collection and management.

Looking Ahead

As quality assurance improvements are standardized, higher-level uses of the data have come into focus. Community data collection needs to be explicitly future-oriented, and it must enable rapid design of solutions to problems that recur almost everywhere. Specifically, we see three main areas for future expansion and improvement in the scope and power of these data collections:

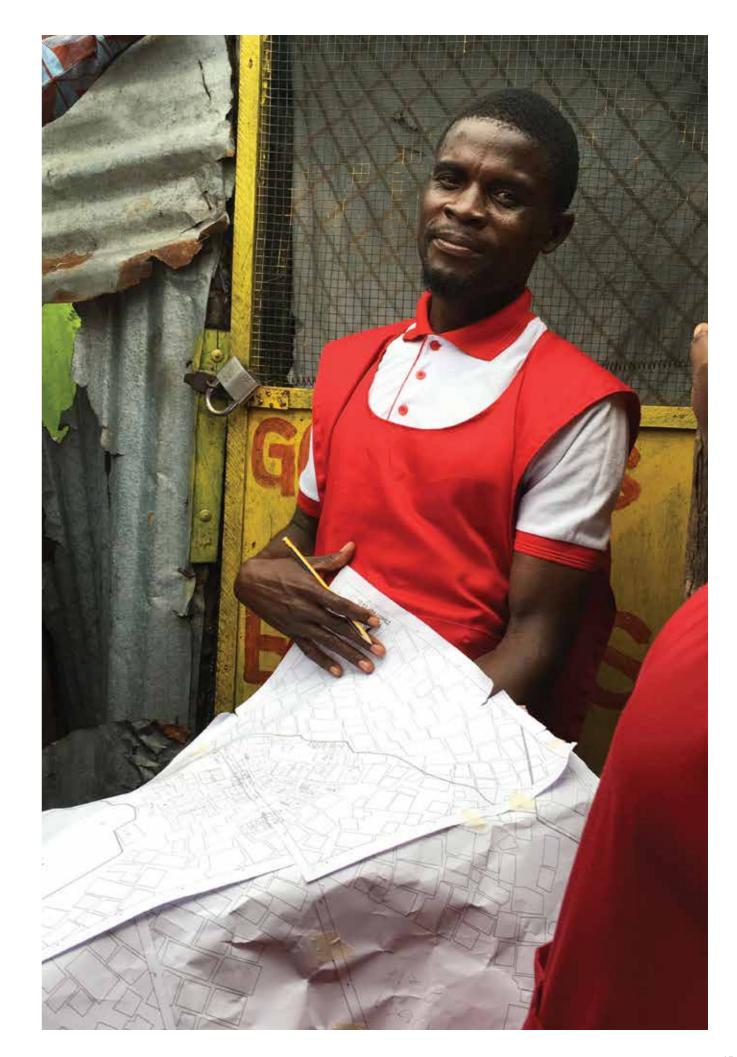
An evolving toolkit for space-time mapping: Thanks to the democratization of mapping tools, documenting issues and analyzing data in rich and verifiable ways is now much easier than even just a few years ago. These tools are being deployed at a variety of scales in the profiling, enumeration, and mapping of neighborhoods as part of KYC. SDI and its partners have digitized maps showing every house, every street and public space, and every service point (and its condition). The maps are layered with socioeconomic and demographic data, stories and micro-narratives from community members, and visual media produced by slum dweller youth as part of KYC TV. The advent of new automatic tools from remote and aerial imagery—for example, the use of aerial drones and other new information technologies, especially as developed by for-profit companies—requires creative thinking to ensure these serve civic purposes.

Solving coordination problems in urban planning: Any lasting solution for the condition of informal settlements requires the coordination of information and action among stakeholders. This may be as simple as a systematic improvement in services, including joint status monitoring by communities and city agencies; or it may include systematic neighborhood upgrading, which requires building streets and infrastructure and upgrading or moving houses and other existing structures. These solutions are all predicated on solving a complex "coordination problem." The interests of different individuals, communities, and organizations need to be explicitly identified, articulated, and aligned in any proposed solution or policy. More detailed spatial profiling can place these stakeholders literally "on the same map." Such profiling in turn can be manipulated to display upgrading solutions such as changes in the built environment and the functioning of services. Using settlement profiles to solve multi-stakeholder coordination problems will generate better urban planning solutions, create trust among participants, and contribute to the development of improving civic institutions.

Real-time reporting for participatory citizenship:

Community data collection is not merely a source of input into policy-making and neighborhood upgrading. Since SDI's founding, data gathering has been part of the struggle to gain recognition, exercise participatory citizenship, and improve the lives of slum dwellers. Communities of the urban poor everywhere are demanding engagement. This requires governments, NGOs, and international organizations to collaborate with increasingly empowered and informed communities in jointly devising solutions. The technology now exists to make data collection and the sharing and discussion of citizen input fast and reliable from 311 and 911 help lines in many developed cities to community profiling done with cell phones and tablets in informal settlements throughout the Global South. What is required is a fundamental rethinking of how community data can inform and lead to fairer and more effective actions that ensure that even the poorest neighborhoods in the world participate in, and benefit from, urban development.

> Right: A federation member mapping his settlement in Monrovia, Liberia





Left: Valenzuela City, Manila

"Knowing your city is like a treasure."

Janet Castillo, Homeless People's Federation of the Philippines

Hard Data, Rich Stories

SDI Federations

At the close of 2017, SDI-affiliated slum dweller communities had profiled 103 cities covering 1,238 settlements as part of the Know Your City campaign. In the cities listed below, organized slum dwellers have produced *hard data* to anchor constructive dialogue with local government and action aimed at leaving no one behind.

KYC is not just about data collection, sharing, and management. It is a participatory, pro-poor, peoplecentered approach to urban governance that rests upon a bedrock of community organizing in slum settlements.

KYC Campaign: City and Settlement Profiles

REGIONAL HUB	COUNTRY	CITY PROFILES	SETTLEMENT PROFILES
Asia	India	1	42
	Philippines	6	59
	Indonesia	1	22
Southern Africa	Botswana	1	1
	Malawi	5	60
	Namibia	27	72
	South Africa	2	115
	Swaziland	1	1
	Zimbabwe	8	39
	Zambia	1	15
East Africa	Kenya	14	268
	Tanzania	4	250
	Uganda	13	117
West Africa	Ghana	12	71
	Liberia	1	11
	Nigeria	2	57
	Sierra Leone	3	34
	Togo	1	4
		103 City Profiles	1,238 Settlement Profile



What does it actually mean to live in a slum? What is it about the slum that makes it such a stubborn development challenge? Information is power, and Know Your City TV (KYC TV) puts the power of storytelling into the hands of slum youth. With these *rich stories*, KYC TV starts conversations about the transformation of slums and cities. Check out our YouTube channel: Know Your City TV.

Right: Federation members in Malawi participate in a slum mapping exercise

Below: Images of and by KYC TV youth





















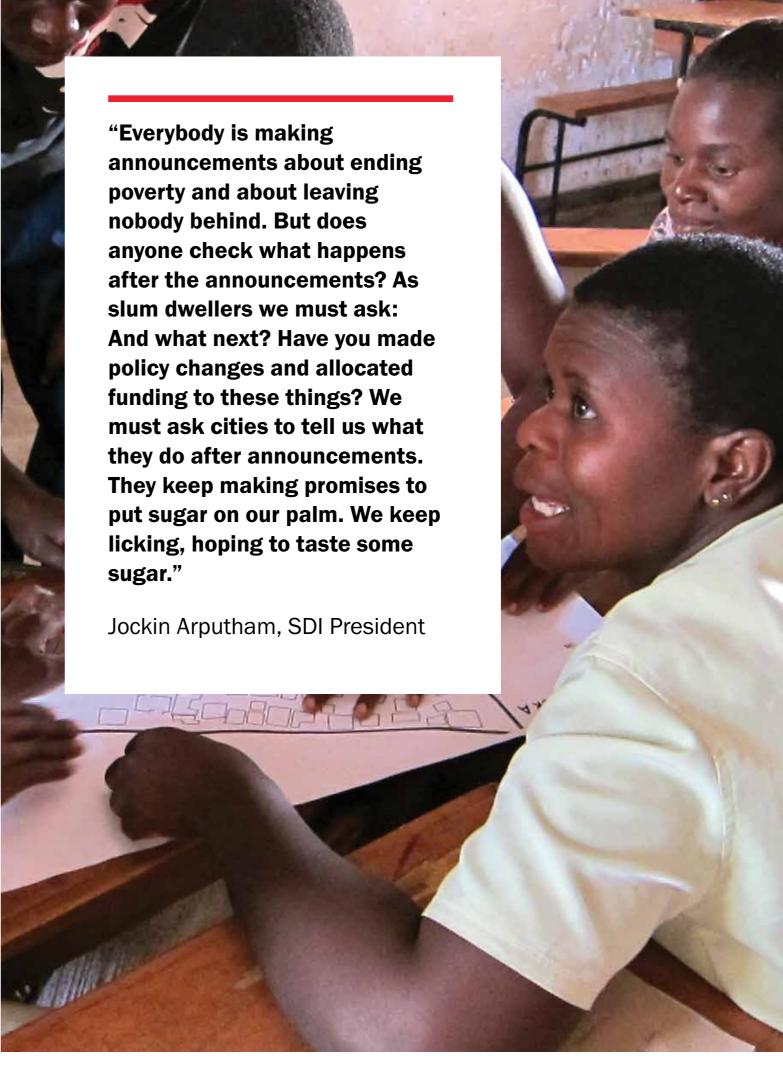












The Cities We Create Depend on the Choices We Make: Lagos

Megan Chapman and Andrew Maki

The year 2017 witnessed two very different approaches to urban informal settlements in one city—Lagos, Nigeria. The largest city in Africa, Lagos epitomizes the tension between tremendous economic potential and the overwhelming urban planning challenges posed by massive growth and rapid urbanization.

Within the space of a few months, one agency of the Lagos State Government carried out a massive forced eviction of over 30,000 residents of the Otodo Gbame community, an ancestral fishing settlement on the shores of the Lagos Lagoon. The eviction destroyed many hundreds of thousands of dollars' worth of property, rendered tens of thousands homeless, and resulted in at least 11 deaths from drowning and gunshots. Evicted residents were literally chased off valuable urban real estate in the upscale Lekki area of Lagos and into wooden fishing boats in the lagoon. They fled by the thousands to no fewer than 16 other informal settlements on the waterfront, where most are still homeless and living in deep poverty. The seized land is meanwhile being rapidly developed into yet another luxury real estate venture, which will likely sit half vacant while the city's enormous affordable housing deficit grows wider and informal settlements multiply to fill the gap.

During the same year, another agency of the Lagos State Government was—for the first time in the city's history—opening up dialogue with residents of dozens of informal urban settlements organized under the auspices of the Nigerian Slum/Informal Settlement Federation, with a view toward partnership in gathering community-led data and planning toward holistic in situ community upgrading. A peer-to-peer exchange for Nigerian slum community and government representatives to Nairobi, hosted by their Kenyan slum federation and government counterparts, provided an opportunity to see viable eviction alternatives forged by communitygovernment partnership. As a result, the Lagos State Urban Renewal Agency (LASURA) and the SDI-affiliated slum dweller federation started the process of building the mutual understanding and trust that are essential to reversing a history of violent evictions and demonstrating alternatives for inclusively transforming the city.

These starkly different strategies for urban development and the choices they represent reveal the potential for Lagos to be a city of large-scale tragedy or large-scale opportunity.

The Cost of Eviction

The human and development costs of evictions are enormous. For evicted households, the results include homelessness; loss of livelihood; negative health consequences, even death; separation of family and loss of social support systems; interruption of education; and overall worsened living conditions.

These consequences are not limited to the immediate term but have lasting effects on urban poor households. Research conducted among victims of the February 2013 forced eviction in Badia East—another Lagos informal settlement—showed that 2.5 years after the forced evictions, over a third were still homeless, and over 80 percent were living in shelters worse than the homes they inhabited prior to the demolition. More than half were separated from family, and a third of children had been unable to resume schooling. Virtually all described their incomes and access to work as worse or much worse.¹ Similar findings are reported on the long–term impact of the forced evictions of the Njemanze and Abonnema Wharf communities in Port Harcourt, Nigeria.

Nothing leaves people behind as evictions do. Forced evictions are a betrayal of the SDGs we signed up for. A large-scale eviction affecting tens of thousands of urban poor residents undermines progress toward achieving the Sustainable Development Goals (SDGs) on poverty, health, education, access to basic services, and sustainable urban development.

Government officials routinely try to justify large-scale forced eviction on the grounds that such displacement will improve city security, sanitation, and the environment and will enable implementation of a master plan. But evicted communities do not disappear from the city; rather, the population forcibly displaced from one location simply moves to or creates a new informal settlement and does so with far fewer assets. Far from creating a more secure city, such mass displacement leaves affected populations desperate and erodes trust in government and law enforcement. In short, the city's resilience is massively reduced.

Win-Win Alternatives: Learning from Other Federations

As the Nigeria federation and its partners seek and develop win-win eviction alternatives, they do so in solidarity with their peers from the SDI network. In cities across the globe, the experience of mass forced eviction and the manifold negative consequences of such evictions gave rise to these slum dweller movements. Organized communities have leveraged grassroots knowledge and the capacity to change urban policy and practice while developing strategies to protect and improve settlements. Over decades, in response to and in dialogue with these movements, city governments have found ways of working with the urban poor to craft win-win alternatives to eviction with improved outcomes for communities and the city as a whole.

Looking across countries, workable alternatives to eviction can be driven by innovations in policy, practice, and finance. Policy-driven alternatives are those that grow out of policy innovations that unlock investment in in situ slum upgrading. In some countries this has been achieved through innovations in land titling to enable the urban poor to secure tenure and, consequently, invest more in their housing and community infrastructure. Other policy innovations target the private sector, incentivizing investment in housing and infrastructure for the urban poor. For instance, in India, policymakers, in consultation with the SDI-affiliated slum dweller movement, designed a Transferred Development Rights (TDR) scheme by which developers could obtain the right to build high-end housing with augmented density in exchange for building free housing for the urban poor.2

Innovations in practice involve partnership between governments and organized communities to directly upgrade or resettle informal settlements, at times with participation by global development partners. Examples include the large-scale railway resettlement programs in India and Kenya, in which SDI-affiliated slum dweller federations led enumerations of people living within railway line setbacks and then worked with the government to plan, organize, and implement resettlement programs. In India, strong partnership and highly organized communities enabled the resettlement of 60,000 in just one year. In Kenya, nearly 10,000 have already been resettled in situ and the program is ongoing. Housing units were constructed on the same land after clearing the 20 meters closest to the rail line through consolidation of households into three-story housing in the remaining 10 meters.

Even where third-party financing may not be available for rapid and large-scale resettlement, organized communities

working in partnership with government may still plan for and implement community-led upgrading. An example is in Kambi Moto community in Nairobi, where the SDI-affiliated savings groups in the community negotiated a Memorandum of Understanding with the government. The government agreed to transfer land title to the community in exchange for a land readjustment and upgrading plan whereby residents

² This scheme was enacted in the Slum Rehabilitation Act (1996–97), Maharashtra State, India. Once it was enacted, the slum dweller movement led efforts by communities and NGOs to access the market subsidy and build demonstration projects.

Below: A woman protests against forced evictions in Lagos, Nigeria. Photo credit: Omoregie Osakpolor



¹ Natalie Bugalski, "An Evaluation of the Inspection Panel's Early Solutions Pilot in Lagos, Nigeria" (SOMO & IDI, 2016), pp. 42-43.

used their savings and SDI-supported soft loans to build improved housing, going vertical to make more efficient use of the land and making available a plot for a government building. The layout and process are continuously being improved and have been replicated in other Nairobi slums.

Innovations in finance, as well as in policy and practice, are essential to unlock slum dwellers' capacity to invest in the upgrading of their own communities. To this end, SDI-affiliated slum dweller movements across the world have been working with city governments to establish and grow Urban Poor Funds. Such funds pool capital from their members and third-party sources to finance investments in land, housing, and related projects. An example is the community-managed uTshani Fund, established in 1995 by the South African SDI affiliate with an initial USD 2.7 million pledge from the Minister of Housing. The uTshani Fund uses donated capital to pre-finance innovative community-based housing design and delivery through bridge loans, which revolve back into supporting new projects. To date, the fund has used its initial grant capital to secure land and build over 13,000 houses.

Trust and Partnership: A Foundation for New Solutions

In each of the successful examples of alternatives to eviction given above, a key to crafting workable innovations in policy, practice, and finance is strong partnership between organized communities and government. Against a history of evictions, it may take time to build trust and mutual understanding to enable such partnership, but the sustainable outcomes—upgrading slums and delivering affordable housing for the urban poor without recourse to evictions—are better for communities and for the city. This is the process that LASURA and the Lagos chapter of the Nigerian Slum/Informal Settlement Federation have embarked on, following in the footsteps of other SDI-affiliated movements and their government partners around the globe.

The Lagos chapter of the federation comprises hundreds of savings groups in over 80 settlements across the megacity; of these, the federation has identified three settlements with the strongest savings groups and highest level of contributions to the Nigerian Urban Poor Fund as priorities for upgrading in partnership with LASURA. During the initial phase, the federation has led household-level enumerations in two of the priority communities, with LASURA's research department joining the fieldwork so that they can understand the process and help validate the data, which will be essential for planning. The federation has also convened a series of large town hall meetings in which community members engage directly with LASURA around upgrading priorities and data-based planning.

While building the foundation for partnership, dialogue is beginning on how best to drive eviction alternatives on a megacity scale: Should this start incrementally? Should it involve a development partner? Are policy changes needed to unlock investment? What is the role of private developers? How can communities remain in the driver's seat if private developers are involved? What is the best way to overcome the legacy of evictions and avoid the pitfalls of the past?

One thing is for certain: as this partnership takes shape, it will not only make history in Lagos, but it has the potential to tap into the innovative and entrepreneurial spirit of Nigerian slum dwellers to develop new approaches to eviction alternatives. It will simultaneously pose and answer the most pertinent question of all: What happens once an eviction has been prevented?

Below: KYC Nigeria in action



Would We Know Scale If She Walked By? Revolutionary Planning in Mukuru, Nairobi

Jack Makau and Jane Weru

Oh, I see her hand reaching out to me
Only she can set me free
Have you seen her
Tell me have you seen her
"Have You Seen Her"
The Chi-Lites, 1971

Muungano wa Wanavijiji is a slum dweller movement that emerged in Nairobi in the 1990s as a response to widespread informal settlement evictions. It federated to the global SDI network in 2001, and in 2003, Muungano built its first slum upgrading houses. These were 34 single-room units, each occupying a footprint of 16 square meters, which matched the size of existing informal structures. Each unit cost an affordable \$1,000, and the owners could incrementally build them upward into two-bedroom apartments to increase living space. There was a sense that a milestone had been achieved in the search for affordable and *in situ* slum upgrading. Yet one question lingered: Have we cracked it—is this the solution for Kenya's 5 million slum residents? A decade and 10,000 homes later, the questions around achieving scale persist.

On August 11, 2017, the Kenya government's official journal, the *Kenya Gazette*, published notice number 7654 declaring an area of 550 acres (the area occupied by Mukuru slums) to be a Special Planning Area (SPA). Issued by the Nairobi City County Government, it announced the county's intention to "initiate a participatory process to develop a physical development plan." The Mukuru slums are home to 100,000 households and businesses. Contestation over land ownership, consolidation of informal ways of delivering basic services like water, sanitation, and electricity, as well as entrenched informal systems of education and health care make the planning of Mukuru a much larger and more complex undertaking than has been attempted before by the federation or city.

Notice 7654 begins to answer the dogged question: What does scale look like? The treatment of the Mukuru SPA was significant, as it deviated from the country's conventional approach to slum upgrading. In most cases, Kenyan slum interventions are driven by international development agencies that then draw in city governments. Such interventions are governed by a Memorandum of Understanding or by other bilateral agreements. In contrast, the Mukuru SPA is a project of the Nairobi city

government. Notice 7654 makes the SPA a statutory obligation of the city. The notice makes no reference to the word "slum" or any of its euphemisms. It also does not mention Muungano or any of the other proponents of the program. The SPA's key goal is to develop a plan that is incorporated into the city's own 20-year vision instrument, the City Integrated Development Plan. Muungano is confident this arrangement has the potential to create the critical institutional infrastructure required to achieve inclusive slum upgrading at scale in Nairobi.

Bold New Partnerships

The planning process, which will run up to August 2019, does more than provide a legal basis to a slum upgrade. According to the county, "The approach to the Special Planning Area intervention in Mukuru is conceptually a reconfiguration of the planning process." A key aspect of the evolved approach is that it goes beyond the planning department of the county government to incorporate all departments of the county, as well as multidisciplinary consortia of non-state actors.

At the end of 2017, 37 organizations had signed up to participate in the development of the plan. One of the generally agreed-upon principles among the participating organizations is that the SPA is strengthened by pooling different types of resources from multiple sources toward a common goal. The participation of these organizations in the planning has been largely self-financed. Muungano is to provide community organization and community-focused financing. It plays a key role in what has been called the Coordination, Community Organization, and Communication consortium. This group, discussed in greater depth below, seeks to ensure that every technical consortium has meaningful engagement with the community and, in turn, that community voices remain at the forefront of the planning process.

The diversity of participating organizations is another piece of the scale puzzle. Civil society and development organizations are well represented. In addition to Muungano was Wanavijiji and its professional support organizations Akiba Mashinani Trust (AMT) and SDI Kenya, Caritas Switzerland leads a consortium to develop the water, sanitation, and energy plan, while Stockholm Environment Institute leads the environment consortium.

Academia is also prominently represented, with the Strathmore University Business School leading the finance consortium; the University of Nairobi leading the housing, commerce, and infrastructure consortium; and the University of California, Berkeley, participating in three consortia (housing, environment, and health services).

A distinct difference between Kenya's previous slum upgrading experience and the Mukuru process is the involvement of private sector firms. Ordinarily, private sector corporate social responsibility schemes make sizable charitable contributions to development efforts such as children's homes and other charity projects. In Mukuru, the Kenya Medical Association, a health professional body, leads the consortium that will develop the health services plan. The consortium of land and legal issues has the support of New York–based global firm Sullivan & Cromwell LLC and one of Kenya's top legal firms, Pandya & Poonawala Advocates.

Making the Case for Slum Upgrading: Unlocking the Poverty Penalty

Boy, nothin' in life is free That's why I'm askin' you what can you do for me I've got responsibilities...

So I'm lookin' for a man whose got money in his hands 'Cause nothin' from nothin' leaves nothin' You got to have somethin' if you wanna be with me Oh, life is too serious, love's too mysterious A fly girl like me needs security

"Ain't Nothing Going On but the Rent" Gwen Guthrie, 1986

A lot of slum improvement has been supported by philanthropy. Despite evidence that slum improvement has multiple long-term benefits to the city, the business case for these ventures has not yet been made. The idea of more immediate returns on slum investment, the kind that mayors use on the campaign trail, remains elusive. This makes for a less than attractive proposition for city managers, who are often resource-strained. Part of the impetus for Nairobi to commit to Mukuru upgrading was the possibility of a measurable short-term return on investment.

Research supported by the International Development Research Center (IDRC) between 2013 and 2018 and undertaken by a consortium consisting of Strathmore University, Katiba Institute, the University of Nairobi, the University of California, Berkeley, and Muungano established that there is a penalty exerted on the residents of Mukuru. The city's poorest pay far more for lower-quality water, sanitation, and electricity than households in the city's formal neighborhoods.

Households in Mukuru pay 45 percent to 142 percent more than the formal electricity tariff when connected to informal connections. The penalty on water provision is especially high, as residents can only access small amounts of very low-quality water, at a cost that is 172

percent more per cubic meter than the water utility tariff. The only toilet option for 30 percent or more of Mukuru's population is a pay-per-use facility outside their homes.

Based on a conservative basket of services (electricity, water, toilet access, and rent), Mukuru's annual economy is estimated at USD \$70 million, much of which ends up in the hands of informal service providers. The methods used to connect "informally" often result in significant spillage of service cost. So while the poverty penalty presents a challenge, it also demonstrates the latent capacity of communities to afford services, invest in their communities, and perhaps make contributions to housing improvement.

Where Is the Community?

Sam Cooke, 1964

I was born by the river
In a little tent
And just like the river I've been running
Ever since
It's been a long time coming
But I know a change is gonna come, oh yes it will.
"A Change Is Gonna Come"

Perhaps one of the bigger challenges in achieving scale is how to ensure that the people whose homes and settlements will be most affected continue to be central to decision making as the process becomes increasingly technical and complex. Can the quality of the second continue to the second conti

central to decision making as the process becomes increasingly technical and complex. Can the quality of the community's involvement remain high as the program expands to the city-scale? And what does that look like?

The SPA has developed seven thematic and technical consortia. These consortia attract and engage the services of professionals and specialists from organizations with core competencies in project management, financing, planning, and architecture—specialty skills needed for the scale of SPA planning and implementation.

Muungano plays a lead role in an eighth consortium, known as the Coordination, Community Organization, and Communication Consortium. This reflects Muungano's core mandate for community organizing and pro-poor finance. It also recognizes Muungano's ability to draw upon the SDI network for support. This serves the dual benefit of bringing SDI expertise to the project and sharing vital lessons from Mukuru throughout the SDI network.

A core consideration for Muungano in this process is how to apply SDI's distinctive approach to community organizing, sometimes referred to by federations as "SDI rituals." What are these rituals and associated tools, and how have they manifested in Kenya?

- First, Muungano invests in establishing women-led community savings groups to drive community organizing, learning and gendered approaches to upgrading.
- Second, SDI's Know Your City campaign, which seeks to create city-wide slum profiles, has been Muungano's key tool for framing the slum transformation agenda in Kenyan cities.

Right: Federation member from Mukuru, Nairobi

- Third, household level slum enumerations, carried out by the savings groups, have been the basis of consensus-building within slums and have provided vital data to design interventions.
- Fourth, Muungano's project financing models have been based on community savings groups that have leveraged resources, often city or state resources, sometimes at ratios as high as 1:50 (converting community savings to development finance).

Muungano's experience shows how the enigmatic pull of scale affects the rituals that have proven to be so effective for SDI over the years. It is exploring ways for these to evolve and accommodate the city government and sensitivities of a broader range of partners. Take, for example, the strategy of women-led community savings groups, very much the holy grail of SDI. In Kenya, this ritual has been adapted over the years to suit local context. Muungano is working to grow the number of savings groups in Mukuru from 53 in 2016 to 330 by the end of the SPA planning process in 2019.

The savings groups will act as catalysts for the establishment of the Neighborhood Associations, which the 2012 Constitution and various County Planning Acts have authorized to support public participation and civic engagement. Muungano's intention is for these womenled savings collectives to imbue the Neighborhood Associations with qualities of horizontal accountability, peer-to-peer support, gendered development strategies, and the vivacious energy that characterizes federations in the SDI network. The savings schemes will also play the dedicated and critically important role of building the financial capacity of individual households to participate in the implementation of the Mukuru plan. The Neighborhood Associations, dubbed Leave No One Behind, will organize each community into household units of ten families. This is intended to ensure complete representation in the SPA planning process of all residents. In this regard, Muungano has effectively applied SDI rituals—designed to be flexible—to the demands of scale and the context in which they operate.

The New Narrative of Interconnectedness

The exploration of achieving scale has led not only to the evolution of Muungano's practice but to the creation of a whole new narrative among city stakeholders. Essentially, the narrative has shifted from one in which slum improvement is a matter for slum dwellers alone. Instead, it is a challenge for the whole city and one that requires the city, in the broadest sense of the word, to unpack and resolve barriers to inclusive development. Perhaps nothing demonstrates the interconnectedness of the formal and informal city and the rich and poor more starkly than the real-life example of Kenya's Cabinet Secretary for Finance contracting cholera in 2017 at the very same time that reports emerged of an outbreak of the disease in the slums of Mukuru and Kibera. The SPA represents a multidisciplinary and multi-sectoral approach to what were previously regarded as challenges exclusive to the slums and those who had to live in them.

The approach is significant because it produces new ways of understanding these challenges and a new set of innovations toward resolving them. Social, political, and economic resources are vested in different sectors—state, civil society, the private sector, and the community—and each should use its reach and influence, individually and collectively, in order to resolve challenges of the city as a whole, not just the challenges of its growing number of citizens who are locked spatially into areas known as slums.

The SPA has used research, including community collected and analyzed data, to begin to frame the problem of slums in a new way: a way that says, "together we can." Together we can mobilize resources and start to blend these resources for greater impact. Together we can take advantage of the political opportunities that exist, such as the new Constitution, the creation of counties, and the willingness of the counties to address the problems of marginalized and excluded groups. Together we can create a city for all.

Below: Mukuru settlement, Nairobi, Kenya



Shifting Investment Decisions Toward Inclusion in Manila and Jakarta

Smruti Jukur, Fleur Henderson, Sheela Patel, and Anne-Marie Rakhorst

City development is increasingly financed through global, national, and local private sector investments. Local and national governments welcome these investments. The public sector rarely has the resources or expertise to undertake large-scale investments to meet urgent needs. Increased private sector funding may be both the cause and the result of declining influence of state institutions, but this has not led to greater inclusion of the urban poor. Slum dwellers find themselves and their neighborhoods just as invisible as before. What is more, the risks of forced eviction and the destruction of neighborhoods and livelihoods are on the rise.

Too many city and national governments either look the other way or are complicit in accepting the negative consequences that too often result from these investments. Though politically elected by the same constituencies that get the short end of the investment stick, they see no other way of bringing in the investments they need. The problem is compounded by the fact that in most cities, the existing legal policies and frameworks deem "squatting" by the urban poor as illegal.

While it is acknowledged that there has to be business in order for urban development to take place, it cannot be business as usual—not if we truly seek inclusive, equitable, and sustainable urban development. Politicians and administrators cannot hide behind nineteenthcentury legal frameworks to address twenty-first-century problems. The private sector cannot abdicate responsibility but must make investments that ensure good governance, inclusion, and scalable solutions that work for all. An organized constituency of the urban poor is a critical precondition for remedying flaws in how development takes place. But how can urban poor social movements play this role when they are forced to concentrate all their time and resources on constantly fighting evictions? The new millennium needs new alliances and new partnerships to break these exclusive and exclusionary practices.

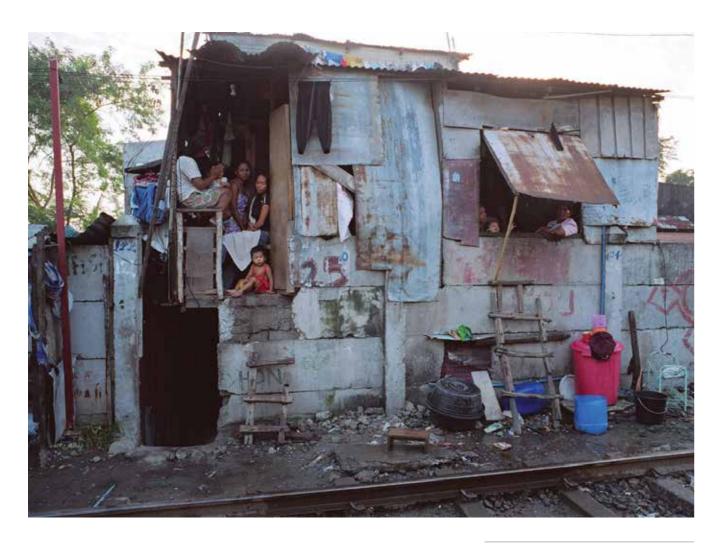
Testing Out New Alliances

This is the story of an emerging strategy that seeks to create the disruption that is needed. It shows how SDI federations have sought to engage large multinational private sector companies, universities, and communities of the urban poor to produce new institutional arrangements

with the express intention of encouraging learning and action on the ground. By creating space for the urban poor around the negotiating table, SDI is creating conditions for the emergence of precedent–setting financial solutions that are inclusive and scalable. In order to ensure that communities do not enter these negotiations emptyhanded, SDI is helping the affected communities organize themselves around the data they collect and manage.

SDI is working with a Dutch-based institution, the Human Cities Coalition (HCC), in two locations in Asia: Manila, in the Philippines, and Jakarta, in Indonesia. HCC is a public-private partnership of organizations from Dutch business, government, NGOs, and academia dedicated to making cities more inclusive and sustainable. The partnership chose to focus on Jakarta and Manila because they are both megacities in a river delta. Such cities face specific challenges for which HCC is well equipped, as some members of the coalition are worldwide leaders in water management and infrastructure. At the same time, Manila and Jakarta are two of the most populous cities in Asia. A significant percentage of the population lives in informal settlements, albeit on a small fraction of land, a considerable portion of which faces severe risks in terms of flooding and waterborne diseases caused by inadequate sanitation and potable water supply.

On the positive side, both cities have governments that have acknowledged the infrastructure deficits that characterize slum areas and are therefore encouraging private interventions to bridge these gaps within a policy and regulatory framework designed and overseen by the state. Both cities have decided to undertake major water infrastructure interventions through a bidding process that places international engineering companies in the frame. These developments will produce investment plans worth trillions of dollars. They are co-financed by private companies with links to the Netherlands as well as local companies and government. HCC and SDI recognize that the current, mainly private sector, financing strategy may further marginalize the poor. There is a strong likelihood that the risks will escalate and will accelerate evictions and forced relocations of coastal slums and those in floodprone areas. There can be no disputing the fact that these investments are urgently needed, but the challenge is how the urban poor will fare as a result. The intended outcome of the HCC/SDI collaboration is to turn this situation around



by designing inclusive bidding and procurement protocols to guide investments. These protocols will demand assessment of the investments' impact on the poor.

An Emerging Strategy

When HCC chose to work in these two locations, its board and the SDI Secretariat developed an intervention strategy. SDI and the Shared Value Foundation (SVF) undertook slum profiles in the metro areas affected by the port plans. In the Philippines, this was facilitated by the Homeless People's Federation of the Philippines Incorporated (HPFPI), an SDI affiliate. In Jakarta, where there is no local SDI affiliate, the profiling was done by an international SDI team comprised of Indian and Filipino federations and support professionals. Data was collected using Know Your City protocols, meaning that once settlements had been identified by SDI and HCC, they were mapped and profiled by community teams. In both cities, with the support of SDI and members of HPFPI, the information was fed back to the communities before being presented by community leaders to city officials.

A singular contribution made by the community-gathered information was not the content alone but the conclusive proof it provided that the government agencies commissioning the planning through their bidding processes had hardly any data about informal settlements. As a result, they did not consider it essential to provide information to the planners or agencies applying. Indeed, the effect of the development on tens of thousands of slum

Above: A family at home in a slum in the Philippines

families went unmentioned. At the same time, the private sector companies themselves did not find it necessary to seek or examine the information that was lacking.

The raw data itself did not produce much that was new. Today, with Google Maps in the public domain, informal settlements are no longer hidden, and the maps clearly show informal structures and settlements to anyone who takes the time and makes the effort to examine them. While open source data portals make a lot of information readily available, they cannot help communities get organized or facilitate their participation in discussions of issues that will affect their lives. The new collaboration with HCC enabled the organized communities to access new data platforms, way beyond (but not excluding) their city government. This has produced new opportunities for communities seeking to advocate against negative change and for inclusive development. At the same time, it has enabled HCC to bring an important but hitherto neglected voice into city development debates.

Long-Term Outcomes

A probable outcome from the HCC/SDI collaboration in Jakarta and Manila may be an all-important mechanism to produce a procurement and bidding protocol for water infrastructure investments and general-area developments.

This would ensure, first, that local communities are involved when planning for the execution of infrastructure projects is undertaken, and, second, that residents' needs and concerns are incorporated so that sustainable solutions are achieved. SDI and HCC can contribute to a future reality in which basic rights such as tenure security and basic services are guaranteed when international companies make investments in water-related infrastructure projects in the Global South. This could produce self-induced industry-wide commitments, backed up with inspections, to ensure that this self-regulation works.

While the details of the agreements would vary from place to place, some important requirements could be universally applied. The clearest examples would be no forced removal; no relocation without prior approval, and only to well-located land; and priority interventions identified through intensive community consultation. Through HCC, these protocols could be applied to Dutch companies seeking work in the Global South. If successful, they would be replicated elsewhere. It is clear that such a process would benefit the HCC and SDI constituencies: potential investors who are looking for suitable projects; and the urban poor, who currently suffer the negative effects of such investments.

Short-Term Outcomes

These larger plans almost always span decades. In the short to medium term, the more immediate needs of the communities become the focus for local action, with a view both to develop solutions that serve residents' basic needs and, more importantly, to undertake these in a way that helps city administrations and other tiers of government address some fundamental issues with regard to land security and access to basic amenities and services. The dialogue, triggered by and revolving around Know Your City—generated data, initially brings to attention the unmet needs of affected communities, leading to exploration of a range of possibilities and the taking up of demonstration projects to test impact, cost, and usefulness.

In the long run, the urban poor produce concepts for upgrading or relocation of settlements and participate in developing spatial designs, house plans, and the prioritization of the kinds of services needed. They also commit to making contributions in cash and in-kind, to the extent they can. At the same time, the city and other centers of government, where possible, allocate budgeted resources and effect the changes in policy that are needed to make participatory planning and development work. The private sector undertakes the production and execution of the project and helps train the communities in future maintenance. The three–way commitment of community, government, and private sector is affirmed in practice, building interdependence and trans-sector accountability.

Priorities will differ from one situation to the next. In Malabon City, in Metro Manila, the diagnostics based on the maps and profiles pointed urgently to lack of access to electricity. While this can be provided by private agencies, it is still largely linked with tenure status: no formal title, no legal connection. This is why SDI and HCC have responded jointly by developing business propositions around community-managed solar energy hubs.

In Penjaringan, in North Jakarta, the diagnostics based on the maps and profiles pointed to lack of access to affordable, safe water and sanitation. Water in Jakarta is largely supplied by private concessions but is generally inaccessible to the poor. Whatever they buy for drinking water purposes costs three to four times what those who live in formal neighborhoods pay and represents 20 percent of their income. A possible solution may be found in business models that look at more effective provision of safe water using existing networks.

SDI's primary role is to ensure that communities are organized and equipped with the knowledge and capacity not only to produce data but to use it in the cut and thrust of negotiations. Interdependence does not necessarily mean shared vision and shared interest. From SDI's perspective, it means a recognition by all stakeholders that the urban poor are sufficiently capitalized socially, politically, and economically to have skin in the game. Partnerships with private sector initiatives like HCC strengthen their position.

SDI encourages all organizations of the urban poor to count in order to be counted. Without information about themselves and without being organized, the poor will remain on the outside looking in. There are many examples in the other papers in this document that demonstrate that community-gathered, owned, and managed data can link the disparate worlds of the slum dweller in a shack and the government official behind a desk. It is also the instrument that triangulates this arrangement, drawing in the private sector player and making sure he does not enter the game with eyes wide shut.



Looking Ahead — Opportunities for Fundamental Change

Joel Bolnick, Robert M. Buckley, Sarah Colenbrander, Achilles Kallergis, Nancy MacPherson, Diana Mitlin, and David Satterthwaite

SDI has been inspired by the vision of socially and economically integrated slum settlements with security of tenure, universal access to affordable basic services, and adequate housing. To that end, SDI has demonstrated over many decades that constructive dialogue, collaborative data gathering, and knowledge sharing among informal settlements, communities, and local government authorities can contribute significantly to inclusive and sustainable urban development. Our societies face mounting global risk, characterized by profound inequality and rising wealth disparities, social instability, disruptive technological advancements, large-scale involuntary migration, and climate change. Many of these challenges are concentrated in cities.

Fundamental changes are needed to:

- shift the approaches to urban development and informal settlements so that the poor are recognized as assets and partners, not problems;
- support the essential partnerships required to deliver inclusive, resilient, and sustainable urban development;
- reimagine data and information systems so they support shared knowledge, trust, and collective action;
- develop innovative instruments and frameworks to monitor and report on poverty that shape more inclusive policies, programs, and investments.

The successful realization of KYC in 103 cities and 1,238 settlements demonstrates the power and potential of an expanded KYC campaign. KYC is capable of reorienting the way that urban planning and development happens. It can guide local governments, national and international policies, and programs and investments at scale. As such, it can contribute significantly to managing the persistent social, economic, and political risks facing cities and nations.

A scaled-up KYC campaign presents opportunities for SDI and partners to transform existing urban development practice and policies by catalyzing new thinking and solutions in: monitoring for local action; advancing urban resilience and inclusion; redefining and managing risk; and securing new finance for the urban poor.

Left: A family at home at Kambi Moto upgraded settlement in Nairobi, Kenya

Monitoring That Enables Local Action

As noted in Rose Molokoane's introduction, there is a need to move from talk to action. KYC has much to offer the SDG and city monitoring processes in moving to achieve inclusive, resilient, and sustainable urban development.

KYC profiling and enumeration processes provide the detailed information needed to reframe issues from a local perspective and identify practical solutions for informal settlements. The central role of slum dwellers in collecting and processing data ensures a focus on the poor and on operational knowledge for local actors working to implement global commitments.

Universal generalized indicators fail to capture the complex and locally specific conditions of slums. They therefore lead to policies and programs that do not respond to the most pressing needs of the urban poor, and can direct investments away from realistic and affordable improvements. Without accurate information and a deeper understanding of the needs and priorities of informal settlements, slum dwellers remain invisible, and efforts to reduce urban poverty and inequality will fail.

KYC fills a crucial gap in efforts to localize global development monitoring agendas in the following ways:

It generates operational local knowledge. A commitment to disaggregated, local data on the most vulnerable populations is essential to ensure we understand the reality of life for the majority of residents living in cities characterized by informality. It is staggering to see the exclusion of slum households and informal settlements in national censuses, household surveys, and other data that form the basis of poverty measures. Through their design, such surveys miss millions of poor individuals, particularly those residing in informal areas. KYC is designed to measure what matters to the urban poor and cities concerned with inclusive development.

KYC offers systematic, rich, contextual information across low-income neighborhoods in cities of the Global South. The information generated through KYC profiling and mapping is operational. It informs local action by clearly showing what the priorities, capacities, and preferences of slum dweller communities are, and how those preferences vary by local context, city, neighborhood, or

even household. This level of detail is necessary to realize pragmatic improvements, set appropriate standards, and create adequate solutions from the urban poor perspective.

It generates collaborative local action. KYC has tremendous potential to develop a shared understanding of local conditions and build the relationships needed for collective action by slum dwellers and local governments. It demonstrates the critical role that community groups play in framing problems, identifying issues, and addressing priorities. The power of KYC extends well beyond the data it produces and is transformative because it serves as a mechanism for communities to use this rich information to broaden understanding and accountability, both in horizontal relations (within a community) and vertically (among communities, the state, local governments, and the private sector).

Concrete examples of KYC's potential are found wherever there are active SDI federations. The impact is strongest where KYC is embedded in national urban policy and programming. In the Cites Alliance–funded Country Programs, for example, the role of community profiling and mapping is a core element recognized by government, local partners, and international support agencies. In Uganda, Ghana, and Liberia in particular, SDI federation profiling data set baselines from which program achievements were measured, informed the development of city development strategies and urban policy, and grounded the identification, by communities, of priority slum upgrading projects funded by municipal Community Upgrading Funds.

To "leave no one behind," we need better tools to measure change in the most vulnerable populations. For those seeking to convert information into action, KYC offers tremendous opportunity for monitoring progress toward global agendas and catalyzing dialogue and action at local, city, and national levels.

Advancing Urban Resilience and Inclusion

Inequality and climate change are two of the defining challenges of the contemporary era. Increasingly, developing cities find themselves at the very heart of these challenges. Over the past decade, the global development community and investors have seen promising results from investments that seek to build the resilient capacity of individuals, communities, and systems, including the most vulnerable. Significant conceptual, technical, and operational advances have been made using a resilience lens to reframe problems, solutions, and investments to respond better to incremental, chronic, and catastrophic shocks and stresses. The KYC campaign has been essential in advancing new ways of analyzing and understanding the role that informal settlements can play in achieving resilient and sustainable cities, reframing problems and solutions, and managing and mitigating risks. As a groundbreaking civic initiative for urban resilience, KYC offers unparalleled insights into the risks facing urban residents, as well as the means to transform relationships within settlements and cities in ways that tackle the driver of vulnerability: exclusion.

While investments in resilient, "smart," sustainable, green, and livable cities have proliferated, many of these initiatives fail to address persistent poverty, exclusion, and lack of opportunity. Instead they often focus on technological fixes to infrastructure while remaining relatively silent on inclusion and equity.

SDI's membership includes some of the most vulnerable populations in the world. These people frequently live in parts of the city that are exposed to hazards—for example, in low-lying coastal areas and floodplains, or on steep slopes. Environmental threats are exacerbated by the absence of risk-reducing infrastructure, such as water supply, sanitation, drains, and durable housing. As a result, slum dwellers bear the brunt of major disasters, while living with a range of everyday hazards that middle-and high-income households are often able to avoid. By proactively engaging with initiatives designed to achieve resilient and sustainable cities, such as 100 Resilient Cities (100RC), and C40, SDI seeks to bring the urban poor to the center of strategy development and implementation.

As part of the 100RC effort, Durban, South Africa developed a city Resilience Strategy that identifies two critical priority areas for resilience building—one of which is, Collaborative Informal Settlement Action. This priority emerged from a highly participatory strategy development process driven by the city. Implementation of the strategy will be informed and monitored by "consolidated quantitative and qualitative communityand municipal-collected data, information and knowledge on all informal settlements [that] is accessible to all and updated regularly." Other 100RC cities are already looking to Durban for lessons on developing strategies that address informality. SDI federations in Accra, Nairobi, Lagos, Paynesville, and Cape Town are strategizing with their city government partners about how the KYC campaign can add value to the formulation and implementation of their resilience strategies. In partnership with the C40 Cities Climate Leadership Group and Inclusive Climate Action Program, SDI seeks to deepen the use of KYC by city mayors to make the case for inclusive climate action

Redefining and Managing Risk

Much needs to be done to translate our understanding of the linkages between risks, human vulnerability, and poverty into robust risk management and investment strategies. Deepening inequality and poverty, compounded by the catastrophic effects of extreme weather events, violence, migration, and discrimination, have catalyzed new efforts to redress inadequate risk management strategies and instruments.

Over decades, SDI has implemented proven approaches to risk reduction through collective power, data, and savings. These strategies reduce everyday risks for urban poor families and help to secure assets, such as their homes. What is seldom taken into account is how these strategies also reduce the risk that voices of the urban poor will be silenced.



Above: Rose Molokoane and federation members from across Africa at Habitat III in 2016

The KYC Campaign brings the power of community data and local Urban Poor Funds together in order to identify and reduce risks for the most vulnerable. This underpins collective efforts to negotiate and deliver community—managed public goods and services (tenure security, water, sanitation, drainage). Investments in these public goods address collectively experienced risks and help to strengthen awareness within the community of the significance of reducing and managing risk.

KYC also provides the basis for building relations that enable organized slum dwellers to challenge adverse political outcomes and reduce the risk of political exclusion. Politicians and officials appreciate the detailed information provided by KYC and recognize the potential of the organizations that produce this data. This makes them more likely to listen to SDI federations. In Namibia, for example, using the relationships enhanced by KYC, the Shack Dwellers Federation of Namibia successfully argued for inclusive upgrading solutions that now have the support of city and provincial government.

In the face of outmoded risk management instruments and strategies, innovators and early adopters in the urban field are experimenting with advancements in insurance products, credit rating systems, pro-poor safeguards in protocols for city investment, and the acquisition of risk-reducing assets through finance and social networks. SDI is also helping public and private partners to rethink the assumptions and processes that underpin decisions about banking systems, basic services, and municipal finance.

Innovation in New Finance for the Urban Poor

The United Nations estimates that it will cost almost USD \$4 trillion a year to achieve the SDGs in developing countries alone, with an annual shortfall of an estimated

USD \$2.5 trillion. A significant portion of this funding is required for critical infrastructure to reduce urban vulnerability, but the share of public funds for these developments is diminishing. This realization, along with the emergence of impact investing and innovative finance, has spurred SDI to explore the potential for the urban poor of new experimental financing mechanisms including resilience bonds, social impact bonds, diaspora bonds, insurance-based instruments, crowd-funding, peer-to-peer lending, and outcome-based contracting.

Lessons from SDI's experience in urban poor finance can help to inform and ground the design and innovation of these and other much-needed new financial strategies and instruments in the realities of informal settlements. The Urban Poor Fund International (UPFI) is a self-governed, self-managed, and expanding financial facility that provides capital to national Urban Poor Funds. These in turn provide low-cost loans and grants to savings collectives undertaking important urban improvement and housing projects. It puts capital directly into the hands of slum dwellers undertaking urban improvement schemes that they have negotiated with local and municipal government. Giving federations direct control of capital enables them to negotiate as an acknowledged potential partner with formal bodies such as governments, investors, and banks. These interventions have been anchored by the same local knowledge and partnerships that guide KYC and have thus produced practical interventions for affordable and scalable finance in support of the urban poor.

Climate-Compatible Informal Settlement Investments

In the face of new environmental threats (such as floods and sea level rise) investments must, to the extent possible, be designed in ways that support low-carbon development. There is far too little work done with respect to informal settlement upgrading in the context of climate change. Particularly among city governments and investors, few appreciate the extent to which good-quality upgrading could build resilience to climate risk. Throughout the SDI network, federations are building housing structures that are better able to withstand storms and floods; installing piped water supplies; making provisions for sanitation and drainage; constructing all-weather roads and paths that are resilient to extreme weather; and creating house and neighborhood designs that help populations cope with heat waves and flooding. In partnership with Global Infrastructure Basel (GIB), SDI seeks to increase investment in climate-friendly infrastructure in informal settlements by producing business cases guided by KYC data and SuRe® Standard sustainability and resilience assessments.

Risk is all about protecting the bottom line. In the case of slum upgrading in an increasingly dangerous environment, the bottom line is to change the political and economic climate. The first step is to recognize that risks associated with leaving millions of people behind will be equally shared, not borne only by those who can least afford to carry them. And to appreciate that including the urban poor in development plans will generate economic, social, and environmental benefits for all residents.

Conclusion

Jockin Arputham, Joel Bolnick, Somsook Boonyabancha, and Sheela Patel

When the police van went up We went down When it came down We went up.

When the police stood We also stood When they sat down We also sat down

When the committee went to negotiate
We went to invade
When they evicted us
We resisted the eviction

Patrick Magebhula "This Is Not a Debate"

The late Patrick Magebhula was the founder, charismatic poet, and president of the South African Federation of the Urban Poor. In many ways Patrick understood, better than most, how organizations of the urban poor could use their capacities to produce disruptive change. Critically, Patrick understood that resistance and conflict were but part of an arsenal of actions that organized communities could use in their struggle for inclusion in city development. These confrontational strategies were never intended to be ends in themselves. They were a means to creating conditions for engagement with other stakeholders, normally the state: entities that otherwise considered the poor either as obstacles to development or beneficiaries of the interventions of others. What is more, these strategies made little contribution to the all-important question mentioned earlier in this report: When evictions are prevented, what happens next?

Patrick coined many of the slogans of the South African Federation, which over time got replicated in other countries. One such slogan was a pointed rephrasing of one of the rallying cries of the South African liberation struggle. "Amandla Ngawethu"—Power to the People—was a chant that stirred the excluded black majority to action and struck fear in the hearts of the apartheid police. "Amandla Ulwazi"—Knowledge Is Power—was Patrick's reconstruction.

Know Your City underscores this message, the inference being that if knowledge is power, then data is political. The value of data serves many purposes that can be described as political. It legitimates representation of the urban poor. It removes the mantle of invisibility that impedes the urban poor in their efforts to contribute to the transformation of their cities. Most important, it gives voice and choice to a significantly substantial majority that live in the shadows of the formal city.

Many individuals, organizations, and institutions worry that shedding light on that which is hidden will produce more evictions, more divisions, and more oppression. SDI disagrees. Democratizing data and making the invisible visible is critical for making development investments work. Not only should the poor collect data that affects them and the city, but they have the right to interpret it as well, within a clearly articulated framework and within accepted standards. What gets aggregated and disaggregated and who creates the framework for how data is used and how it is owned is deeply political. The obsession with big data and the new science of algorithms is a case in point. Seldom has this big data been used to produce goods and services and resource allocations that serve the poor. Data about the poor—about their land insecurity and the huge deficit in amenities that they experience—is rarely the basis for understanding what cities need.

When community data links grassroots organizations, city governments, and private sector actors, it becomes easier to develop plans with a joint focus on delivery to ensure that all are included. Assigning different roles and responsibilities becomes simpler—as does ongoing monitoring.

SDI believes that each neighborhood must understand how their data helps them make choices and open avenues to seek useful discussions to improve their lives. What is more, SDI's emphasis on women's participation and increasingly on promoting the role of youth produces instruments for data collection, collation, aggregation, and application that are likely to produce outcomes that are sensitive to the needs of all residents, not just those determined by a few male leaders and politicians.

Patrick Magebhula called SDI's data collection process "the community's magic box." The time is at hand to open it and spread its magic to all cities in the world.

Below: (From left to right) Jockin Arputham, Somsook Boonyabancha, Joel Bolnick, and Sheela Patel



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Acronyms

ACHR Asian Coalition for Housing Rights

Akiba Mashinani Trust AMT

CLIP Community Land Information Program **FEDUP** Federation of the Urban and Rural Poor

GIB Global Infrastructure Basel **Human Cities Coalition** HCC

HPFPI Homeless People's Federation of the Philippines Incorporated

IDRC International Development Research Center

KYC Know Your City

LASURA Lagos State Urban Renewal Agency NGO Non-Governmental Organization

NUA New Urban Agenda

SALGA South African Local Government Association

Slum Dwellers International SDI SDG Sustainable Development Goal

SPA Special Planning Area

SPARC Society for the Promotion of Area Resource Centres

SVF Shared Value Foundation

UCLG-Africa United Cities and Local Governments of Africa

UPFI Urban Poor Fund International

WUF World Urban Forum

"We negotiated with the municipal council to get a data center at their office. We, the slum dwellers, manage it, and it provides data to all of those who need it."

"We believe we are part of change in our communities."

"With our data we made identity cards that have improved the security of tenure of settlements in my division."

"KYC helps people to know about the history in their settlement and also to know their right so that it cannot be curtailed by anybody."

"The federation has managed to convince the government of its ability to best collect settlement data. This has enabled the incorporation of our data in planning of slums within our country."

"Through the mapping we are able to know the people of our settlement and were happy to hear about their plans."

"Knowing your city is like a treasure."

"The KYC platform has helped to reduce the burden of looking for data which was mainly kept by the professionals. Anywhere, you can access this information and share with the other stakeholders.

"I am happy because we have the data and a map of our barangay. The last time we had a map was 10 years ago, and many structures and data are changing. It is a great help for us."

"I tell the communities, let's try to know where we live and the information about our settlements and to participate in KYC for our own knowledge."

"We have gathered data to use in a presentation to the Port **Harcourt Water Corporation** to enable them to get potable water to our community."

"Because of the mapping activities, the communities started to implement the savings program and also helped in negotiating for the land."





www.sdinet.org www.knowyourcity.info