INNOVATIVE AND EFFECTIVE APPROACHES TO HOUSING

a guide to the unchs best practices database

INNOVATIVE AND EFFECTIVE APPROACHES TO HOUSING

A Guide to the UNCHS Best Practices Database

HIGHLIGHTS FROM THE DATABASE:

* Local residents created and manage a bank that provides micro-loans (with minimal application requirements) and a credit card which can only be used at local businesses. The bank has expanded poor families' access to credit and strengthened the local economy.

  <   PALMA$, Brazil

* Costa Rica developed a nonprofit foundation to promote the use of a local material (bamboo) in the production of housing, furniture and crafts, minimizing building costs and generating new income for local communities.

  <   Bamboo Foundation (FUNBAMBU), Costa Rica

* Local officials staged an architectural competition to design a completely barrier-free residential area (including streets, sidewalks, bridges, squares and parks) for those with impaired vision, mobility or other disabilities. Special computer networks enable disabled residents to telecommute to work and access social services.

  <   A City for All: Free Neighborhood, Finland

* By institutionalizing a mechanism for permanently settling land-tenure problems, a Naga City project resettled 2,017 families. By developing local associations of poor residents, the project has also upgraded 27 poor communities which host approximately 2,700 families.

  <   The Kaantabay sa Kauswagan (Partners in Development), Philippines

* Families pooled their resources into revolving funds that enabled them to gain access to land otherwise unavailable to them.

  <   Habitat for Humanity, Malawi

united nations centre for
human settlements

This guide is intended to introduce policymakers to innovative and effective ideas for housing development that have been documented on Habitat s Best Practices database. These ideas can assist local and national officials, members of non-governmental organizations, and a wide range of policymakers in addressing local urban challenges. This guide was developed by the Columbia/UN Urban Habitat Project at Columbia University s School of International and Public Affairs.

More details on the cases discussed
in this guide can be found at:

UNCHS Best Practices Database

Web: http://www.bestpractices.org/

BACKGROUND ON UNCHS AND BEST PRACTICES

United Nations Centre for Human Settlements (Habitat)
Best Practices and Local Leadership Programme

The United Nations Centre for Human Settlements (Habitat) was established in 1978, two years after the first United Nations Conference on Human Settlements was held in Vancouver, Canada. Following the second United Nations Conference on Human Settlements (The City Summit), held in Istanbul, Turkey in 1996, Habitat has been designed as the City agency to help monitor and support the implementation of the Habitat Agenda.

Habitat s integrated program of policy advice, operational research, technical cooperation, capacity-building and awareness-raising focuses on priority areas defined by governments through the United Nations Commission on Human Settlements, its governing body, and contained in the Centre s Work Programme. These areas are:

* shelter, social services and security of tenure;
* urban management and governance;
* environment and infrastructure; and
* assessment, information and monitoring.

Currently, Habitat has 235 operational programs and projects underway in 80 countries, focusing on capacity-building, human settlements management and development, basic services and infrastructure and housing. The Centre s principal collaborating partners in the UN system are: the United Nations Development Programme (UNDP), the United Nations Children s Fund (UNICEF), the United Nations Department of Humanitarian Affairs, and the World Health Organization (WHO). Habitat also closely collaborates with bilateral and external assistance agencies, international and national non-governmental organizations (NGOs), associations of local authorities, parliamentary associations, women s and youth organizations, and private sector bodies.

Habitat s Best Practices and Local Leadership Programme (BLP) represents the continuation of one of the success stories of the Habitat II preparatory process: the Best Practices Initiative. The BLP, together with its global network of research, capacity-building and training institutions, is responsible for the identification, documentation and dissemination of lessons learned from Best Practices. The BLP is also one of the two principle UNCHS programs charged with monitoring the implementation of the Habitat Agenda under the umbrella of the Global Urban Observatory. One of the key products created by the BLP is a Best Practices Database which presents, in a searchable form, narratives of Best Practices from more than 80 countries.

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MESSAGE FROM THE EXECUTIVE DIRECTO R

## United Nations Centre for Human Settlements

The Best Practice Initiative was originally conceived to identify human settlements success stories for the second United Nations Conference on Human Settlements (Habitat II), held in Istanbul, Turkey, between 3 and 14 June 1996. Best Practices caught the imagination of Habitat II participants. Over 600 initiatives from 80 countries were submitted as potential best practices according the criteria of impact, partnership and sustainability. A major international conference on Best Practices was organized by the Municipality of Dubai, United Arab Emirates
(19-22 November 1995), bringing together over 900 participants from around the world to learn from each other s successes.

In order to make these best practices more widely available, Habitat and the Together Foundation formed a partnership to develop the Best Practices database and make it available on the Internet (http://www.bestpractices.org) and on CD-ROM. The database contains a search engine that allows users to find best practices according to subject, region, country, eco-system and keywords. Over 350 of the submissions sent to Habitat were included in the 1996 Best Practices database. An independent and international two-stage review process selected 12 of these to receive the Dubai and Tokyo Awards for Excellence at a special Award ceremony held during Habitat II.

The work of identifying and disseminating best practices continues. In 1998, over 300 Good and Best Practices were documented on the Best Practices database for the Dubai International Award for Best Practices to Improve the Living Environment. Ten new initiatives received the Dubai International Award on World Habitat Day 1998. In the year 2000, the Award will be presented to a new group of Best Practices. On behalf of UNCHS (Habitat) and Dubai Municipality, I would like to invite all users of this guide to nominate Best Practices for the 2000 Award.

One of the most important lessons learned from Best Practices process has been the need to deepen our analysis of best practices to distill not only the practical lessons, but also the policy making and normative implications. I am pleased to say that the present document represents an important first step towards this goal. It provides decisionmakers at all levels with examples of policies and practices in the areas of housing and technology that have a proven history of success. As a companion to the Best Practices database or as a stand-alone document, this publication offers a wealth of practical information to policy analysts, city managers and human settlement professionals.

I would also like to take this opportunity to thank the members of the Columbia/UN Urban Habitat Project for their efforts in making this publication a reality.
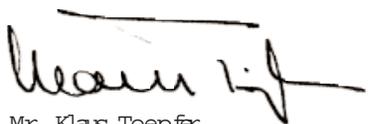
Mr. Klaus Toepfer
Acting Executive-Director
UNCHS (Habitat)

MESSAGE FROM THE DEAN

School of International and Public Affairs
Columbia University

Columbia University s School of International and Public Affairs (SIPA) is pleased to partner with the United Nations Centre for Human Settlements (UNCHS) in preparing this guide on Best Practices. This is one product of a more extensive partnership between *SIPA and UNCHS* to further capacity building and implementation of the Habitat Agenda.

We at SIPA are dedicated to sharing our knowledge and expertise with public servants around the world. In particular, through our Center for Urban Research and Policy and its Columbia/UN Urban Habitat Project, we offer a special focus on issues relevant to local and regional governments and their policymakers and officials. For example, our Columbia/UN Urban Habitat Project is creating at SIPA an international clearinghouse on innovative approaches to urban issues, while providing training for local governments around the world.

Combining our world-recognized regional studies with expertise across a wide range of substantive issue areas, we are eager to work with local and regional governments to assist them in meeting their own particular challenges. While we offer a series of established degree, certificate and other training programs, we are also willing to tailor programs to the needs of individual localities.

For more than fifty years, SIPA has formed a point of intersection among Columbia University s academic departments and schools, and among a distinguished university, the United States largest city and a complex world beyond. As scholars, our faculty, students and alumni work to understand the world. As practitioners, they act to change it. It is a remarkable combination.

We hope that this guide will help you in developing innovative approaches to the challenges of urbanization in your area, and we extend an offer to assist you in designing your own approaches to those challenges. We look forward to a continuing partnership with the United Nations, and with localities around the world.

Sincerely,

Lisa Anderson
Dean

OBJECTIVES OF THE GUIDE

This guide is intended to help local policymakers learn about innovative approaches to housing that have proven successful in urban areas around the globe. It can be used by decision makers as a planning tool in their daily tasks or as a resource for proven solutions to immediate needs. While it can serve as a tool for reference, it can also be read in its entirety to provide a unique array of problem-solving ideas and a useful survey of how governments, cities and communities are responding in innovative ways to the challenges they face everyday.

This guide offers three kinds of analysis: Chapter 1 presents a general statistical analysis of the Best Practices database, considering different characteristics such as geographical location, type and size of project, and source of funding. Chapter 2 identifies innovative and effective ideas that can help local officials find solutions to common problems. Finally, Chapter 3 analyzes Best Practices from a broader perspective, identifying key components in the Best Practices cases as well as the potential for and limitations to the transferability of Best Practices between localities.

BACKGROUND ON THE GUIDE

The information in this guide is derived from 229 housing cases in the Best Practices Database created by UNCHS. Each Best Practice[1] in the database is summarized in a several page narrative prepared by the nominated organization as part of the selection process for the Dubai International Award for Best Practices[2].

While this guide used the database entries as the sole source of information on the projects, the authors extracted from the narratives the key innovative and effective ideas which could provide useful guidance for other local or national governments facing similar challenges. Thus, while some Best Practices served as the source of several innovative ideas, others may not be represented in the guide at all (See Chapter 1 for more detail)

HOW TO USE THE GUIDE

Chapters 1 and 3 should be read for their general analysis of Best Practices in housing, both from a statistical viewpoint (Chapter 1) and from the perspective of lessons learned and transferability (Chapter 3). The heart of the guide is in Chapter 2, which summarizes the key innovative and effective ideas identified in the housing section of the UNCHS database.

The reader can use the information in Chapter 2 either as a stand-alone document to provide the reader ideas of innovative and effective approaches, or as a gateway to the larger and more detailed UNCHS Best Practices database available on the UNCHS website. Each entry not only presents innovative and effective ideas, but also directs the reader to specific cases where these ideas were implemented.

Chapter 2 is organized in a solution-driven fashion based on discrete categories. Therefore,

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1 Throughout this guide, the term "best practice" is used to refer to any practice listed in the UNCHS database, regardless of whether it won an award and is designated a best or a good practice.

2 This award is co-sponsored by Habitat and the Municipality of Dubai, United Arab Emirates, and is presented every two years to up to ten best practices. For more information on the 2000 Award, please visit : http://sustainabledevelopment.org/blp/awards Details on how the Best Practices competition is structured and how applications are made are available in Appendix 1.

the reader initially should read the table of contents and find the subcategory that most closely describes the topics of concern. For easy reference, the table of contents is shown below. If for example, the reader is interested in slum redevelopment, the reader can find it in point 6.2.

When the reader turns to the appropriate subcategory, she/he can find a general description of that topic and specific examples of innovative and effective approaches from around the world. The cases listed under each bullet can be found in the on-line and CD-ROM versions of the Habitat Database.

relevant category

cross reference; read to find additional ideas

6. DISTRESSED AREAS

6.2 Slum, Shantytown, and Squatter Settlement Redevelopment

(See also 3.2. Low-cost Building Techniques)

The problem of providing housing for families living in high poverty areas is one of the greatest challenges facing urban areas today. Housing developers can employ innovative methods for constructing housing, building infrastructure, and providing social services that integrate these affected groups into the mainstream.

*Build/renovate the upper level of a house first while families are living in the ground floor and then build/renovate the ground floor while people are in the upper level. By doing this, the costs of temporary relocation are eliminated.

<   Small and Unusual Experience in Self-Construction, Argentina

name of project and country that can be accessed in the best practices database; read this case for more information

innovative or effective ideas are summarized here

ABOUT THE AUTHORS

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This guide was developed by students in the Graduate Program in Public Policy and Administration at the School of International and Public Affairs (SIPA) at Columbia University in New York City and the Columbia/UN Urban Habitat Project. SIPA offers Masters degree programs in Public Administration (MPA) and International Affairs (MIA), as well as special programs and a series of joint degree programs with Columbia University s Schools of Social Work, Law, Business, Public Health, Architecture & Planning, Journalism and Teachers College. SIPA s location in New York City and access to the resources of Columbia University make it a uniquely vibrant center of research and learning. Since its founding in 1946, SIPA has attracted many of the most creative minds in international and public affairs.

In June 1996 at the Habitat II conference in Istanbul, some 20,000 people convened to discuss the challenges of global urbanization. As a response to this global initiative, Columbia University and the United Nations Centre for Human Settlements (Habitat) launched a unique partnership to create an international center for research, training and the dissemination of information on innovative approaches to urban problems. Housed at Columbia s School of International and Public Affairs and tis Center for Urban Research and Policy, the Columbia/ UN Urban Habitat Project (CUHP) provides a variety of programs and services, including an information clearinghouse, training for municipalities around the world, and research on issues of interest to scholars and policymakers. CUHP s database is intended to provide information on urbanization that can be used by practitioners, researchers, governments, non-governmental organizations, community-based organizations and policymakers around the world.

The Columbia/UN Urban Habitat Project is directed by Associate Professor Mark Gordon. The project is part of SIPA s Center for Urban Research and Policy, directed by Professor Ester Fuchs.

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Best Practices and Local Leadership Programme

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John, a May 1999 MPA graduate from Chicago, concentrated in Advanced Management Techniques for nonprofit and public organizations at SIPA. Over the past ten years, he has worked with nonprofit organizations in Chicago, New York and Bangkok, addressing issues including AIDS, homelessness and economic development. He holds a Bachelors degree in Economics from Northwestern University and attended the Graduate School of Business at the University of Chicago.

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Guillermo, a May 1999 MPA graduate from Colombia, holds a Bachelors degree in Economics with a minor in History from Universidad de Los Andes in Bogota, and has attended graduate courses at the UN Economic Commission for Latin America and the Caribbean in Santiago, Chile. During 1998, he helped design a public finance modernization project for Venezuela at the World Bank in Washington, DC. He has also worked with the Colombian National Planning Department and has taught Economics courses at Universidad Externado in Bogota.

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Originally from Canada, Rafi completed his MPA degree in May 1999. He is a candidate for an Eastern European Affairs Certificate from the Harriman Institute in May 2000. At SIPA, his concentration was Advanced Management Techniques for international nonprofit organizations, focusing on the region of the former Soviet Union and Eastern Europe. Prior to his studies at Columbia University, Rafi spent four years in the U.S., Bulgaria, and Israel working with non-governmental organizations on development, education and leadership training. He holds Bachelors degrees in U.S. and Middle East History and U.S. Politics from Brandeis University.

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Professor Gordon is the Director of the Columbia/UN Urban Habitat Project and an Associate Professor for the Practice of Public Affairs at SIPA. He completed a B.A. in 1981 and an M.I.A. in 1982, both at Columbia University, and received a J.D. from Harvard University in 1990. From 1993 to

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Acknowledgement

chapter one

BEST PRACTICES DATABASE   DESCRIPTION AND STATISTICAL ANALYSIS

This chapter describes the composition of the Best Practices database according to various cate-
gories   such as region, country, project scale, subject, etc.   and provides an initial statistical analysis
of the Best Practices cases. This is intended both to describe the database components more fully and
to suggest a number of preliminary observations that can serve as the basis for
further research.

Part A describes the entire database; Part B describes the Housing cases in the database.

PART A: THE BEST PRACTICES DATABASE

Description of the Database

As described in more detail in the introduction, the Best Practices database is a collection of 658 case studies describing approaches to urban problems that have been submitted to Habitat s Best Practices and Local Leadership Programme (BLP) by more than 80 countries as of March 1999. Each case was categorized by the submitter by region, country, project scale, ecosystem and subject category (i.e. Housing, Poverty Alleviation, Technology,Tools and Methods and many other urban policy areas). The following section describes the composition of the database according to these and other categories. This statistical analysis is intended both to describe the database components more fully and to suggest a number of preliminary observations that can serve as the basis for further research. For example, analysis of the database shows that there is significant variation in the subjects of Best Practices cases based on different geographic regions and development levels. On the other hand, several subject categories, such as Environmental Management and Housing are prevalent in Best Practices for all levels of government while
others, such as economic development vary greatly based on government level. The description that follows first analyzes the database components by geography, then by development level, subject and scale (i.e. the level of government, such as village, city, province, etc., undertaking the project).

Geography

The cases in the database were categorized into six regions, and included cases from the countries listed below.

africa:
Angola, Botswana, Burundi, Ethiopia, Ivory Coast, Kenya, Lesotho, Madagascar, Malawi, Mozambique, Namibia, Nigeria, Senegal, South Africa, Sudan, Tanzania, and Uganda.

arab states:
Egypt, Iraq, Jordan, Lebanon, Morocco, Palestinian Authority, Qatar, Saudi Arabia, Tunisia, and United Arab Emirates.

asia:
Australia, Bangladesh, China, Hong Kong, India, Indonesia, Kazakhstan, Korea, Nepal, New Zealand, Pakistan, Papua New Guinea, Philippines, Singapore, Sri Lanka, and Thailand.

europe:
Albania, Armenia, Austria, Belgium, Denmark, Finland, France, Germany, Greece, Italy, the Netherlands, Northern Ireland, Norway, Poland, Portugal, Romania, Russia, Slovakia, Spain, Sweden, Turkey, and the United Kingdom.

latin america:
Argentina, Barbados, Belize, Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Grenada, Guatemala, Honduras, Mexico, Nicaragua, Paraguay, Peru, Uruguay, and Venezuela.

north america:
Canada and the United States.

Based on this categorization, the international distribution of the database is diverse in some respects, yet unvaried in others. Of the 658 cases, Europe contributes 33.4% of the total, followed by Latin America (20.2%) and Asia (16.7%) (See Figure 1.1). Some countries are particularly well represented. Of 88 total countries, 320 cases — almost half of the database — come from only nine countries[1]. These are Brazil and the United States with 55 cases each, Spain (42 cases), India (41 cases), the United Kingdom (29 cases), Canada (27 cases), the Netherlands (27 cases), Germany (24 cases) and Egypt (20 cases). On the other hand, 58 countries have less than five cases (see Appendix 1 for list of each country and its number of cases in the database). This disparity limits the generalizations that can be drawn from the database, since the world s countries are represented neither equally nor proportionally in it.

The Best Practices were also categorized by ecosystem, which indicates the type of climate and topographic conditions of the local region. UNCHS assigned the following eight categories: Arid or Semi-arid, Coastal, Continental, High Plateau, Island, Mountain, River Basin and Tropical or Subtropical. 31.6% of the cases are from places categorized as continental; followed by Tropical or Subtropical (17.9%), Coastal (17.3%) and River Basin (11.2%).

figure 1.1: distribution of the entire database by region
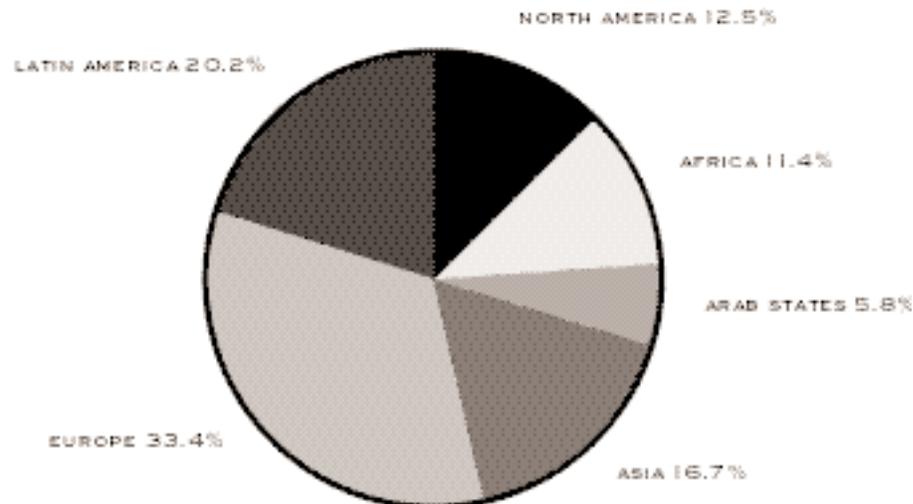
1 This concentration reflects the fact that cases in the database were not collected as random samples, but were instead the result of self-selection, as various countries decided to participate more aggressively in the competition. This, of course, limits the ability to generalize the data from the database to the broader universe of all relevant Best Practices.

Development Level

The Best Practices can also be analyzed based on the development level of the country in which
each Best Practice is located. For these purposes, two different categorizations were used. First,
the Best Practices were grouped according to the development level established by the UN
Development Programme (UNDP) which divides countries into three categories: Industrial Coun-
tries, Developing Countries and Least Developed Countries (see Appendix 4 for a listing
of the countries in each category)

Based on this UNDP categorization, the Best Practices are almost evenly divided between Devel-
oped and Developing Countries (See Figure 1.2)

The UNDP categories are not without problems. Many countries with different levels of industrial-
ization were classified in the same development level category. For example, Albania, Armenia and
Ukraine were categorized as Industrial along with Canada, France, Japan and the United States.
Similarly, Argentina, Mexico and Chile were placed in the same class as Sri Lanka, Swaziland and Zim-
babwe. Therefore, to make the categorization more exact, the authors of this guide created an alter-
native development level categorization that adds an Emerging category and reconfigures the
other categories as well. According to this new classification, those Developing countries that have
stronger social and economic indicators were categorized as Emerging and some countries in the
UN category of Industrial were re-categorized as Developing or Emerging (see the listing in
Appendix 5)

According to this classification system, 44.2% of the cases come from Industrial Countries, 22.8%
come from Emerging Countries, and 27.5% come from Developing Countries, with 5.5% of the
cases from the Least Developed Countries (see Figure 1.3)

figure 1.2:
distribution of the entire database by development level
(according to undp category)

DEVELOPING
COUNTRIES 47.3%

LEAST DEVELOPED
COUNTRIES 5.4%

INDUSTRIAL
COUNTRIES 47.3%
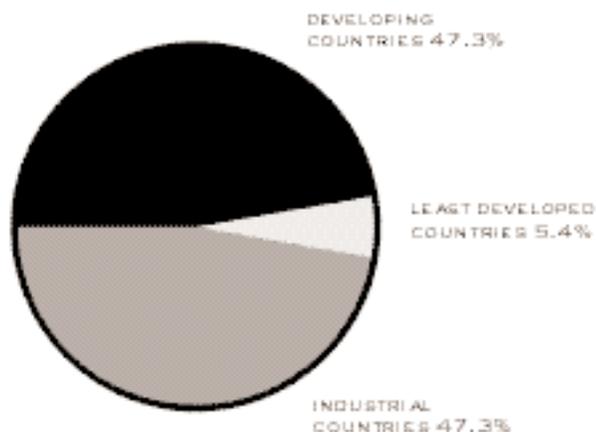
figure 1.3:
distribution of the entire database by
development level
(according to alternative categorization)

INDUSTRIAL
COUNTRIES 44.2%

LEAST DEVELOPED
COUNTRIES 5.5%

DEVELOPING
COUNTRIES 27.5%

EMERGING
COUNTRIES 22.8%
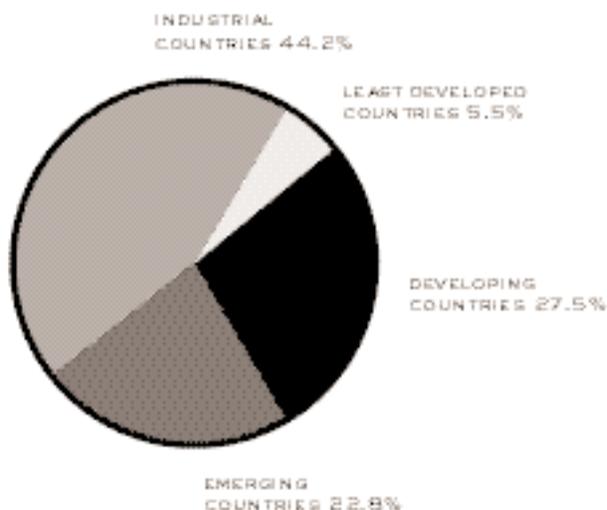
Subject Category

In the database the projects are catalogued using 18 different subject categories. These subject categories are:

* Architecture and Urban Design
* Children and Youth
* Civic Engagement and Cultural Vitality
* Disaster and Emergency
* Economic Development
* Environmental Management
* Gender Equity and Equality
* Housing
* Infrastructure, Communication, Transportation
* Land Use Management
* Older Persons
* Poverty Eradication
* Production and Consumption Patterns
* Social Services
* Technology, Tools and Methods
* Urban and Regional Planning
* Urban Governance

It is important to note that one case can be, and often is, included in more than one category. As Figure 1.4 displays, the most common category is Housing with 229 cases, or over one-third of the database. Similarly, approximately one-third of the cases deal with Environmental Management issues.

figure 1.4: distribution of the entire database by subject category
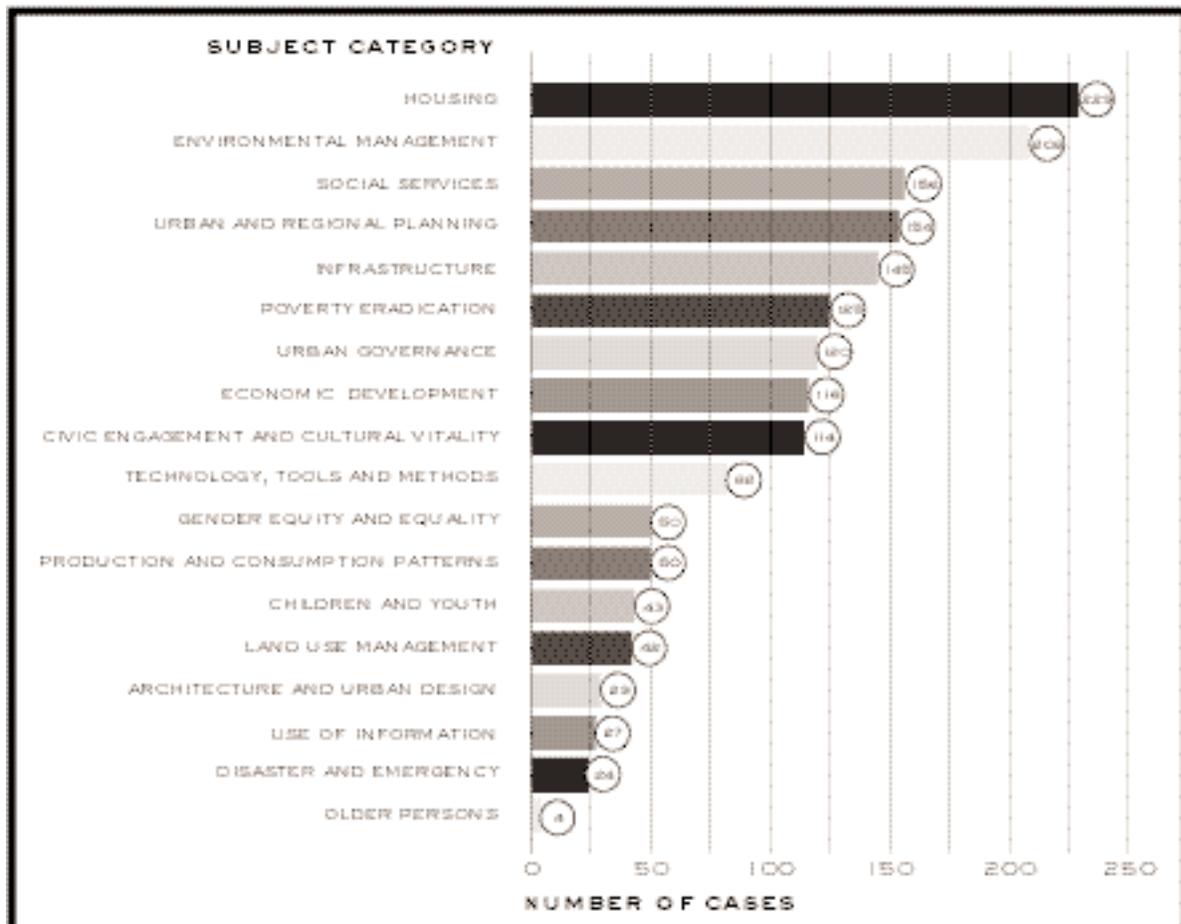
An examination of how these subject distributions vary among regions is instructive. For example, while only 17.6% of all the Best Practices deal with Economic Development, over one-third (36.6%) of those from North America do so. Similar patterns can be seen in other subject categories.

While 22% of all the cases in the database address Infrastructure, Communication and Transportation, this subject is addressed in 44% of the cases from Africa, 31.6% of the cases from Arab nations, and 30% of the cases from Asia. Similarly, while 19% of the cases in the database fall into the category of Poverty Eradication, 44% of the African cases and 24.1% of the Latin American cases fall into this category.

Alternatively, Europe is very heavily represented in the Urban and Regional Planning category, comprising almost one-half its cases. While Latin America and Asia together comprise 37% of all the cases in the database, they make up over 58% of the cases focusing on Disasters and Emergencies.

The distribution of subjects by development level is also of interest. For example, the Least Developed Countries[2] tended to submit Best Practices in categories such as Infrastructure, Communication and Transportation and Poverty Eradication. In contrast, many of the Industrial Countries have developed innovative solutions to problems in Economic Development and Urban and Regional Planning.

Least Developed Countries face very different challenges than their counterparts from other, more economically advanced countries. As mentioned before, 5.5% of the cases in the entire database come from Least Developed Countries. However, 13% of the Infrastructure, Communication and Transportation Best Practices come from these countries. In fact, 52.8% of all the cases that come from Least Developed Countries deal with Infrastructure, Communication and Transportation, while that category is present in only 22% of the entire database. Similarly, 36.1% of the cases from Least Developed Countries deal with Poverty Eradication, while this subject is present in only 19% of the cases in the entire database. In contrast, 5.6% cases from these countries deal with Urban and Regional Planning, while this subject is present in 23.4% of total cases. These figures illustrate that the national level of development often impacts the urban challenges that policymakers face.

The policy interests of developing countries also have distinct characteristics based on the database composition. For instance, while 27.5% of the 658 cases in the database come from Developing Countries, 40% of the cases that address Gender Development and 40% of the cases that deal with Infrastructure, Communication and Transportation come from these countries. Additionally, 50% of the cases that dealt with Disaster and Emergency come from the Developing Countries.

Emerging Countries account for 22.8% of the cases in the database but 31.2% of the Poverty Eradication cases, and 28.8% of the Social Services cases. 28% of Technology,Tools and Methods cases also come from these countries.

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2 The numbers used in this section are according to alternative development level categorization (see Appendix 5).

Industrial Countries, are more likely to have addressed some of the infrastructure and poverty problems that trouble other types of countries. Thus the policy focus of these industrial countries is less on infrastructure issues and more on economic development, urban planning and social services issues. These countries represent 44.2% of the total cases in the database, but 52.6% of the Best Practices in Economic Development and 57.1% of the cases in Urban and Regional Planning. In other policy areas, Industrialized Countries are relatively under-represented. For example, only 26.2% of the cases that deal with Infrastructure, Communication and Transportation, and 20.8% of the Best Practices in Disaster and Emergency come from these countries. In fact, among the 291 cases from Industrialized Countries, only 13.1% deal with Infrastructure, Communication and Transportation, and only 1.7% deal with Disaster and Emergency

Scale

The Best Practices database also includes information on the scale of each urban solution within a spectrum that stretches from the village to global level. The authors of the cases in the database were asked to choose one of eight project scales when the description was submitted. These categories indicate the reach of the Best Practice in terms of its geographical impact. The categories are Village, Neighborhood, City/Town, Metropolitan, Provincial, National, Regional and Global. Figure 1.5 illustrates the distribution of these categories in the Best Practices database.

figure 1.5: distribution of the entire database by scale
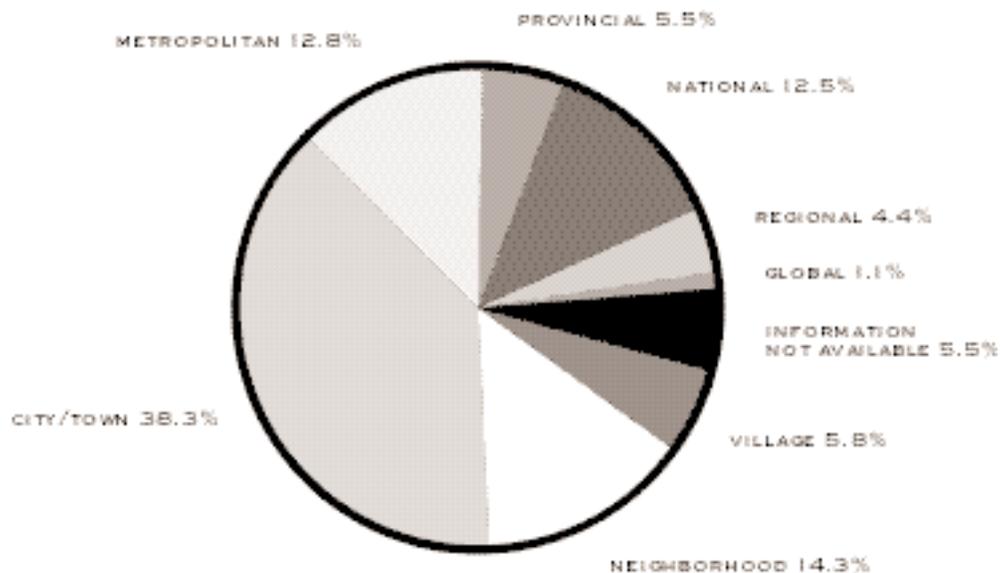
Interestingly, several subject categories continually appear as the most common Best Practice type, regardless of the scale of the project. Environmental Management, for example, is the most common Best Practice for all scale levels except for the Neighborhood and National levels. Housing is always among the top three subjects regardless of scale. It is the most common in the Neighborhood and National levels. The Infrastructure, Communication and Transportation category is more prevalent at the Metropolitan, Village, Neighborhood, and City levels, while uncommon at the Provincial, National and Regional levels, presumably reflecting the decentralized nature of responsibilities in this area. The Social Services category is moderately common in all scale levels, especially at the Neighborhood level. Economic Development projects are more prevalent at the Provincial and National levels and less so at the Metropolitan, Neighborhood and Village levels. Table 1.1 below shows the most common subject categories for each level[3].

What is perhaps most suggestive are the instances in which a subject category is represented far more at one level of government than in the database as a whole. For example, Poverty Eradication cases make up less than one-fifth of the entire database. But these cases represent over one quarter of the cases at the Neighborhood level, and 28% and 27% at the Provincial and National levels, respectively. On the other hand, Poverty Eradication comprises only 15% of the City/Town cases and 13% of the Metropolitan cases. Similarly, Economic Development cases are much more heavily represented at the Provincial level than elsewhere, but are a mere 14% of the City/Town cases. These results can be instructive in targeting technical assistance and training to different levels of government.

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3 The scale of Global was not included because it accounts for only 1% of the cases.

table 1.1
most frequent subject categories by scale of the project for the entire database

VILLAGE		NEIGHBORHOOD		CITY/TOWN		METROPOLITAN		PROVINCIAL		NATIONAL		REGIONAL	
CATEGORY	%ᵃ	CATEGORY	%ᵃ	CATEGORY	%ᵃ	CATEGORY	%ᵃ	CATEGORY	%ᵃ	CATEGORY	%ᵃ	CATEGORY	%ᵃ
Environmental Management	36.8	Environmental Management	41.5	Environmental Management	31.1	Environmental Management	41.7	Environmental Management	36.1	Environmental Management	42.7	Environmental Management	51.7
Housing	36.8	Housing	30.9	Housing	29.8	Housing	34.5	Housing	36.1	Housing	26.8	Housing	34.5
Technology, Tools and Methods	23.7	Technology, Tools and Methods	28.7	Technology, Tools and Methods	28.2	Technology, Tools and Methods	31.0	Technology, Tools and Methods	30.6	Technology, Tools and Methods	25.6	Technology, Tools and Methods	31.0
Infrastructure, Communication and Transportation	21.1	Infrastructure, Communication and Transportation	26.6	Infrastructure, Communication and Transportation	23.8	Infrastructure, Communication and Transportation	25.0	Infrastructure, Communication and Transportation	30.6	Infrastructure, Communication and Transportation	25.6	Infrastructure, Communication and Transportation	20.7
Poverty Eradication	21.1	Poverty Eradication	26.6	Poverty Eradication	23.4	Poverty Eradication	22.6	Poverty Eradication	27.8	Poverty Eradication	22.0	Poverty Eradication	17.2
Economic Development	18.4	Economic Development	19.1	Economic Development	22.2	Economic Development	20.2	Economic Development	19.4	Economic Development	22.0	Economic Development	17.2
Social Services	18.4	Social Services	18.1	Social Services	20.2	Social Services	19.0	Social Services	13.9	Social Services	19.5	Social Services	13.8
Urban and Regional Planning	18.4	Urban and Regional Planning	18.1	Urban and Regional Planning	15.1	Urban and Regional Planning	19.0	Urban and Regional Planning	11.1	Urban and Regional Planning	18.3	Urban and Regional Planning	13.8

ᵃThe percentage of cases at this scale that fall into each subject category

PART B: BEST PRACTICES IN HOUSING

One of the largest categories within the Best Practices database is Housing, which encompasses 35% of all of the Best Practices   229 of 658 cases. These cases were separated into six different groups: Access to Housing Finance, Affordable Housing, Construction Industry, Ecological Design, Homelessness and Land Tenure. Analysis of these cases shows significant variation among regions of the world, both in terms of the types of issues addressed and the sources of funding for Best Practices in housing. In addition, certain housing approaches were more prevalent among the more local forms of government.

Geography

The 229 Best Practices in Housing were submitted by 56 countries. More than one third are European (34%). One-fifth are Asian (20%), 17% are Latin American, 14% are from North America, 12% are African, and 3% are from the Arab states. In terms of individual countries, the United States submitted the most cases in Housing, with almost 11% of the total. The Netherlands follows closely with 8.3% of all Housing cases. Other countries with more than 10 entries are India with 17 (7.4% of total), Brazil with 16 (7%), Spain with 12 (5.2%) and the United Kingdom with 11 (4.8%). China (9), Germany (9), Canada (7), Costa Rica (6), Romania (6), Austria (5) and Chile (5), all had between 5 and 10 cases. The other 43 countries have less than 5 Housing cases each.

table 1.2: distribution of the housing database by country

COUNTRY	FREQUENCY	%	COUNTRY	FREQUENCY	%
Albania	1	0.4%	Morocco	2	0.9%
Argentina	3	1.3%	Namibia	2	0.9%
Australia	4	1.7%	Netherlands	19	8.3%
Austria	5	2.2%	Nicaragua	3	1.3%
Barbados	1	0.4%	Nigeria	1	0.4%
Botswana	2	0.9%	Northern Ireland	1	0.4%
Brazil	16	7.0%	Norway	4	1.7%
Burundi	1	0.4%	Pakistan	2	0.9%
Canada	7	3.1%	Palestinian Auth.	1	0.4%
Chile	5	2.2%	Papua New Guinea	1	0.4%
China	9	3.9%	Philippines	2	0.9%
Colombia	1	0.4%	Poland	1	0.4%
Costa Rica	6	2.6%	Portugal	1	0.4%
Cuba	3	1.3%	Romania	6	2.6%
Denmark	1	0.4%	Saudi Arabia	1	0.4%
Ecuador	1	0.4%	Senegal	3	1.3%
Egypt	2	0.9%	South Africa	3	1.3%
Finland	3	1.3%	Spain	12	5.2%
Germany	9	3.9%	Sri Lanka	3	1.3%
Greece	3	1.3%	Sudan	1	0.4%
India	17	7.4%	Tanzania	4	1.7%
Indonesia	1	0.4%	Thailand	3	1.3%
Jordan	3	1.3%	Turkey	3	1.3%
Kenya	3	1.3%	Uganda	1	0.4%
Lesotho	1	0.4%	United Kingdom	11	4.8%
Madagascar	1	0.4%	Uruguay	1	0.4%
Malawi	1	0.4%	United States	25	10.9%
Mexico	1	0.4%	Venezuela	1	0.4%

When the cases were submitted to the UNCHS for review, the people submitting the cases were required to indicate from which ecosystem the Best Practice originated. Almost one-third of the housing cases are self-described as Continental, followed by the Tropical and Sub-Tropical region with just under one-fifth. The least common ecosystems are High Plateau and Island, which together account for only one out of every 50 Best Practices in Housing.

table 1.3: distribution of the housing database by ecosystem

ECOSYSTEM	FREQUENCY	%
Continental	68	30%
High Plateau	2	1%
Mountain	16	7%
Tropical and Sub-Tropical	42	18%
River Basin	30	13%
Arid and Semi-Arid	23	10%
Coastal	38	17%
Island	2	1%
Undetermined	8	3%
TOTAL	229	100%

Development Level

The Best Practices in Housing cases come from countries with a wide range of development levels (as defined in Appendix 5). While almost one half of the cases are from Developed Countries, 20% are from Emerging Countries, 27% from Developing Countries and only 4% of the cases   10 of 229 are from the Least Developed countries.

figure 1.6: distribution of cases in the housing database
          by development level

EMERGING COUNTRIES 20%

DEVELOPED COUNTRIES 49%

DEVELOPING COUNTRIES 27%

LEAST DEVELOPED COUNTRIES 4%
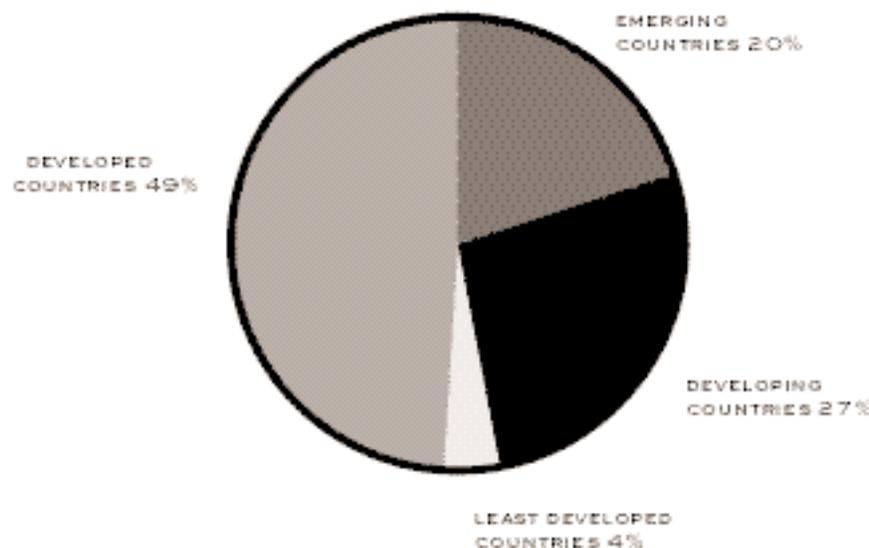
Subject Category

UNCHS divided the Best Practices in Housing into six different subjects:

- *Access to Housing Finance
- *Affordable Housing
- *Construction Industry
- *Ecological Design
- *Homelessness
- *Land Tenure

Each Best Practice may be categorized into several of these subcategories. For example, Small and Unusual Experience in Self-Construction, a case from the District of San Isidro, near Buenos Aires, was placed in both the Affordable Housing and the Land Tenure subject categories. In the Housing database, Affordable Housing is the most common subcategory, with almost 160 Best Practices. Access to Finance has 93 cases, followed by Homelessness with 68 cases and others with fewer. This distribution indicates the focus of these initiatives as identifying and mobilizing financial resources.

figure 1.7: distribution of cases in the housing database
         by subject categories
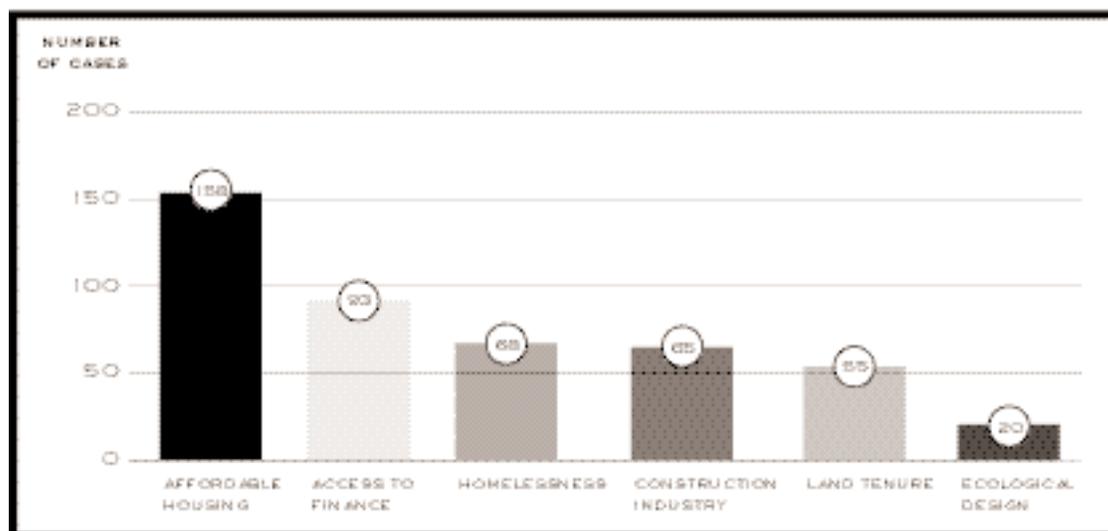
In general, the Best Practices in Housing provide a revealing perspective on the concerns and challenges that urban policymakers face around the world. They also suggest that innovators from Asia and Latin America tend to grapple with a very different set of housing challenges than their counterparts in Europe and North America. For example, while Affordable Housing is the most common Housing subcategory, represented in 69% of all the Housing cases, only half of the Best Practices from Europe address this issue. In sharp contrast, almost 90% of Asian and more than three-fourths of Latin American Best Practices address the Affordable Housing problem.

24% of the Best Practices in Housing address Land Tenure issues. 12% of North American and 13% of European cases include Land Tenure, while almost half of African and one-third of Latin American cases fall into this subject category. While Best Practices in Africa are only approximately 12% of the entire Housing database, they comprise 25% of the Land Tenure examples.

Access to Finance cases account for 42% of the Housing cases in the database. While less than one-third of European cases address this issue, almost three-fifths of Latin American (59%) and four out of every ten cases from other regions focus on it.

Not surprisingly, the prevalence of subjects also vary based on the development level of the countries involved. For example, Affordable Housing is included in over 75% of the cases from the Emerging, Developing and Least Developed Countries respectively. In contrast, only 60% of Industrial Countries cases target Affordable Housing. Access to Finance is contained in almost 61% of the Emerging countries cases, while it is not included in more than 41% of the cases from other areas.

Similar observations arise from an examination of Best Practices in Land Tenure. A focus on this problem is relatively uncommon in Industrial Countries, where only 13% of the Best Practices address it. The picture is quite different in Emerging, Developing and Least Developed countries, where one-third of the Best Practices address the challenges of Land Tenure.

A series of other categories, describing the different methods used to face housing challenges, were developed by the authors of the guide. These categories include Capacity Building, Partnership, Empowerment, Improved Participation, Appropriate Technology and International Cooperation.

Among these categories, the most well represented categories in the Housing database are Improved Participation with 91 cases, Land Management with 76, Partnership with 72 and Empowerment with 67. A particular category was designed to identify cases involving gender equality and the results revealed that 4% of the Housing cases include this subject as a principal variable.

There is significant variation among these categories based on geography. Capacity Building is in 49% of the North American cases but only in 8% of the Latin American cases. Partnership is in 46% of the North American cases, 36% of European, 32% of African and 22% of the Latin American and Asian cases. The Appropriate Technology approach is reflected in 22% of the Asian cases, while in the other regions this category is not included in more than 6% of the cases.

Scale

The vast majority of the Best Practices in Housing are local in focus. Taken together, the local cate-gories (Village, Neighborhood, City/Town and Metropolitan) account for almost 73% of the Best Practices in Housing. This very closely mirrors the distribution within the database as a whole.

However, there are some interesting variations. For example, the City/Town Level represents 45% of the cases in Europe, 35% of those in Latin America, 33% in North America, 26% in Asia, and 17% of the cases in Africa. In addition, 30% and 13% of the African cases are classified as Village and Provincial/State Levels respectively, figures which are far above those in any other region.

figure 1.8: distribution of cases in the housing database by scale
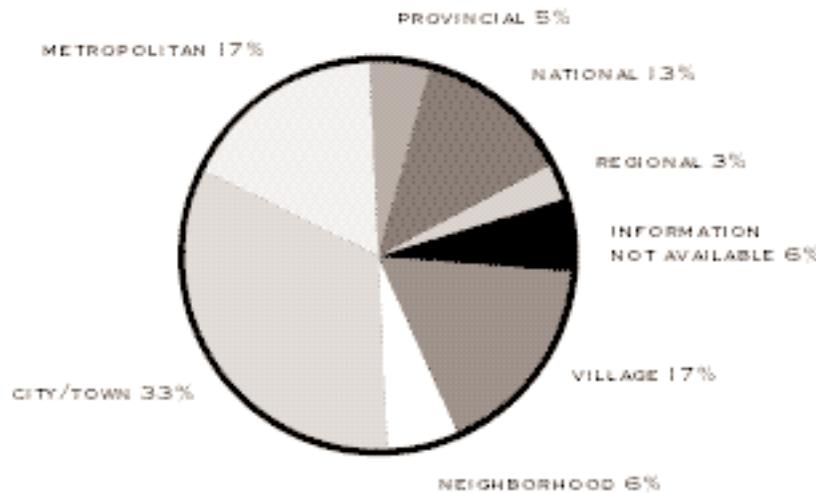
There is also a clear relationship between development level and scale: as the development level of the country increases, the prevalence of cases on the Village level diminishes while City/Town and Metropolitan level cases increase, and the prevalence of National level cases decreases. This might suggest that the less developed the country is, the more likely it is that the Housing Best Practices projects will be either at the most local (Neighborhood or Village levels) or the highest administrative levels (Provincial/State or National levels).

table 1.4: distribution of cases in the housing database by scale and
          development level

SCALE	DEVELOPMENT LEVEL				
	INDUSTRIALIZED	EMERGING	DEVELOPING	LEAST DEVEL.	TOTAL
Regional	2	4	1	0	7
National	10	9	10	2	31
Provincial	4	1	4	2	11
Metropolitan	22	6	10	1	39
City/Town	48	15	12	0	75
Neighborhood	5	0	6	2	13
Village	18	9	10	3	40
TOTAL	109	44	53	10	216*

* This information is unavailable for 13 housing cases

figure 1.9: distribution of cases in the housing database
            by scale within development level
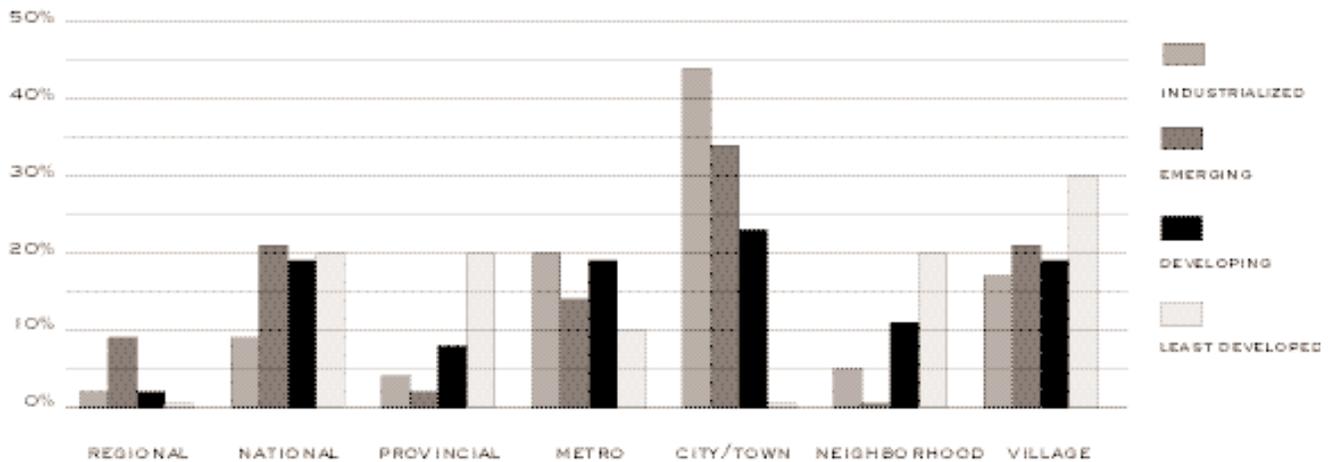
While Land Tenure issues tend to be addressed at the most local levels[4], other subjects do not show
much variation at all. For example: Homelessness cases vary from being represented in 23% of the
cases at the National Level to 36% at the Metropolitan Level, and Affordable Housing is reflected
heavily in all the categories, from 55% and 59% on the Provincial and Metropolitan levels, to 71%
and 81% on the City/Town and National Levels, respectively.

Figure 1.9 indicates the percentage of cases in each development level that are on a particular
scale. For example, the tallest bar in the table shows that over 40% of the cases from industrialized
countries were on the City/Town level.

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4 One exception to this conclusion arises from the fact that out of 13 neighborhood cases, none dealt with Land Tenure.

Funding

Many of the Best Practices in Housing do not explicitly state the origin of their financial resources. Wherever possible the authors of this guide extracted this information from the narratives in the database. Based on this categorization, as a general conclusion, the vast majority of the Best Practices receive public or combined financing[5]. Very few receive exclusively private or non-governmental organization (NGO) funding.

Many regions of the world fund Best Practices through combined sources of funds. In Asia, Africa and the Arab states combine funding paid for more than half of all Best Practices in Housing. Interestingly, only one-quarter of the North American cases use combined sources.

Sole public funding of Best Practices is more prevalent in Europe and Latin America, in both of which over 40% of all Housing Best Practices are publicly funded. The data indicates that approximately 30% of African, Asian and North American cases receive public financing exclusively.

Sole private funding of Best Practices in Housing is rare throughout the world. Interestingly there are no cases of solely private funding in either Africa or Latin America. In Europe, only 1% of Best Practices rely on private financing exclusively. In contrast, several North American (6%), Asian (7%), and Arab States cases (14%) are supported solely with private funds   though even in these areas the extent of private funding is relatively limited.

Projects that are funded exclusively by NGOs are most common in North America (38%). Just under one-quarter of Best Practices in Latin America (24%) and Africa (23%) receive project funding exclusively from NGOs, while Europe (12%) and Asia (9%) are even lower on this measure.

figure 1.10: distribution of cases in the housing database
                    by funding type

PRIVATE 3%   NGO 17%

PUBLIC 35%

COMBINED 40%

INFORMATION
NOT AVAILABLE 5%

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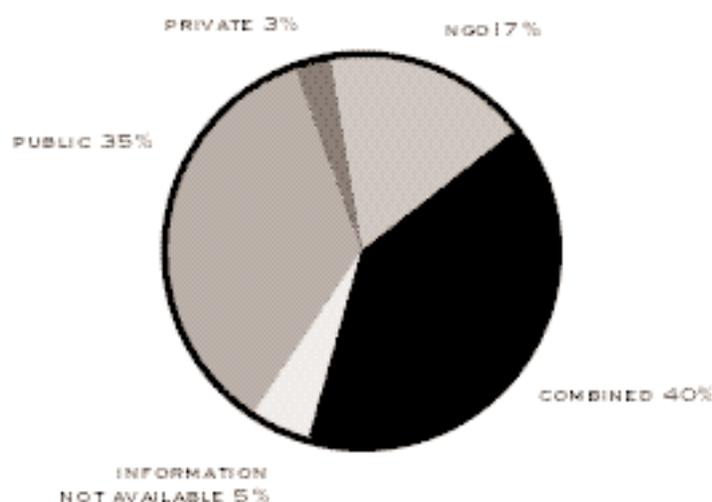
5 Note that combined financing schemes may include any mixture of public, private and/or NGO funding.

chapter two

INNOVATIVE AND EFFECTIVE IDEAS FOR HOUSING DEVELOPMENT

This chapter presents numerous innovative strategies for housing development that have been implemented around the globe. It is intended to enable local officials and policymakers to quickly review a range of possible innovative approaches that could be applicable in their locality. Detailed information on each approach can be found in the Best Practices database by accessing the projects listed below each description.

Since the focus in this chapter is on innovative and effective ideas rather than individual projects, a single project may be mentioned several times in reference to different ideas used by the project. Similarly, other projects in the UNCHS database may not be mentioned at all. In addition, in order to make this chapter a more comprehensive reference source, the same project may be listed under several separate categories.

1. FINANCING

Financing is critical to the implementation of any housing program. A financing strategy must take into account the local economic conditions and governmental institutions relevant to each program. Several financing methods can and have been used effectively.This section addresses six such methods (and variations thereon), including cooperatives, cost recovery, credit, leasing, national financing, and subsidies.

1.1 Cooperatives

Many people cannot afford to purchase their own homes. Cooperatives allow individuals to pool resources and strengthen their ability to build and invest in housing. Usually a cooperative receives external financial assistance such as grants and subsidies. Typically, the cooperative entity and not the individuals involved hold title to the cooperative s property and enter into financing arrange - ments with creditors. In addition, lotteries and other mechanisms can be used to pool resources without forming a cooperative.

* Form cooperatives to facilitate home ownership. All housing assets are commonly owned by the cooperative members. Members manage the housing democratically with elected boards and committees and share a common goal or vision. This allows for the pooling of resources to make the provision of affordable housing feasible.

    < Cooperative Housing in Canada: A Model for Empowered Communities, Canada
    < Regeneration of Hulme, an Inner City Area of Manchester, United Kingdom
    < Renovation and Improvements in Cooperative Housing Society, Norway

* Use cooperatives to create private ownership of squatter settlements and to establish land tenure. Cooperatives allow for collective financing and democratic management where indi- viduals are unable to muster enough resources or organizational capacity to undertake the housing initiative on their own.

    < Peoples Participation Programme: Accessing Land and Shelter in Mumbai, India
    < House Rehabilitation Programme, Kenya

* Create a revolving fund to provide families with resources to obtain adequate housing in growing cities. These funds allow urban dwellers to gain access to land otherwise unobtain- able to them. Revolving funds use a fixed sum of money that is distributed and repaid over time by different borrowers. A revolving loan fund can also provide funds for repairs or expansion.

    < Habitat for Humanity, Malawi
    < Peramiho Home Makers League, Tanzania

* Facilitate financing through a lottery. Under this system a group of participants agrees to pool funds for a set period of time and donate a given amount of money at regular intervals. The number of intervals equals the number of savers. At each interval one member of the group wins the amount equivalent to the full sum of the savings for the period by random selection. All participants continue to pay into the scheme until the end. In this manner, all members collect from the lottery once.

    < UCISV-VER, Housing Program for Peripheral Areas of Xalapa,Veracruz, Mexico

1.2 Cost Recovery

To fully fund the development of housing projects, government or non-government organizations (NGOs) may collect rental or mortgage payments from participants. These payments may cover part or all of development costs and are typically charged based on participants ability to pay. Housing developers may also sell property on the private market to subsidize affordable units.

*Build additional lots of houses and apartments for sale for profit and use the proceeds to subsidize affordable units.

    <   Shelter Upgrading, Morocco

    <   People s Participation Programme: Accessing Land and Shelter in Mumbai, India

*Form an organization where participants contribute a certain percentage of their wages to cover a part of the housing costs.

    <   Workers Housing Association, Greece

*Recover costs through resident contributions, self-construction and revolving funds.

    <   Xin Xing Housing Cooperatives of Beijing, People s Republic of China

    <   Settlement Upgrading Project (DUA/GTZ Project), Senegal

    <   Kasulu Habitat for Humanity Project, Tanzania

1.3 Credit

A large proportion of the world s population lives in poverty and needs some type of financial assistance to obtain housing. Access to credit is one of the most critical obstacles to acquiring housing. Cases in this section describe low-interest rate financing, mortgage guarantees and other financial innovations that increase access to credit.

*Provide micro-credit to families for housing remodeling with the help of government, NGOs or private developers. For example, in Brazil, a bank created by a residents' association guarantees credit to families, at low interest rates, with minimal registration requirements and without requiring co-signers or proof of income. (See Box 1)

    <   PALMA$ Popular Bank in Palmeira District, Brazil

    <   Favela Bairro Program, Brazil

    <   Self-Employed Women s Association (SEWA) Bank, India

*Lend using a tiered interest rate system to make housing finance available to low-income groups at subsidized rates of interest. Repayment periods may extend up to fifteen years.

    <   Innovative Housing Finance and Delivery Mechanisms, India

*Reduce burden of housing loans by calculating interest on a quarterly basis rather than on a yearly basis. Since each installment is smaller, this spreads out repayments and the sum paid back.

    <   Innovative Housing Finance and Delivery Mechanisms, India

*Offer short-term bridging loans for the interim period between the purchase of a new house

and the sale of an old one.

> < Private Sector Housing Finance - The Case of HDFC, India

* Provide loans for external repairs and structural improvements to enhance the value of property and improve living conditions.

> < Private Sector Housing Finance - The Case of HDFC, India

* Provide home extension loans both for growing families which need extra space, and for lower-income groups who tend to construct their homes incrementally, making additions and improvements as income allows.

> < Private Sector Housing Finance - The Case of HDFC, India

* Adjust housing loan payments to match fluctuations in public sector salaries. This scheme allows public sector employees to make loan payments equal to a constant proportion of salaries despite inflation or deflation.

> < Housing Production on Lands Owned by Housing Development Administration, Turkey

* Create revolving loan funds for home construction and roof repairs. A local NGO can manage funds through the establishment of a credit system. In one case, the materials and funding are generated through a tile production scheme that uses locally available resources and labor, creating employment opportunities within the community.

> < Peramiho Home Makers League, Tanzania
> < Habitat for Humanity, Malawi

* Provide housing as a scholarship to encourage education, vocational training, and self-sufficiency. In exchange for rent reduction, scholarship program participants sign an agreement detailing their responsibilities for job training, job search, and employment. Participants may be terminated from the program if these obligations are not met.

> < Housing Scholarship Program, United States

* Provide mortgage financing and down payment assistance to allow low-income families to purchase a home by leverage and private donations. Most low-income families pay monthly rent equal to or in excess of what they would pay for a monthly mortgage payment. This program enables families to make down payments and pay closing costs on homes.

> < Affordable Housing, Chattanooga, USA, United States
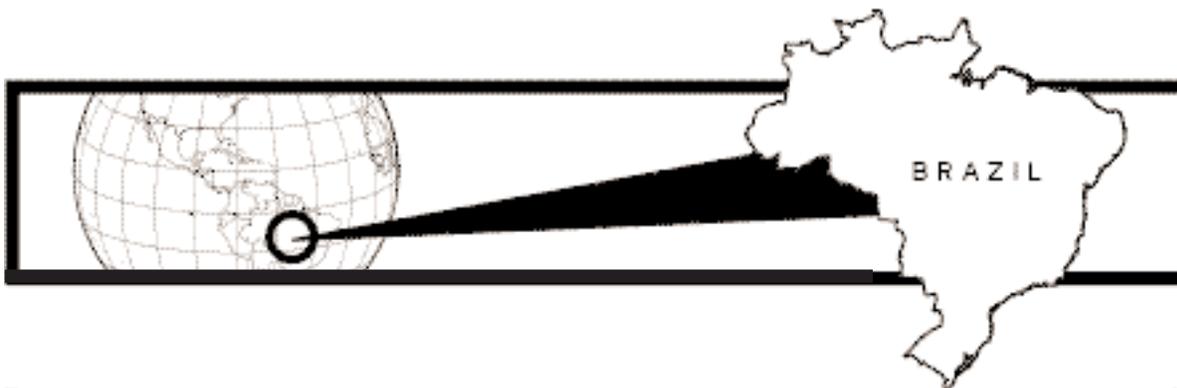
PALMA$ - Popular Bank in Palmeira District, Brazil

The PALMA$ Bank was founded in 1981 to combat poverty and improve the living conditions of the 30,000 residents of the Palmeira shantytown district south of the city of Fortaleza in Brazil. The Bank, created and managed by the local residents association, guarantees credit to families at low interest rates, without the typical demands of registration information, proof-of-income or co-signers. PALMA$ offers revolving micro-loans for the creation or the expansion of small businesses (like food stalls and clothing workshops) and for housing remodeling (using locally made materials). Because most of the administrative work of the Bank is done by members of the residents association, the Bank is able to charge interest rates between one and two percent and remain self-sustaining.

The Bank encourages poor families to save money, allowing them to deposit small quantities and access credit when their deposits reach a minimum level. The Bank s credit card, the PalmaCard, may only be used to purchase goods from the area s businesses. This guarantees that families consume the products and use the services of the area, thus promoting the economic growth of the community.

Since 1981, PALMA$ has made 70 mini-loans for small businesses and 20 for housing remodeling. Over 150 families use the PalmaCard and, according to area merchants, since the card s inception sales at local businesses have increased by nearly 10 percent. The Bank has restored a sense of citizenship to the poor families

1.4 Leasing

When people cannot afford a house but have income with which to pay rent, leasing can be a useful tool to achieve home ownership. Renters can make regular contributions to become owners over a determined time period. These payments have two components: the rent and an additional amount that will cover the total value of the house at a previously arranged term.

*Help low and middle-income families purchase housing through a building society using a leasing system. The property transfers when the final payment is made.

< Housing Leasing, Chile

1.5 National Financing

When the market fails to provide adequate housing, national financing may be used to fill the gap. A central government may create different low-rate financing systems to promote housing programs.

* Provide low-rate financing through a national housing bank which promotes competitive pricing, thereby stimulating housing development.

    < Promoting Affordable Housing Ownership in Thailand, Thailand

* Develop a national housing finance system to promote home ownership by low- and middle-income citizens. This system promotes private saving and investment in the housing sector.

    < Banque de l Habitat du Senegal (Senegalese Housing Bank), Senegal

* Provide mortgage loan guarantees through the government so that private financial institutions can decrease their lending risk, increasing the availability of credit for low- and middle-income families.

    < Cooperative Housing in Canada, Canada

1.6 Subsidies

(See also 1.3 Credit, and 1.4 Leasing)
The free market can exclude low-income home buyers and renters because of high prices. To correct this market failure, a government or NGO may intervene in the housing market by providing a grant to lower prices. This assistance can be made to the buyer, renter or seller.

* Provide non-transferable vouchers to purchase building materials for self-construction. The size of the voucher depends on the progress the beneficiary makes on the construction of his/her house. In this way, materials are subsidized and people offer their labor in exchange.

    < Housing Subprogram – Flood Rehabilitation Program, Argentina

* Subsidize loans for rehabilitation of old housing units. The subsidies are made by the government through private banks, with the largest subsidies targeting the worst housing.

    < Sustainable Urban Renewal in Vienna, Austria

* Finance home purchases through multi-tiered state subsidies, favoring low-income families. In order to receive the housing subsidy, a person must demonstrate a strong commitment to increase his/her savings through the banking system. This commitment promotes savings in the economy and stabilizes the housing market giving confidence to the private sector that supplies the housing.

    < Direct Housing Subsidy, Chile
    < Workers Housing Association, Greece

* Replace shacks with subsidized houses in urban center. Led by a neighborhood movement, housing is priced on a sliding scale, never exceeding ten percent of each family 's net

income.

<   Participation in Urban Renewal, Spain

*Subsidize private restoration of houses to combat social exclusion of poor residents. The government's role is to supply labor and materials, and the landlords, in turn, honor rent control (half the price).

<   Fighting Social Exclusion: Integral Plan for the Old City of Zaragoza, Spain

2.HOMELESSNESS

The Best Practices described in this section are divided into three groups. The first group of practices addresses the immediate and basic needs of homeless people through various forms of direct intervention by the government. The second group devises ways of helping those in need to obtain the skills and opportunities they need to make the transition to independence. The last group of practices establishes a comprehensive safety net or proactive infrastructure that prevents home-lessness from becoming epidemic.

2.1. Direct Assistance

Growing numbers of people worldwide lack shelter and other basic needs. Government and NGOs can provide direct assistance to homeless people, including shelter, food, clothing, counseling and other services.

*Help to integrate homeless people into society through a system of housing that promotes independence, providing first shelter, then a socio-therapeutic residential home to facilitate reintegration, and finally apartments with assisted living components.

<   Graduated Plan of Vienna for the Reintegration of the Homeless, Austria

*Reduce local resistance to formerly-homeless residents by housing the homeless in empty apartments paid for by the government. This reduces the "not in my backyard" syndrome by dispersing the population throughout an urban area.

<   Y Foundation, Finland

*Develop a public-private partnership to operate temporary shelters. Multi-sectoral coopera-tion can leverage resources and facilitate cooperative strategies for addressing homeless-ness.

<   Night Shelter, Romania

2.2 Income Generation

Homeless people often lack the means to become economically self-sufficient. Income generation

schemes can provide them with the ability to become independent and integrated within the community.

* Employ homeless people in a productive activity so that they can reintegrate into society. For example, England's "Big Issue" newspaper is a successful business run by homeless and formerly homeless people. Through selling the newspaper on the street, homeless people generate income on their own. In addition, part of the profits are invested through a fund that promotes their reintegration into society.

  < The Big Issue, United Kingdom

2.3 Prevention

It is often possible to prevent homelessness through intervention before a person becomes homeless. These interventions may include legal advice, financial assistance and counseling.

* Offer counseling assistance to those who are about to be evicted. The counseling includes personal advice from social workers, legal counseling, financial planning, and information on available financial support and clients' entitlements. Additionally, negotiations with landlord and property management are undertaken. Collectively, these efforts can help people retain their apartments.

  < Fawos - Prevention of Homelessness, Austria

* Provide counseling and assistance through an information office. The advice includes legal and financial aspects of housing and tenancy, and information about subsidized housing supply. This information is regularly published in a daily newspaper, informing large numbers of people about what is available on the market.

  < Housing Information System for Disadvantaged Population, Austria

3. CONSTRUCTION AND REHABILITATION

Many factors can impede the construction and rehabilitation of housing. For example, cost is a critical issue, especially in developing countries with fewer available resources. New technologies have been successfully employed to counteract problems arising from lack of funds, space and time. By recycling materials and renovating existing buildings to rebuild housing, developers can cut costs and make optimal use of existing resources. Self-construction and partnership building have increased community participation, employment, and homeownership while helping individual families to survive.

In addition, special construction and rehabilitation needs arise in the context of natural disasters. Several transferable techniques and strategies have been used to improve disaster response and prevention.

3.1 Low-Cost Building Techniques

High construction costs and funding limitations make it imperative for housing developers to find the most cost-effective approaches to construction. Cost-saving innovations include the use of inexpensive building materials, recycling of old building materials and the conversion of nonresidential buildings to residential use.

* Build/renovate the second floor while families are living on the first floor and then build/renovate the first floor while people occupy the second floor. This strategy eliminates the cost and inconvenience of temporary relocation.

  < Small and Unusual Experience in Self-Construction, Argentina

* Use recyclable materials (such as ground rubber) or waste materials in construction (for example turn broken bricks or rock pieces into bricks). The use of these building materials allows for significant savings as well as integrating socially excluded groups.

  < Building System of Bom-Plac for Popular Housing, Brazil
  < Living Better Program, Brazil
  < The Loading Dock (TLD), United States

* Provide economic development opportunities and inexpensive construction materials through the production of bamboo or other local products. (See Box 2)

  < Bamboo Foundation (FUNBAMBU), Costa Rica

* Employ an incremental housing development strategy by settling people on public land before houses or infrastructure are constructed or modernized. This strategy allows individuals to secure land tenure and invest resources in construction as income is earned.

  < Low Income Housing and Upgrading, People s Republic of China
  < Khuda-Ki-Basti Innovation and Success in Sheltering the Poor, Pakistan

* Convert industrial buildings for residential use. This is cheaper than new construction and preserves older, and perhaps architecturally significant, structures.

  < Entrepotdok, Amsterdam, the Netherlands
  < Housing Association Hostels Rotterdam, the Netherlands

* Recycle old building materials to generate revenue for new construction. Recycling reduces waste and creates revenue for housing development.

  < Reconstruction of Ethnic Miao Wood Houses, Zhengduo Village, Guangxi,
    People s Republic of China

*Use ferrocement made of cheap, locally available materials (sand, cement, etc.). This innovation is an example of the growing use of low-cost building materials to enable housing developers to build more housing than previously possible. This Best Practice describes a cooperative effort between a government, outside agencies and institutes in an effort to maximize construction while keeping costs to a minimum.

< Ferrocement Technology Transfer for Rural Development, Thailand

*Make use of an area's old buildings for community education, small-business centers, etc. by acquiring the management control of the buildings. The buildings can be self-financed by collecting rents.

< Greenpoint Manufacturing & Design Center, United States
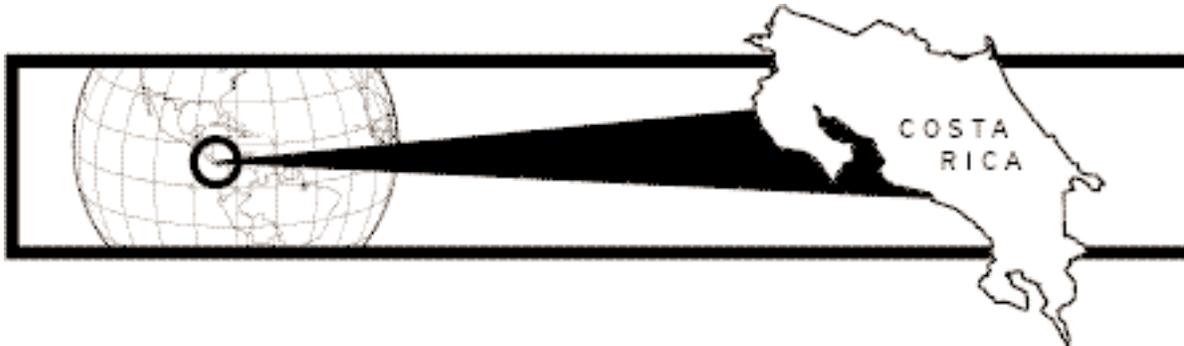
COSTA RICA

FUNBAMBU, Costa Rica

Costa Rica s tropical forests have been exploited with such intensity that wood that was once extensively used is now scarce, costly and of low-quality. In the late 1980s, Costa Rican officials sought to identify a substitute for wood that had similar physical characteristics (such as pliability) and could be produced both locally and at a low cost. Since bamboo met these requirements, the federal government established the National Bamboo Project in 1988 to introduce bamboo as a new construction material. Operated by FUNBAMBU (a private, nonprofit foundation) the project promotes the cultivation of bamboo, develops bamboo housing, and produces bamboo furniture, crafts and raw material for industrialized products like plybamboo and bamboo fiberboard.

The project has built more than 3,000 bamboo homes throughout the country and continues to build 1,500 homes annually or 6 percent of all homes built annually in Costa Rica. The project also provides permanent, year-round employment to more than 500 technicians. Recently, the project developed a prefabricated home made entirely of bamboo that can reduce construction costs by 20 percent. Project members are beginning to market bamboo furniture, crafts and decorative construction items both in and outside of Costa Rica.

The National Bamboo Project is expected to be replicated widely in Latin America, particularly in Central America and the Caribbean. Given the widespread use of bamboo in many Asian countries, the project can also serve as a bridge for scientific, technological and business connections between the East and West.

3.2 Construction: Technology & Methods

The high cost of conventional building materials and limited access to resources impede the development of housing. Housing projects may employ a variety of innovative technological approaches   such as the use of solar energy systems and modular housing design   to reduce costs and use available resources more efficiently.

* Use housing design features such as dome and vault construction techniques for stabilized soil blocks, or mud bricks. This technique can strengthen the foundation and improve ventilation. Such architectural designs are particularly effective in extreme climates to maintain stable temperatures.

    < Academy for A Better World   Value Based Education in a Village Complex, India

* Construct housing using an earth tunnel ventilation system to help maintain a relatively stable year round temperature.

    < Academy for A Better World   Value Based Education in a Village Complex, India

* Use locally available materials to decrease housing development costs and promote environmental sustainability. In India, locally available clay mixtures are used for bricks, roofs and columns. Bamboo is used in Costa Rica as an economical and affordable resource for housing projects, furniture and crafts, minimizing costs and generating new income resources for the community. (See Box 2)

    < Bamboo Foundation (FUNBAMBU), Costa Rica
    < Cost Effective Environment Friendly CEEF Shelter Development Strategy, India

* Use local resources to produce various cost-effective components for housing such as bricks, support columns and roofings. Sale of these components locally further reduces the costs of construction.

    < Grass Root Level Tech. Transfer,Training, Affordable Housing Construction and
      Guidance, India

* Reduce consumption of energy intensive materials like cement and steel using appropriate technology to decrease costs and use resources effectively. For example instead of cement, locally available clay mixtures could be used. Clay mixtures are not only inexpensive, but also can be useful for heat conservation and other similar environmental needs.

    < Cost Effective Environment Friendly CEEF Shelter Development Strategy, India

* Use design techniques which effectively use limited space. For example, physical demarcations between rooms in a house can sometimes be eliminated to save space. In this case the housing units were arrow-shaped with one end, the arrowhead, forming the living room and the bedrooms and the tail end forming the kitchenette. Thus there are no physical demarcations within the unit.

    < Slum Rehabilitation Scheme in Jaunapur, India

*Make improvements step by step rather than through a massive one-time renovation or extension. For example, instead of constructing a whole floor at one time, extend a house one room at a time to lessen one-time payment costs. This makes the improvements possible as it is easier for residents to pay smaller sums of money over a longer period of time rather than making a single lump-sum payment.

>   < Tanzania-Bondeni Community Land Trust Project, Kenya

*Develop and construct easily erected modular housing systems. In one project in Thailand, this is being achieved through increased use of locally available resources, reducing the need for timber. The project is coordinated through a partnership between a technical institute, government and private sector organizations, in which technology transfer, networking, and research play vital roles. The modular system needs only unskilled labor to implement, and generates many jobs.

>   < Self-Contained Housing Delivery System, Thailand

*Use passive solar energy and other technological innovations to construct environmentally sensitive housing. This case uses unreinforced concrete (which is easier to re-use) for housing construction. The walls were made of chalk-sandstone, plasterblocks and plasterboard. Also, the outer frames were made of laminated white wood with good structural properties, and all windows and doors were double-glazed.

>   < Ecological Residential Area, Het Groene Dak, Utrecht, the Netherlands

*Use noise reduction technologies to enable the construction of housing adjacent to noisy railway lines and motorways.

>   < Noise Barrier Dwellings, the Netherlands

*Transfer technology from laboratory to land by disseminating information about new construction technologies. In order to fill the gap in appropriate cost-effective technologies in housing construction and to apply and transfer the technology effectively, train construction artisans to use alternative, innovative and sustainable building materials and technologies. One such technique was to make bricks from the locally available soils, using the right mix and temperature to bake the bricks to the appropriate strength and consistency. Assistance also can be provided in the production of various building components at the grassroots level using simple, traditional technologies and available resources.

>   < Grass Root Level Technology Transfer,Training, Affordable Housing Construction and
>   Guidance, India

3.3 Self-Construction and Mutual Help

(See also 1.1 Cooperatives and 8. Community Participation and Capacity Building)
Self-construction involving an exchange of residents free labor for free building materials can
catalyze housing development, reduce construction costs, and promote home ownership and com-
munity involvement. The establishment of community associations and the provision of technical
training are important factors that facilitate self-construction.

*Provide not only the building materials, but also technical assistance by engineers, archi-
tects and social workers so that the people building their houses have guidance in the
construction process. This assistance can be offered with the support of universities and
civic groups and can lead to better quality housing units.

< Association for Mutual Self-Help for Low Income Housing in Piracicaba, Brazil
< Casa Facil, Brazil
< Housing Project of Rio das Flores and Rio Novo Partner in Construction, Brazil

*Provide non-transferable vouchers to purchase building materials for self-construction. The
size of the voucher depends on the progress the beneficiary has made on the construction
of his/her house. The voucher system allows for efficient monitoring of the work.

< Housing Subprogram Flood Rehabilitation Program, Argentina

*Build a "basic home" 24 square meters in size and offer it to families who then will build a
second phase, increasing the size of the house to 40 square meters. While building the
basic home requires technical construction skills, the additions may be built through self-
construction.

< Housing Project of Rio das Flores and Rio Novo Partner in Construction, Brazil

*Allow the community to manage the construction and planning process through associa-
tions or committees and provide them with external assistance. Any productivity gains or
surplus are reinvested in the housing units.

< Self-Help Housing Production Program Managed by NGOs, Brazil
< Housing Project of Rio das Flores and Rio Novo Partner in Construction, Brazil

*Provide technical training to participants in the self-construction process. People can be
trained, for example, as carpenters, electricians, joiners, etc. so that stable employment
opportunities are available after construction is complete.

< The Brazilian Experience of Team Work to Mothers Head of Families, Brazil
< Walterton Neighborhood Builders, Ltd., United Kingdom

*Build/renovate the upper level first while families are living in the ground floor and then
rebuild the ground floor while people are in the upper level. By doing this, the costs of tem-
porary relocation are eliminated.

< Small and Unusual Experience in Self-Construction, Argentina

3.4 Rehabilitation

Often in urban areas, space for new construction is limited and a significant proportion of housing stock is dilapidated. Improvement and modernization of old buildings is, therefore, often more effective than demolition and new construction. Measures should be taken to implement rehabilitation without displacing tenants, where possible.

*Renew or renovate inhabited buildings without moving the tenants, saving the costs of temporary relocation. In addition, a tenant-oriented modernization scheme can be developed, involving the tenant in the rehabilitation process and modernizing the apartment according to his/her wishes.

    <   Sustainable Urban Renewal in Vienna, Austria

*Involve the local community in the rehabilitation process and prevent housing abandonment by retaining most of the existing residents of the neighborhood. The local community participates through cooperatives and local associations.

    <   Regeneration of Hulme, an Inner City Area of Manchester, United Kingdom

*Rehabilitate old buildings following a strategy of mutual-help in which the government or an NGO provides loans for building materials and the tenants provide labor to renew their homes. This system makes rehabilitation less expensive because labor costs are saved.

    <   Pilot Programme of Self-managed Housing Rehabilitation, Uruguay
    <   Housing the Low Income in Botswana, Botswana

*Regenerate housing blocks and the surrounding area to make them more habitable, aesthetically pleasing and welcoming to residents. This rejuvenation may combine refurbishment and new construction.

    <   Forum for Environment Hellersdorf, East Berlin, Germany
    <   Regeneration of Hulme, an Inner City Area of Manchester, United Kingdom
    <   Rehabilitation of Dwellings in a Low Quality Apartment Block, Romania

*Improve the quality of life for families that share the same house by re-forming the building and creating family-owned duplexes out of previously shared housing space.

    <   Predial Densification Programme, Chile

*Develop housing redevelopment policies offering families the choice of compensation or relocation during renovation. Providing multiple options allows greater choice in temporary residence for affected families. This program is a collaborative effort involving the private and public sectors.

    <   Restoring the Old Center of Barcelona, Spain

*Develop consumer-oriented and customer-service based renovations of existing housing. Establishment of housing improvement councils helps to efficiently and directly address potential problems. The housing association offers several types of packages to meet the needs of different types of design interests.

    <   Carrier-Infill, Beatrixlaan, Voorbourg, the Netherlands

3.5 Natural Disasters: Rehabilitation and Construction

Natural disasters present two challenges: prevention and response. Preventative measures include disaster-resistant technologies and appropriate planning techniques. Effective responses to disasters should include the timely rebuilding and improvement of housing and infrastructure and the provision of interim relief.

* Provide non-transferable vouchers to purchase building materials for self-construction. The size of the voucher depends on the progress the beneficiary has made on the construction of his/her house. In this way, materials are subsidized and in exchange people offer their labor facilitating the reconstruction of the ruined area.

    < Housing Subprogram – Flood Rehabilitation Program, Argentina

* Provide emergency relief by pooling resources of various agencies such as state and central governments, international organizations, development authorities, research organizations, NGOs and community-based organizations and the local populace to rehabilitate areas damaged due to the natural disaster. Also prepare state level disaster management plan to ensure future preparedness.

    < Maharashtra Emergency Earthquake Rehabilitation Program, India

* Develop earthquake resistant technologies that would not only reduce the extent of damage caused by the disaster but also facilitate expedient relief measures in the future.

    < Maharashtra Emergency Earthquake Rehabilitation Program, India

* Construct brick housing in flood zones through a combination of bank financing, self-financing and domestic and foreign aid. Brick housing, for instance, is resistant to flood damage. This specific case also involves broad public participation in the construction of housing.

    < Post-disaster Reconstruction and Rehabilitation of Rural Areas in Anhui,
      People s Republic of China

4. LOW INCOME AND AFFORDABLE HOUSING

(See also 1.1 Cooperatives and 3. Construction and Rehabilitation)

Perhaps the biggest challenge facing each nation and various levels of government is finding inexpensive ways to fund housing for those unable to afford it. In developed nations with more available assistance, disseminating information about specific types of assistance has proven effective. Another method initiates different ways of implementing mixed-income housing, bringing socio-economic classes closer together. A third approach focuses on instilling community participation and ownership and involves creative, custom-made low-income housing.

4.1 Informational and Counseling Services

Many low-income households lack the information and assistance needed to secure housing. Counseling and training may empower residents to understand the legal and economic resources that are available to help them acquire and retain housing.

*Provide counseling and assistance through an information office. The advice includes legal and financial aspects of housing and tenancy, and information about subsidized housing supply. This information is regularly published in a daily newspaper informing large numbers of people about what is available on the market.

> < Housing Information System for Disadvantaged Population Segments, Vienna, Austria

*Provide technical training to participants in the self-construction process. People can be trained, for example, as carpenters, electricians, joiners, etc. so that stable employment opportunities are available after construction is complete.

> < The Brazilian Experience of Team Work to Mothers Head of Families, Brazil
> < Walterton Neighborhood Builders, Ltd., United Kingdom

4.2 Mixed-Income Housing

Economically homogeneous communities can perpetuate segregation and social and economic polarization. Mixed income communities can produce benefits such as job creation and economic development for local residents in all income groups.

*Provide housing units for low-income and moderate-income families as well as market-rate units in the same neighborhood. This helps to promote economic diversity, which eventually produces economic development by bringing income to the area. For example, in Manchester, England, housing associations are mixing non-housing elements such as shops, workshops and health center with social housing and housing for sale, creating a new community with a different range of incomes.

> < South End Neighborhood Housing Initiative, United States
> < Cooperative Housing in Canada: A Model for Empowered Communities, Canada
> < Regeneration of Hulme, an Inner City Area of Manchester, United Kingdom

4.3 Customer-Oriented Housing Distribution

Low-income housing consumers often lack choice in designing and financing housing units. Expansion of options can increase customer satisfaction and pride in ownership.

*Offer customers a "basket approach" with a flexible menu of selections, like sites and services development, supplementary cash loans, skeletal housing, core housing, on-site improvements of land and shelter, access to sanitation, creation of land banks for the homeless etc. This helps identify the needs of customers, making it easier to tailor housing units to match their needs and budgets. This customer-oriented structure serves individual needs best and enhances satisfaction and pride in ownership.

< Innovative Housing Finance and Delivery Mechanisms, India

5. PLANNING AND COMPREHENSIVE APPROACHES TO HOUSING DEVELOPMENT

(See also 7. Community and Economic Development)
The most successful housing programs involve well-executed strategic or long-range plans. There are often geographic, environmental, economic and population-specific issues that require careful consideration in planning. Involving community members in the planning process improves the responsiveness and appropriateness of plans and promotes project sustainability.

INDIA

Academy for A Better World Value Based Education in a Village Complex, India

High in India s Aravali mountains above the arid deserts of Rajasthan lies the Academy for a Better World, a modern village-style learning complex built by the Brahma Kumaris World Spiritual University in 1981. The Academy which offers moral and spiritual instruction for up to 800 residents is a model of environmentally sensitive development. Built using energy-efficient construction strategies, the Academy is also distinguished by its efficient use of natural resources for the production of energy.

The Academy s innovative design features a newly-developed dome-and-vault construction technique using stabilized
soil blocks (or mud bricks) internally, along with an earth-tunnel ventilation system to help maintain a relatively stable year-round temperature. Buildings using this technology are entirely reliant on solar and wind energy for their electricity supply, as is the Academy s street lighting system.

The Academy is believed to be the only solar- and wind-powered facility of its scale and type in Rajasthan. To generate energy, the Academy uses a small hybrid photovoltaic and wind generator system and two wind battery chargers. These systems supply electricity constantly to the Academy s telephone and emergency lighting systems, audiovisual system, water pumps and computers. Its two large parabolic solar cooking devices can cook over 150 meals a day. These sys-

5.1 Environmentally Sensitive Planning

In some cases environmental conditions and limited natural resources affect the development of housing. Housing developers should take care to make effective use of local resources and to create designs with environmental conditions in mind.

*Coordinate an ecologically sensitive water recycling program among several local communities. This process improves the economic standing of the region by developing infrastructure and increasing economic development opportunities. (See Box 3)

   < Triangle Region, Denmark
   < Academy for A Better World Value Based Education in a Village Complex, India

*Use solar energy systems for cooking and household heating. Solar energy provides a low-cost alternative to more expensive and limited conventional fuels used for household needs. (See Box 3)

   < Solar Village, Greece
   < Academy for A Better World Value Based Education in a Village Complex, India

*Install wind-energy capacity to supply electricity constantly for telephone and emergency lighting systems, water pumps, computers and other systems. (See Box 3)

   < Academy for A Better World – Value Based Education in a Village Complex, India

*Take advantage of barren land to build housing complexes. Initiatives that include reforestation and land development can use previously wasted land and help conserve the environment for cost effective housing. The Lillehammer Olympic Village, for example, integrated barren land into housing development.

   < Academy for Better World Value Based Education in a Village Complex, India
   < Green Games: Lillehammer 1994, Norway

*Construct environmentally sensitive housing development using passive solar energy and other technological innovations.

   < Ecological Residential Area, the Groene Dak, Utrecht, the Netherlands

*Recycle building materials for use in developing housing for low-income individuals. A partnership can be established with building contractors and manufacturers and distributors of building products to donate their construction waste, provide those materials to developers of low-income housing, and save donors' dumping fees at landfills. (See Box 4)

   < The Loading Dock (TLD), United States

*Emphasize environmentally sensitive planning for large-scale development projects or public events. The Lillehammer Olympic Village showcased practical solutions to meet environmental challenges. For example, 70 percent of the signs used were made of recycled cardboard, and disposable plates and cutlery made of maize and potato starch were used.

   < Green Games: Lillehammer 1994, Norway

*Preserve the natural landscape by organizing buildings in small clusters with courtyards.

< Asbraten Housing Area, Norway

*Develop collaborative efforts between the public and private sectors to create environmentally sensitive housing. This case highlights a collaborative, locally led housing development strategy that respects the natural environment.

< Integrated Development Nieuwland, Amersfoort, the Netherlands

UNITED STATES

The Loading Dock (TLD), United States

The Loading Dock (TLD) is the first successful, self-sustaining, nonprofit recycler of reusable building material in the United States. TLD began as a grassroots response to the lack of resources for housing rehabilitation and development in Baltimore s low-income communities. The founders of TLD saw the need to match wasted and surplus building materials from private construction projects with low-income people in need of inexpensive building materials for new or improved housing.

TLD s success rests on a simple idea. TLD establishes partnership agreements with building contractors and manufacturers and distributors of building products to recover their construction waste and surplus materials. TLD then sells these materials at low prices to developers of low-income housing. Everyone who participates in TLD s effort benefits. The donors benefit from tax breaks and savings on waste-dumping fees when they donate building materials to TLD. In its eleven years of operations, TLD has rescued nearly 33,000 tons of building materials from landfills, saving nonprofit organizations nearly $5 million, and assisting with the rehabilitation of over 25,000 homes for low-income individuals.

TLD fosters linkages between groups that typically do not work together, such as building manufacturers and area landfills. In addition, TLD has served as the prototype for over 20 other nonprofit organizations across the United States seeking to integrate the economic, housing and social benefits of sustainable development by establishing linkages between different groups.

5.2 Planning for Needs Sensitive Housing

Some populations have specific needs that are difficult to address through a general housing scheme. Housing developers must address the particular needs of older people, single parents, people with disabilities, and others through needs-sensitive planning, design and implementation of housing projects.

* Implement disabled accessibility programs for housing and other public works. In this project, successful partnerships were made possible between government and NGOs.

    < Adaptable Construction Galecop, Nieuwegein, the Netherlands

* Build a neighborhood accessible to disabled individuals through the use of appropriate architectural techniques. The project uses an urban computer network to facilitate telecommuting, providing economic opportunities for the city's disabled community. (See Box 5)

    < City for All – Barrier-Free Environment, Finland

* Eliminate physical barriers at workplaces and residences that prevent the disabled from integrating into the local labor market.

    < Disabled Assistance and Support, Portugal

* Provide space for the occupational activities of residents. In this case, housing was developed for basket weavers. Space for basket weaving activities and retail outlets was built within the housing project. Thus, there was no need for individual work spaces in each housing unit and the residents did not have to rent or buy such spaces elsewhere and commute to work. Such initiatives optimize the use of space and best serve the needs of residents.

    < Basket Weavers Housing Project, India

* Create women's organization to empower housing residents to articulate local needs and design gender sensitive solutions. Such a process provides sustainability through community building.

    < Gender Sensitive Approach to Shelter Issues of the Urban Poor, India
    < Frauen-Werk-Stadt- A Housing Project by and for Women in Vienna, Austria
    < Women and Accessibility in Town Centers, United Kingdom

* Establish housing programs designed to create self-sufficiency for women. All needs are accounted for within the housing center.

    < Burgerziekenhuis Hospital, Amsterdam, the Netherlands

* Provide not only residential, but also working spaces so that home-based work activities can be carried out. This can be done by providing open spaces, inside or around the housing area or by providing units with both functions (i.e. house and workshop), thereby addressing the common special need in low-income communities of income generation opportunities.

    < Integrated House-cum-work Area Projects – Handloom weavers, India
    < Basket Weavers Housing Project, India
    < Vila de Oficios Program, Brazil

* Include children's parks, recreation facilities, and youth clubs to cater to the needs of youth

and children in housing developments.

> < Planning and Participatory Strategies, Jordan

*Create a consumer seal of quality (e.g., "Senior Citizens Label") to promote specific designs of housing for a specific purpose or population (e.g., housing for senior citizens). This project formed a committee to verify a number of requirements for the eligibility of the seal and awarded the seal to the projects or the areas satisfying the requirements.

> < Senior Citizens Label, the Netherlands

*Publish a manual to promote a specific type of housing. For example, a manual for environmentally sustainable construction can include national environment policy, building materials and techniques that minimize pollution, and a list of suppliers of environmentally acceptable products. The manual does not necessarily have to be a blueprint; it can instead describe options.

> < Sustainable Construction Manual, the Netherlands

*Build housing for politically marginalized groups living in areas of conflict. Housing can be built discreetly and within a low profile scheme to assist those caught in the middle of a potential civil war.

> < Craigingilt Housing Scheme, Kandy District, Sri Lanka

*Encourage culturally sensitive planning through traditional construction techniques, the use of indigenous materials and community participation. In Australia, for example, a council was formed by members of different kinship and language groups allowing for the representation of local needs.

> < Building of Water Tank and House Using Indigenous Materials, Papua New Guinea
> < Tangentyere Council – Indigenous Urban Settlement, Central Australia, Australia

*Give preference to minority business enterprises, community development corporations and joint ventures with these groups when planning housing development projects.

> < South End Neighborhood Housing Initiative, United States

*Create village with apartment facilities to provide services for single parents such as housing, sanitation, day care facilities, mentoring and tutoring and employment services. Require that residents pledge to abide by contracts which stipulate individual goals and objectives.

> < McAuley Village, United States

*Relocate mentally disabled individuals from regional institutions to new private homes in their communities and provide home-based services. This promotes the social integration of mentally disabled individuals, who too often experience isolation in specialized care facilities.

> < Housing for Mentally Retarded in Notteroy, Norway
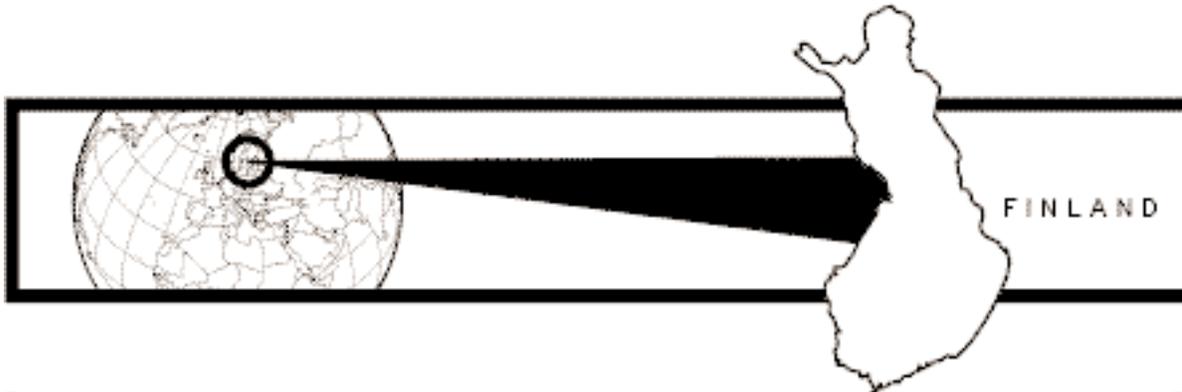
FINLAND

A City for All: Barrier Free Neighborhood, Finland

In the early 1990s, the City of Joensuu, located in Eastern Finland, created a new residential neighborhood called Marjala with the intention of designing an environment in which everybody, including disabled individuals, could lead full and independent lives. Prior to 1990, the city had built special housing for the elderly and the disabled, but an evaluation of these projects found that wheelchair-bound residents were constrained in their efforts to cope with everyday life independently.

In order to avoid such problems in Marjala, the city issued a set of design guidelines for all new building projects. These guidelines require that all dwellings, shared facilities and connecting routes be designed to allow barrier-free access and mobility for inhabitants with impaired vision, mobility or any other disability. This criterion was applied even for the smallest detail in the neighborhood so that all its streets, pavements, squares, bridges, parks and green areas with their paths and canal side promenades were built to be accessible by all. To ensure that Marjala s design would meet these guidelines, the City Council organized a nationwide architectural competition for a master plan.

The city s barrier-free streets, squares and pedestrian-access routes significantly improved disabled residents ability to lead independent lives. Further, through the city s computerized Multiservice channel which can be accessed from either home computers or from the city s Multiservice Center, and which links all the city s social service providers residents can seek expert advice, communicate with other residents or discuss municipal affairs with political decisionmakers. The Multiservice channel has also enabled disabled residents to telecommute (i.e., work from home via computer).

The planning and building of Marjala, and the provision of services to its residents, are based on innovative partnerships between the public and private sectors and the creative use of modern technology.

5.3 Infrastructure, Sanitation and Safety

(See also 7. Community and Economic Development)
Housing projects often lack clear and detailed strategies for the design of infrastructure. These
cases illustrate how housing projects can address sanitation and safety issues such as clean water,
solid waste collection and crime reduction through innovative planning and design.

*Include several local communities in an ecologically sensitive water recycling program. This
coordination improved the area's infrastructure while decreasing per capita costs through
the advantages of economies of scale.

< Triangle Region, Denmark

*Make the renewal of an area's physical infrastructure consistent with the development and
delivery of new social, educational and economic opportunities for residents.

< Banana Kelly Community Improvement Association, United States

*Provide communal garbage containers on every road for solid waste collection.

< East Wehdat Upgrading Project, Jordan

*Include social safety aspect in the planning stage or in the redesign of an area. By incorpo-
rating 'mixed functions' (living, working and recreation) into the development of a street or
neighborhood, people are more likely to be on the street all day, enhancing local safety.

< Social Safety Oosterwei, Gouda, the Netherlands

*Provide police officers a concessional housing loan so that they can purchase houses in
areas where public safety is a concern.

< Police Homeowner Loan Program, United States

*Create a program to give young people, who are normally regarded as high-risk, leadership
skills and initiative to drive out drug dealers. Police officers and other community coalitions
can be included in the program. In this way, youth can receive support and training from
experienced staff and build a network with community police officers.

< Take Back the Park, United States

*Redevelop dilapidated housing in neighborhoods with high crime. Renovate or demolish
dilapidated buildings to open dark areas and reduce drug dealing and other criminal activi-
ty. The temporary resettlement of families during renovation work eases tensions and elimi-
nates the need to permanently relocate residents.

< Spain: The Renewal of the Governor s Housing, Spain

*Renovate plumbing systems in public housing and other public structures to improve com-
munity health and hygiene. This effort was undertaken by a partnership among a private
consulting firm, public funding agency, and a non-governmental educational organization,
with a strong emphasis on fostering community participation and empowerment.

< Health Through Sanitation and Water (HESAW A), Tanzania

6. DISTRESSED AREAS

Millions of families are living in extreme poverty conditions, lacking basic needs such as food and shelter. This section addresses some of the strategies that have been used to improve the conditions of those living in marginalized areas. These strategies include the provision of land tenure and security, and the redevelopment of slums and shantytowns.

6.1 Free Land Plots

(See also 6.2 Slums, Shantytowns, and Squatter Settlement Redevelopment)
Lack of land security poses one of the greatest threats to marginalized and poor groups. A number of innovative programs provide free land plots to address this problem and lay the foundation for sustainable communities.

* Provide free land plots to slum dwellers. Beneficiaries gain secure land tenure and can use plots as security to gain access to bank loans for housing and economic development. Financial and technical support for local poor associations can facilitate the resolution of land tenurial disputes. (See Box 6)

  < Kaantabay sa Kauswagan, An Urban Poor Program in Naga City, Philippines
  < Improving Living Environments for the Low Income Households, Saudi Arabia
  < Improved Plot Project: Affordable Land and Housing in Senegal, Senegal
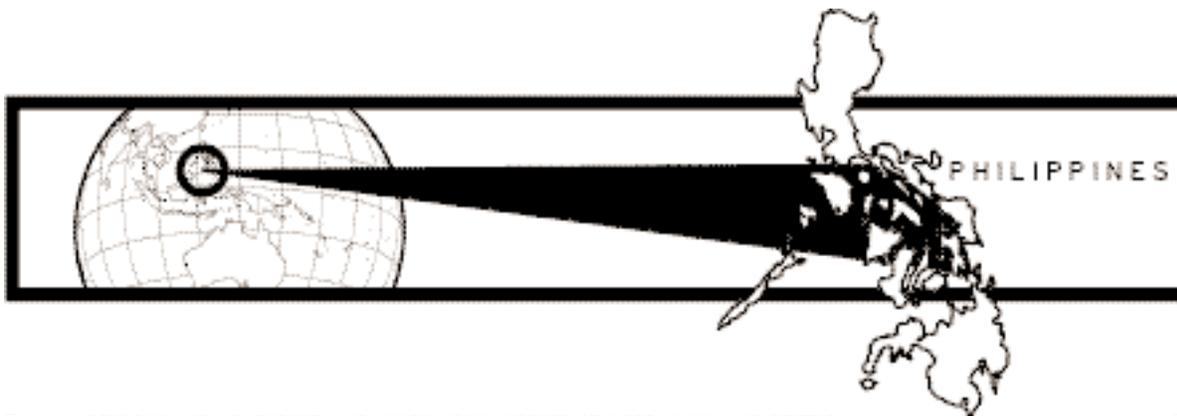
Kaantabay sa Kauswagan, An Urban Poor Program in Naga City, Philippines

The Kaantabay sa Kauswagan (or Partners in Development) program was designed to empower squatters and slum dwellers in Naga City, the Philippines. These urban poor comprise some 25 percent of the population of this rapidly growing city.The program addresses two main problems affecting this group: the absence of secure land tenure, and the lack of basic infrastructure and facilities in their communities. In doing so, the program treats squatters and slum dwellers both as program partners and beneficiaries, and empowers them to partici-pate
actively in every step of problem resolution. Before the program began, the urban poor were represented by only
9 organizations; today, there are more than 70 urban poor associations.

Since its inception in 1991, the program has resolved disputes regarding 33 hectares of private and public land, benefiting 2,017 landless families. It has also facilitated the renewal of 27 blighted urban poor communities that house over 2,700 families. This has been done primarily through a fair, credible and effective mechanism for solving land tenurial issues, which brings together government agencies, urban poor associations, NGOs and private landowners. Under this setup, national government agencies extend operational and financial sup-port to the program's land acquisition trust. Urban poor associations signify their support and commitment through their willingness to negotiate, organize residents, raise equity for land acquisition, and provide labor for urban upgrading projects. Finally, landowners demonstrate their cooperation by exploring peaceful means of settling land tenurial disputes rather than ejecting squatters and demolishing their homes.

The project which is acknowledged as a model urban poor program among Philippine local governments today has developed four strategies to facilitate the transfer of land ownership from government and private owners to individual occupants. These include:

1. Direct purchasing of an occupied parcel of land by the government itself (the occupants then repay the cost of their individual home lots to government);

2. Land swapping, which involves the exchange of one occupied property with an unoccupied property of roughly equal value (the occupants then repay the cost of their individual home lots to the new owner);

3. Land sharing, which involves working out a mutually acceptable arrangement for a property that allows both the landowner and the occupants to satisfy their respective needs; and,

6.2 Slum, Shantytown, and Squatter Settlement Redevelopment

(See also 3.2 Low-cost Building Techniques)
The problem of providing housing for families living in high poverty areas is one of the greatest chal-
lenges facing urban areas today. Housing developers can employ innovative methods for construct-
ing housing, building infrastructure, and providing social services that integrate these affected
groups into the mainstream.

* Urbanize slum areas by developing basic infrastructure such as sewage systems, drainage,
  pavement, electricity, and garbage collection. This can be seen as a first step in the effort to
  integrate these areas into the city, avoid relocation and provide people with a better quality
  of life.

  < Cingapura Project-Urbanization and Verticalization of Slums Area, Brazil
  < Diadema: Consolidating Innovative Alternatives of Municipal Management, Brazil

* Develop a comprehensive approach to slum revitalization, including not only basic infra-
  structure but also community development components such as day nurseries, community
  centers, medical centers, recreation and sports areas, job creation programs, training pro-
  grams, cooperatives, small enterprise development, and credit for improvement of houses.
  All these components were developed with the support of NGOs and the private sector.

  < Favela Bairro Program, Brazil

* Build/renovate the upper level of a house first while families are living in the ground floor
  and then build/renovate the ground floor while people are in the upper level. By doing this,
  the costs of temporary relocation are eliminated.

  < Small and Unusual Experience in Self-Construction, Argentina

* Build two story houses to provide an upper floor home and a workshop on the ground floor.
  This system gives families the opportunity to generate supplementary income.

  < Vila de Oficios Program, Brazil

* Use construction waste materials, turning the pieces into bricks. The use of these building
  materials allows for significant savings.

  < Living Better Program, Brazil

* Resettle large households to larger apartments to relieve urban overcrowding. This case
  involves a sliding scale pricing scheme and subsidies for the poor. Priority is given to reset-
  tling households with the least living space per capita (2 square meters or less).

  < Housing Settlement Project in Shanghai, People s Republic of China

* Provide free land plots to slum dwellers. Beneficiaries gain secure land tenure and can use
  plots as security to gain access to bank loans for housing and economic development.

  < Improved Plot Project: Affordable Land and Housing in Senegal, Senegal

* Create economic incentives for acquisition by low income families of their own housing. Eradication of shantytowns was achieved through a holistic strategy involving a study of the families living in the urban shanties, subsequent partnership development, and strategic long-term planning in which "Gijon – A town for all" was created. The plan involved all aspects of urban planning: economic incentives encouraging housing ownership, expanded sanitation infrastructure, educational infrastructure, and cooperation on a multi-sectoral level.

    <   Urban Renewal & Social Insertion: Opening of the Town to the Sea, Gijon, Spain

* Replace shacks with subsidized houses in urban center. Led by a neighborhood movement, housing was priced on a sliding scale, never exceeding ten percent of each family's net income.

    <   Participation in Urban Renewal: Madrid, Spain

7. COMMUNITY AND ECONOMIC DEVELOPMENT

To sustain thriving communities, planners must often address housing and economic development simultaneously. Creative strategies can generate jobs and income for residents, facilitate their entry into local economies, and meet housing needs. The provision of housing alone may not address other critical socio-economic and cultural needs of the community. Housing projects can be designed to address housing needs and catalyze community and social development simultaneously, incorporating a variety of program components into their design. Increased participation fosters a healthier, more invested community.

* Build two-story houses to provide an upper floor home and a workshop on the ground floor. This system gives families the opportunity to generate supplementary income.

    <   Vila de Oficios Program, Brazil

* Develop job training and income generation programs to guarantee investment in the community and decrease departures. The training programs can focus on the development and/or improvement of small businesses owned by the families in the community. Training can also be provided for the acquisition of skills related to the construction business so that, in cases of self-construction, once the construction project is finished, people can find jobs in construction.

    <   Innovative Policy Instruments in Urban Planning & Development, Bombay, India
    <   Integrated House-cum-Work Area Projects – Handloom weavers, India
    <   Housing Program of Rio das Flores and Rio Novo Partner in Construction, Brazil
    <   Favela Bairro Program, Brazil

* Create a community-labor exchange program so that residents may secure jobs on new construction projects.

    <   The Bronx Center Project, United States

* Set aside jobs for poor, unskilled residents. In this case, a government agency created employment and training opportunities for local residents in housing and infrastructure-building projects. Throughout the construction process, workers were taught technical, commercial, managerial and administrative skills. (See Box 7)

  <   Soweto: Mobilizing the Community, South Africa

* Establish a revolving loan fund for home construction and roof repairs. The materials and funding are generated through a tile production scheme that uses locally available resources and creates employment opportunities within the community.

  <   Peramiho Home Makers League, Tanzania

* Issue credit cards to be used by community residents only in local stores. This project provided credit for low income residents and promotes local economic development. (See Box 1)

  <   PALMA$ Popular Bank in Palmeira District, Brazil

* Promote the production of local and inexpensive construction materials while providing economic development opportunities to the community. This project used locally produced raw materials to decrease building costs and improve the local economy.

  <   Bamboo Foundation (FUNBAMBU), Costa Rica

* Subsidize private restoration of houses to combat social exclusion of poor residents. The government supplies labor and materials increasing the value of property, and the land-lords significantly reduce rent charges. The objective of retaining a mixed-income community can be achieved, preserving the integrity of the urban area while successfully sustaining a peaceful integrated community

  <   Fighting Social Exclusion: Integral Plan for the Old City of Zaragoza, Spain
  <   An Integral Program on Housing Rehabilitation for Social Purposes, Spain

* Provide housing as part of broader development, including social services such as health care, day care centers, community centers, educational facilities and services, social activities, income generation projects, environmental and recreational programs, etc.

  <   Association for Mutual Self-Help for Low Income Housing in Piracicaba, Brazil
  <   The Breglumasi Program An Urban and Social Development Initiative, Albania
  <   Favela Bairro Program, Brazil
  <   Innovative Policy Instruments in Urban Planning & Development, Bombay, India

BOX 7. BEST PRACTICE FROM SOUTH AFRICA

Soweto: Mobilizing the Community, South Africa

Because the City of Soweto was originally developed as a temporary township, there was little effort to invest in new infrastructures or to develop a sound tax base for business and commercial development. As a result, residents not only had inadequate infrastructure, but also had little access to business opportunities.

To remedy this situation, the City is implementing a long-term upgrading project in several areas of the city to improve the quality of life for residents. The project emphasizes the establishment of a viable construction industry within the city to build paved and surfaced roads and to provide the residents with job training through their involvement in the process. The main approach is to structure and execute construction projects using labor-based technologies and labor intensive methods in such a manner that throughout the construction process:

1) employment and entrepreneurial opportunities are created for members of the community; 2) skills and competencies in technical, commercial, managerial and administrative areas are transferred to participants; and 3) the percentage of construction costs retained by the community is maximized.

The upgrading program has evolved from a policy of extracting as many jobs for residents as possible from the construction work, into a complex of labor-based construction technology, training and supports which are designed to offer entry level jobs to the unskilled, as well as business opportunities for entrepreneurs. Work opportunities are also provided for residents in the development of the support structure as managers, technicians, inspectors, drivers and administrators. This project has led to a visible improvement not only in the visual appearance of key areas, but also in the attitudes of the inhabitants towards their environment and creating a

8. COMMUNITY PARTICIPATION AND CAPACITY BUILDING

Community participation is often an integral element of successful planning and development projects. Community participation gives voice to residents, enabling them to advocate for themselves and influence their environment. Capacity building provides the hard skills necessary for community members to work toward personal and community goals and improve socio-economic conditions for all. Providing information and training can help residents build and maintain their communities.

8.1 Community Participation

Local participation can be crucial to the viability and sustainability of housing projects. Many successful projects include a variety of methods for facilitating community participation, including leadership development programs, planning fairs, and other participatory techniques.

* Involve the community in the planning and implementation stages of projects. This includes participation in the identification of current problems of the neighborhood or area, as well as the design of a plan that includes feasible solutions in which they can also participate. In addition, special training programs can be provided to the residents, so that they can participate more actively. For example, in Botswana the residents were fully involved in the planning and implementation stages of a housing project. They participated in the planning and demarcation of roads and footpaths, and the location of standpipes and areas for social facilities. In Brazil and India, housing projects were developed with the active participation of families, who worked in committees and organized the work force and construction materials with the support of social workers and architects.

  < Housing the Low Income in Botswana, Botswana
  < Sustainable Urban Renewal in Vienna, Austria
  < Housing Program of Rio das Flores and Rio Novo Partner in Construction, Brazil
  < Self-Help Housing Production Program Managed NGO, Brazil
  < Cost Effective Environment Friendly CEEF Shelter Development Strategy, India
  < Regeneration of Hulme, an Inner City Area of Manchester, United Kingdom
  < Switched Onto Safety, United Kingdom
  < Pilot Programme of Self-managed Housing Rehabilitation, Uruguay

* Market and sell planning ideas to the public through visual aids and models to increase community interest and participation in the planning process.

  < Land Use Development Scenarios for the Rideau Canal Shoreline, Canada

* Improve the environment, hygiene and health conditions by fighting unsanitary conditions caused by solid and liquid wastes and lack of urban sanitation infrastructure. Community participation and support of local authorities was fundamental to the success of this project. Begun in 1990, the initiative has provided 450 households with private sanitation, of which nearly 200 are linked to waste and water treatment plants through a narrow drainage system.

  < Community Participation in Urban Environmental Management in Rufisque, Senegal

* Establish interdisciplinary workshops, led by professionals, which work on the ground with the community, promoting community outreach and encouraging public participation in the planning process of the neighborhood and the city.

  < Advanced Ideas for Participative and Sustainable Development in Havana, Cuba

* Showcase and share new planning ideas with annual housing and urban planning fairs.

  < Housing Fair, Finland

* Adopt a consumer-oriented and customer-service-based approach to housing renovations. This case highlights the use of housing improvement councils, which fostered a sense of responsibility and ownership among community members.

    < Carrier-Infill, Beatrixlaan, Voorbourg, the Netherlands

* Use participatory local planning techniques to improve living conditions. This case highlights partnership with community organizations, self-help, appropriate technology and basic engineering skills training.

    < Living Conditions Improvement In Northern Areas, Pakistan

8.2 Capacity Building

To promote the long-term sustainability of housing projects, participants must play an informed and productive role in project development and implementation. Many successful projects include a variety of methods for building participants leadership, management and technical skills.

* Provide housing guidance, information and counseling to local residents.

    < Appropriate Grassroots Level Intervention for Cost Effective Housing, India
    < Grass Root Level Tech. Transfer,Training, Affordable Housing Construction and Guidance, India
    < The Ballysally Estate Strategy, Northern Ireland

* Provide legal, financial and technical support for community organizations seeking to gain title to urban land for the poor. This Best Practice sought to coordinate the efforts of community organizations to reduce legal and administrative costs. The project also promoted a democratic and participative land tenure process to empower local communities, with a special emphasis on women.

    < Urban Land Tenure Legislation in Managua, Nicaragua

* Put a strong emphasis on increasing local participation and empowerment, both in training and construction, as well as in self-management. Particular emphasis was placed on providing higher education training for future local leaders.

    < Valdicio Development, Soba Municipal District, Spain

* Create a center to assist clients with budgeting and establishing plans for financial stability so they can qualify for bank loans.

    < A Continuum of Program-Enriched Housing, United States

* Establish training institute and mentor program to support environmentally sensitive development. For example, local leaders from throughout the region were brought into Tlholego for training in ecological land use which could be applied in their own communities. This approach also provided an opportunity for leaders to share information on effective methods to combat housing and economic problems affecting different areas of the country.

   < Tlholego Eco-Village Development Project, South Africa

* Use visual aids such as brochures, scale models and videos to represent different development options. These visual aids can influence policymakers and increase community interest and participation in the planning process. (See Box 8)

   < Land Use Development Scenarios for the Rideau Canal Shoreline, Canada

* Build a large-scale model of a city and authorize free access to the pavilion where the scale model resides, improving knowledge about the city's cultural history and comprehensive development.

   < Advanced Ideas for Participative and Sustainable Development in Havana, Cuba

* Administer an integrated development project through a neutral party, such as an NGO, balancing the concerns of local residents and national politicians. Outsourcing of management to an NGO eases the burden on politicians, while creating identifiable accountability for residents to identify and eradicate problems.
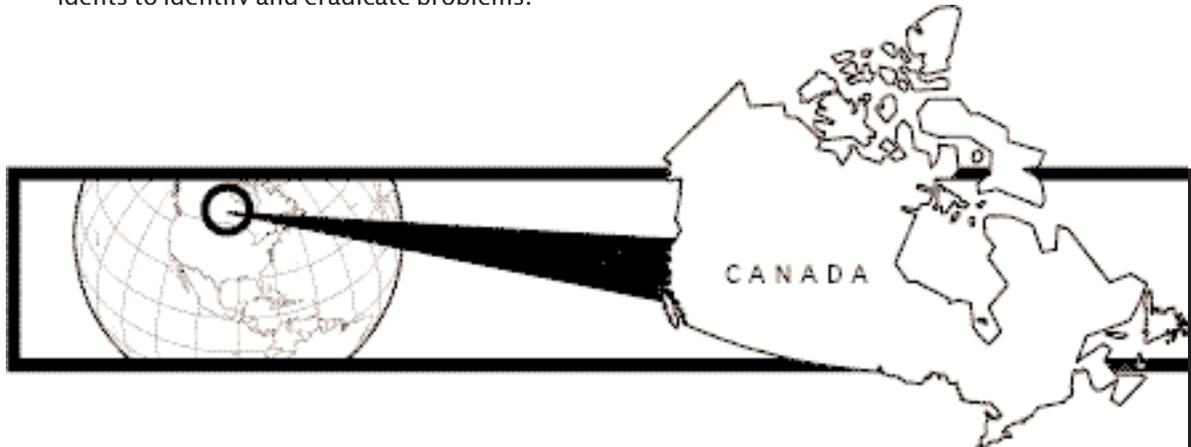
CANADA

Land Use Development Scenarios For the Rideau Canal Shoreline, Canada

Along Canada s Rideau Canal, the rural landscape is being replaced by residential developments, and the historic character of small villages and towns is being altered by the scale and design of housing subdivisions and commercial development. The pace and scale of modern development threatens the quality of the environment, and erodes the natural and cultural values that have given the Canal its unique appeal.

To help policymakers see the threats posed by rapid development, planners created visual representations of what the local area might look like under different scenarios. They created four hypothetical sites which represented the natural and cultural diversity, planning culture, and development trends of the Canal corridor. These generic sites typified different landscapes of the Canal corridor and took into consideration all of the development pressures on the Canal. Visual representations were then created of what these sites could look like in the future. Three scenarios were prepared for each site: first, a snapshop of existing environmental and development conditions; second, an illustration of what might happen if development proceeded according to current planning practices; and, third, a creative scenario that illustrated a wide range of possible alternatives. Each scenario was supported by text and illustrated in color, with both ground-level and bird s-eye perspectives.

In the context of planning, a picture says a thousand words. Using this visual approach, planners can demonstrate graphically the potential biological effects and landscape impacts of different development options. This visual approach also provides a longer-term perspective of the landscape. It permits people to see how land use policies and natural resource management practices affect areas over the short and long term. The visual approach to landscape planning is a powerful and persuasive tool that can be employed in the decisionmaking process. Its success

9. PARTNERSHIPS

Multi-sectoral collaboration can generate creative responses to housing problems, harnessing resources and talent from the private, public and the non-governmental sectors. This growing trend has catalyzed entire communities, and has promoted greater understanding between sectors.

*Promote and undertake partnerships with government, civic groups, NGOs and universities. This kind of partnership can bring together the strengths of different players and allow for the pooling of human and financial resources, making possible the development of bigger projects. In Brazil senior students and professional associations provided training to support the self-construction process of low-income families. In China, local government, university planning institutes and community residents collaborated to develop economic development and environmental preservation plans for Zhangjiagang City.

   < Association for Mutual Self-Help for Low Income Housing in Piracicaba, Brazil
   < Cooperative Housing in Canada: A Model for Empowered Communities, Canada
   < Affordable Housing for a New Democratic Poland, a Market Oriented Approach, Poland
   < Community Action Planning (CAP) Methodology in Sri Lanka, Sri Lanka
   < Integrated Environmental Improvement Programme, Zhangjiagang City,
     People s Republic of China

*Outsource management of neighborhood housing to an NGO. In this case, an NGO served as a neutral administrator balancing concerns of a diverse community. This increased communication and understanding between sectors, with an added emphasis on environmental awareness.

   < Ecological Neighborhood Management, Romolenpolder Haarlem, the Netherlands

*Coordinate efforts in construction among technical institutes, government and the private sector. This partnership has led to the development and construction of easily erected modular housing systems.

   < Self-Contained Housing Delivery System, Thailand

*Develop partnerships between universities in developed and developing countries. Students and faculty can work together in the field, learning from both sides' perspectives.

   < Vernacular Architecture in Uganda   A Joint Student Course, Uganda

*Establish a collaborative effort between public and private sectors to create environment-sensitive housing. This was achieved through the use of sustainable and recyclable materials for construction, as well as solar energy in the housing. Separate waste collection systems ensured public safety and sanitation. An additional focus on decentralization and empowering local leadership was implemented through a neighborhood housing association and regional energy company. (See Box 9)

   < Integrated Development Nieuwland, Amersfoort, the Netherlands

*Form a network with like-minded organizations such as cooperatives, local NGOs and other community based organizations. This network increased coordination and pooled resources.

   < Cost Effective Environment Friendly CEEF Shelter Development Strategy, India

10. REGULATION

In some cases, the resolution of housing problems is dependent on the reform and simplification of government regulations. Reform may seek to reduce bureaucracy and eliminate obstacles to creative responses.

* Delink development tasks from government rigidities. This will cut down on bureaucratic hierarchy and make services easier to access and more sensitive to local needs.

  <   Cost Effective Environment Friendly CEEF Shelter Development Strategy, India

* Develop control regulations that allow alternative practices to compulsory land acquisition. Such regulations may include transfer of development rights and reservations placed on a plot of land to be used for public utilities (i.e., even though that specific plot of land is open for sale, there is a restriction that it has to be used for a particular public service).

  <   Innovative Policy Instruments in Urban Planning & Development, Bombay, India

* Simplify and streamline regulatory processes and procedures in land and housing sector development. This may include simplifying the permit process or land tenure requirements, etc.

  <   Housing and Urban Sector Reform, Jordan

THE NETHERLANDS
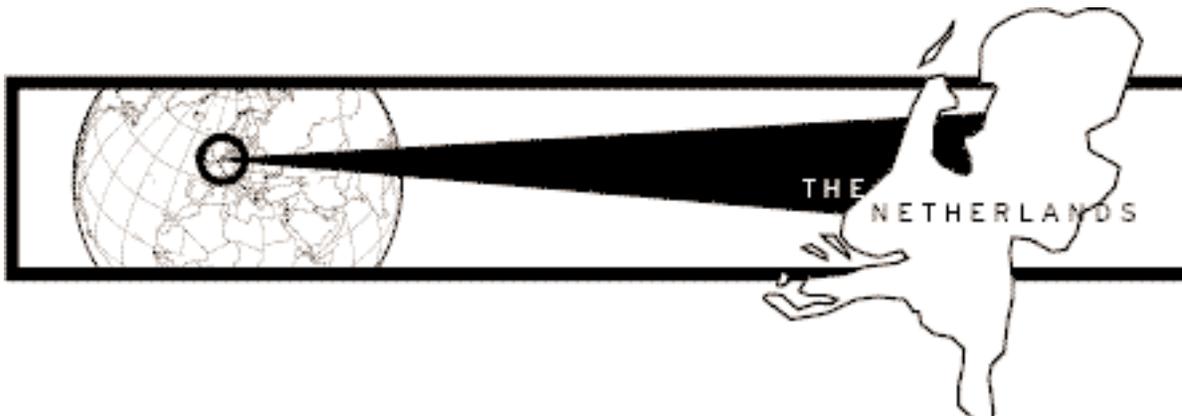
Nieuwland development area, in the Dutch municipality of Amersfoort, is regarded as a prime example of a new, large-scale approach to cooperation between local authorities and the private sector in developing construction projects. The Nieuwland construction plan consists of 35 percent subsidized dwellings and 65 percent market-rate dwellings. Additionally, the plan includes three primary schools and a shopping center, as well as social, cultural and medical facilities.

The development of Nieuwland differed from the traditional method of planning, where the municipality is responsible for all aspects of planning, land use and site preparation. In developing Nieuwland, the municipality worked closely with Overeem VOF, a project developers combine. The local authority's task was to create parameters (public law) and check the progress of the project. Overeem was responsible for urban planning, site preparation and project management. The project organization reflected this allocation of tasks. The actual development and implementation of the plan was guided by a project manager at Overeem, supported by external town-planning and civil-engineering advisors, in close cooperation with municipal departments.

chapter three

BEST PRACTICES: KEY COMPONENTS AND TRANSFERABILITY

Chapter 1 used a statistical approach to examine the Best Practices, considering the different types of Best Practices, the characteristics of the areas in which they appear, and their sources of funding. Chapter 2 looked at Best Practices through a different lens, identifying the core innovative ideas behind many Best Practices, with the hope that these ideas may stimulate local thought processes and innovation elsewhere. This chapter analyzes Best Practices in a third way, considering their most common characteristics and their potential for replicability. In particular, this chapter addresses the following questions:

1. What are the elements that characterize Best Practices: what are the Best Practices ingredients?
2. What types and elements of Best Practices are most replicable elsewhere?

A number of tentative observations can be made here that can then serve as the basis for further discussion, research and analysis. Broadly speaking, while no single element or elements are indispensable for a program to become a Best Practice, a number of elements and approaches appear with sufficient frequency to be worth noting. While no Best Practice includes all these elements, almost all of them encompass at least one, and in many cases, several. These elements can be considered ingredients of the Best Practices recipe, which can be mixed together based on local resources, needs, leadership capacity and other factors. While no ingredient is either necessary or sufficient, they can be combined based on local circumstances to create effective approaches to common challenges.

As will be clear in the discussion that follows, the above questions are very broad questions and, on certain levels, unanswerable. In addition, our ability to generalize from the information in the Best Practices database is somewhat limited. First, the database was created to describe Best Practices submitted by stakeholders and are thus self-selected in each country. Second, those projects that were nominated also reflect the categories and rating elements that were initially determined by UNCHS. Therefore, it should be no surprise that these elements (such as impact, partnerships, and potential for transferability) appear frequently among the database entries. Finally, the information available in the database itself does not always provide the data that would be most useful for drawing these types of generalizations.

Additionally, certain characteristics can enhance the transferability of a Best Practice to another location[1]. However, these must be adapted to the local context. Thus, the challenge of replicability is not to encourage localities to ADOPT the Best Practices of others, but rather to enable localities to ADAPT them to unique local circumstances. The discussion on replicability aims to identify key elements that are most adaptable.

PART A: BEST PRACTICES INGREDIENTS

It is impossible to devise a general formula that all Best Practices follow. In fact, the very essence of a Best Practice often lies in the creativity that has been used in achieving implementation on a local level. In addition, a portion of the success of a Best Practice lies in the fact that local leaders (whether governmental, community, private sector, or a combination) expended the time and energy necessary to ensure effective implementation.

Nevertheless, it is possible to identify a series of ingredients that occur frequently in Best Practices, regardless of the topic being addressed or the region affected. These are often combined based on local circumstances to create a Best Practice responsive to local needs[2].

1. Empowerment

2. Citizen Participation

3. Training and Capacity Building

4. Partnerships

5. Comprehensive Approaches

6. Simplicity in Problem Solving

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1 In this discussion, the terms "transferability" and "replicability" are both used to refer to the likelihood that a locality can benefit from implementing, in substantial part, a Best Practice initially developed elsewhere.

2 As indicated earlier, several of these ingredients should not be surprising, as they reflect the criteria by which Best Practices were rated.

1. Empowerment

Empowerment is an ingredient that creates opportunities for communities to sustain themselves. Self-sustaining communities are likely to share power with both local and national governments and work in partnership with public, private and international organizations. This cooperative approach alleviates the burden on governments and encourages the community to address its needs. Empowerment is particularly effective in developing countries where the government's ability to address the severe challenges of human settlement is most limited. Efforts to increase empowerment have consistently characterized the Best Practices cases. The concept of empowerment can be manifest in different ways.

Communities can be empowered through DECENTRALIZATION. Under this approach, resources, planning and implementation responsibilities are transferred to lower levels of government, local non-governmental organizations (NGOs) and institutions. This process is effective when it promotes efficiency in the provision of services and allows for a more accurate assessment of community needs. For example, an urban settlement program in central Australia formed a Council made up of the indigenous population. This Council addressed local needs and has worked as an effective decisionmaking facilitator, working with state and federal governments to influence the development of the settlement.

In the years of readjustment after the Cold War, devolution of central government power has also been a common characteristic of bureaucracies around the world. In East Berlin for example, the Housing Administration was reorganized to focus on community-based solutions and to decentralize an entrenched bureaucracy. The Administration's reorganization strategy encouraged the development of NGOs to represent residents and focused on environmentally sound solutions to common problems, including trash pickup and the design of green spaces.

REMOVING OBSTACLES TO RESOURCES, INFORMATION AND SKILLS is another important means of empowering communities. The availability of technological resources on a local level can provide a fertile environment for creative solutions to intractable problems. Technology was used to create an open environment for disabled residents in the Marjala neighborhood of Joensuu, Finland through the "A City for All" "Barrier-Free Environment" project. The project created new employment opportunities and increased access to government services for disabled residents, empowering them to participate fully in community affairs. In addition to building accessible streets, sidewalks, squares, bridges, parks and green areas, the project supplied the housing development with a computer network to provide access to city services. This also created
economic opportunities, by allowing city employees and others to work at home, where the physical environment is most amenable to the demands of those with physical challenges.

Assistance from international institutions can also remove obstacles to resources. This assistance, given in the form of financial (loans and donations) or technical aid (training and direct support) empowers both governments and communities. Intergovernmental organizations, multilateral agencies, bilateral agencies and international NGOs have played a crucial role in providing assistance to different countries. International financial support in Breglumasi, Albania, for example, included neighborhood involvement in infrastructure improvement. The Ministry of Public Works later implemented this successful project at other sites and districts.

Another trend in Best Practices is offering empowerment tools instead of social services to disadvantaged groups. Giving tools such as credit and technical assistance to individuals enables them to attain a better quality of life in a sustainable manner. Best Practices have used SELF-CONSTRUCTION AND MUTUAL-HELP as a means of improving human settlements. These programs provide materials and technical assistance to families, who in turn provide labor to build their own houses. For example, in Piracicaba, Brazil, families contributed their labor while the government and NGOs provided technical support and building materials for construction of housing. This active participation helped increase community engagement and also created stronger bonds among community members.

In Egypt, the Comprehensive Urban Development Project for Earthquake Victims used a local tragedy, an earthquake, to encourage empowerment through COOPERATIVE REDEVELOPMENT in communities previously divided along ethnic and religious lines. After the disaster, local resources were mobilized to improve the standard of living of those living in poverty through creation of long-term solutions to previously intractable economic problems. Community organizers were selected from an ethnically diverse population to propose survey-based solutions to address community needs and barriers to redevelopment. The organizers engaged in democratic decisionmaking through community participation. In this case, mobilizing local resources, social institutions and networks led to the empowerment of an economically disadvantaged community.

2. Citizen Participation

Citizen participation is an integral element of successful planning and development projects. Community participation gives a voice to residents enabling them to advocate for themselves and influence their environment. While citizen participation conceptually overlaps somewhat with empowerment, it is also distinct: even those projects that do not directly empower communities can include provisions to reflect the participation of affected citizens. In addition, even projects that empower citizens by providing them with tools to build their own houses, for example, can encourage citizen participation in the initial planning process. Furthermore, citizen participation can strive to include participation not just by community leaders, but also by more marginalized community members.

Best Practices encourage citizen participation in several different ways. The most successful collaborate with residents in the assessment and planning phases and include the voices of those who are frequently marginalized. In this way, active citizen participation can result in a stronger, more invested community.

PARTICIPATORY ASSESSMENT AND PLANNING improve project success rates. Citizen participation leads to a clear and accurate assessment of the specific needs of a community. This makes plans easier to implement and more sustainable over time. For example, the Bronx Center Project in the United States, emphasized a bottom-up community based approach to planning a redevelopment project. Through frequently convened community forums and smaller working groups, this project valued the contributions of the community along with those of experts in the field and government officials. This collaborative approach worked to revitalize the community. Planning based on this principle is often the key to achieving long-term benefits for all members of the community.

Another characteristic of successful Best Practices is INCLUDING THE SOCIALLY EXCLUDED in the participatory planning process. This allows minority groups to become more involved and to influence

projects that affect their well being. For example, in urban areas of Senegal, squatter populations were encouraged to be directly involved in the process of improving their living conditions. The squatters organized themselves into a group, defined their common needs, and developed a sense of solidarity. As a unified group they were able to participate in the decisionmaking, implementation, financing and facilities management process. They managed land allotted to them and planned for financing and management of the land according to residents capabilities.

Another example in central Australia included a group of indigenous people from various kinship and language groups in the human settlements development process. A council was developed to improve the environment of the camps where the indigenous population live. The residents of the camps joined a housing association, which managed all issues related to the camps (allocation of housing, new tenants, collection of rent and maintenance of housing). Given the community s active involvement, the solutions to the problems identified were sensitive to the culture and the needs of the population.

3. Training and Capacity Building

Another important ingredient of Best Practices is training of community members. Training promotes lasting, positive change in a community. Whereas empowerment provides opportunities, training enables community members to take advantage of those opportunities. Training often represents a cost-effective means of removing barriers to development. It includes both educational and skills-based programs that increase community members overall capacity to meet their own needs. It also ensures that future decisionmakers are informed and capable of actively participating in the development of their community and country. The training programs that were most successful matched the training to the needs of the community and ensured that community members were involved in the design process.

Capacity building through SKILLS TRAINING is one of the major trends seen throughout the Best Practices cases. Skills training in the creation of community associations and enhancement of management capabilities have helped residents address their own needs. For example, in a housing project in Rio de Janeiro, Brazil, residents worked in small committees, organizing the community for construction and facilitating distribution of building materials among themselves. The committees received technical support from social workers and construction workers. This assistance was followed up with job-related skills training that helped the community to stay invested in their new neighborhoods. This educational process organized the rebuilding efforts after a disaster and enabled the community to become economically self-sufficient.

In addition to the promotion of community organizing, skills training was provided in housing construction in many Best Practices. In Brazil, a national approach to dealing with the problem of insufficient housing for female-headed families led to an innovative approach: training unwed, divorced or widowed and illiterate or semi-illiterate mothers to build their own housing. These women organized themselves into an association to build their housing after receiving training in specific areas. The areas of training included carpentry and electricity and also provided educational components; women were given the opportunity to learn to read and become community health agents. This training was accompanied with financial assistance that enabled the women to own their homes. This type of training brings about lasting change and opens up new

opportunities for employment.

In another example, the FUPROVI program in Costa Rica worked with families whose houses were destroyed by an earthquake. Through a combination of training, technical assistance, and creative financing, FUPROVI rebuilt the homes and lives of these indigent families. This success derived from the use of sweat equity to lower costs and establish personal investment in common goals. Residents emerged from this program with new homes, marketable job skills, and a renewed investment in their local communities.

Finally, training can also build capacity by giving community members the skills and RESPONSIBILITIES for the implementation of projects. In Minago, Burundi, for example, beneficiaries were organized into cooperative and training committees. This enabled residents to sustainably manage their housing project and the public infrastructure. Working in committees, they were able to rebuild their infrastructure: water mains and electricity lines were extended, basic services improved, and technical and financial support given to traditional artisan firms and women s groups. Training was also organized and environmental management promoted. These training components played an important role in ensuring that the project achieved its targeted goals and remained sustainable over time.

4. Partnerships

Multi-sectoral collaboration can generate creative responses to problems, using resources and talent from the private, public and non-governmental sectors. The use of partnerships has promoted greater understanding among sectors while employing innovative approaches to solve problems. Partnership between different communities can also improve coordination of services and utilization of resources. In particular, it can strengthen local institutions, expand available resources, and facilitate technology transfer.

Partnerships can STRENGTHEN LOCAL INSTITUTIONS because they offer an opportunity to include all stakeholders in the planning and implementation of projects. As indicated above, it is important to include local groups in planning and implementation in order to generate awareness of local subtleties, restrictions and priorities. In effect, partnerships lead to institutional strengthening for each of the partners. For example, in Breglumasi, Albania, the development of partnerships between the government and community-based organizations (CBOs) helped build the communities self-confidence and opened dialogue between the community and authorities. This has led to infrastructure improvement, organization of social activities, and provision of social services such as day care and income generation programs.

Many cases emphasize such partnerships as a key tool to the sustainability of projects. For example, in Halifax, Australia, a program of ecological, economic and social renewal was implemented through community-based partnerships linking urban and rural development. Individuals and organizations from a wide variety of sectors collaborated with each other transcending particular interests.

Partnerships come in many different forms. They are formed generally among the government, the private sector and the community. Several projects have used these different structures to EXPAND AVAILABLE RESOURCES. Public-private sector partnerships for example, have emphasized collaboration to increase private investment in community development while government reduces risks attached to the investment. A Neighborhood Works Full-Cycle Lending Program in the United States

sought out private lenders to help community members own housing.

The private organization made affordable home loans to under-served populations who would not have qualified for traditional loans. While the private organization provided the loans, the government-sponsored program prepared residents for homeownership and provided post-purchase counseling. With this type of partnership marginalized populations were better served and lenders tapped a new market made less risky through governmental support.

Another example is the Chattanooga Neighborhood Enterprise in the United States. A private company worked to provide affordable housing to the community through partnerships with many different levels of government. This partnership along with a challenge grant awarding foundation led to increased home ownership in the community.This company was then able to access large amounts of capital needed for housing rehabilitation and neighborhood revitalization from conventional lenders.

Partnership among neighboring local governments is another way of effectively expanding available resources and opportunities. This was visible in Denmark s Triangle Region, an urban corridor that includes eight medium-sized municipalities, where a renovation project encouraged collaborative solutions to municipal problems. The Triangle Region project coordinated marketing and economic development strategies to encourage domestic and foreign investment in the municipalities. This collaboration strengthened the status of the participating towns and gave them a competitive advantage over larger cities.

Partnerships can also facilitate TECHNOLOGY TRANSFER at the international level. Many partnerships involve organizations that provide research and development expertise to communities or governments. This was visible in FUNBAMBU, a Costa Rican project, which was designed to introduce bamboo as a construction material. The project was coordinated by several government agencies, funded by the Royal Government of the Netherlands and the United Nations Development Programme (UNDP), and administered by the United Nations Centre for Human Settlements (Habitat) and UNDP. FUNBAMBU fosters ecological economic development throughout Costa Rica. By partnering among local, federal, and international institutions, the project successfully developed and financed a program to improve the economic outlook of local communities through an ecologically sensitive strategy.

5. Comprehensive Approaches

Another important ingredient of Best Practices is a comprehensive approach to addressing human settlement needs. Rather than focusing on one particular problem in isolation, comprehensive approaches tend to see individual problems within a larger context. For example, a successful housing project needs to focus not just on the actual provision of housing, but also on the economic development needed to create jobs for the residents, the transportation systems needed to link the new housing with other neighborhoods, and the environmental sustainability of the housing. Comprehensive approaches in urban planning and sustainable development have been prevalent in the most successful Best Practices. These approaches have also been used at both the governmental and non-governmental levels.

In Gouda, the Netherlands, public safety was addressed comprehensively. Urban planners approached the issue with the input of the community, in a way that effectively reduced safety concerns. An environmental plan was combined with plans for housing improvement and economic development for the city. The development of businesses, recreation areas, housing and other infrastructure was combined to address safety. Community participation throughout the planning process helped resolve several issues at the same time.

Sustainable development is another area that is ideal for a comprehensive approach. In Argentina, for example, the development of housing was coordinated with the provision of education regarding waste management and preservation of trees. In Australia, planning for the infrastructure of the community integrated the use of climate-responsive architecture. Infrastructure was built with local, environment-friendly construction materials emphasizing renewable resources.

6. Simplicity in Problem Solving

Finally, one of the elements that characterizes many Best Practices is simplicity. Solutions to challenges tend to arise from relatively simple ideas that are implemented in a forthright fashion. Often the simplest plans are the ones that are most effectively implemented. Note that simple ideas are not necessarily in tension with comprehensive approaches. Rather, simple ideas recognize the interrelationship among various needs but approach them with relatively uncomplicated solutions. Simple, yet effective, projects have to use available resources, often with nontraditional solutions.

Numerous Best Practices cases demonstrate CREATIVE USE OF AVAILABLE MATERIALS, often identifying opportunities to use materials in non-traditional ways. The Greenpoint Manufacturing and Design Center in the United States, for example, used old buildings in an area for community education, as a small business center and for other community development programs. These buildings have a built-in cost recovery system through rent payments. Another simple approach that found new uses of existing resources led to a wide array of benefits to the community in
a cost-effective manner. This approach saved money on construction of new housing in the Netherlands. Old industrial buildings were converted into residential housing to lower the cost of providing housing and also preserve older and architecturally significant structures.

PART B: TRANSFERABILITY

The transferability of Best Practices has at the same time both tremendous potential and limitations. On the one hand, Best Practices represent real successes in addressing key challenges that are faced not just by one locality or neighborhood, but by many. Best Practices offer a series of lessons that can be helpful to others   in fact, that is the reason why UNCHS has placed such emphasis on them. On the other hand, replicability of Best Practices can be limited by the fact that the initiatives are often tied to the specific needs and circumstances of a local context. For example, the case of

bamboo use for constructing housing in Costa Rica is clearly only replicable in countries where bamboo is plentiful and the environment is supportive for such housing. Other limitations to transferability derive from the limited capacity of local leadership and organizations; weak local economies which can reduce the potential for cost-sharing among partners and participants; land tenurial disputes; and other factors. In addition, even an otherwise replicable innovative idea may be difficult to emulate without the same local support and leadership structure. In many Best Practices, it is not only the idea, but also that the idea has been enthusiastically implemented that determines its success. Thus, the analysis that follows should be read keeping in mind the inherent limitations on transferability of any practice from one location to another.

While it may be difficult for one locality to ADOPT another s Best Practice as is, there is often good reason for it to ADAPT that Best Practice to its own local context. Habitat s Best Practices and Local Leadership Programme, in collaboration with CityNet, an association of Asian cities, and the United Nations Development Programme, have developed guidlines for the transfer of effective practices[3]. The guide focuses on the transfer of processes rather than the replication of models or solutions. It is based on the matching of the supply with demand for best practice know-how, expertise and experience. Lessons learned from some 20 pilot transfers in Asia show that city-to-city and community-to-community transfers can be a highly effective means of facilitating technical cooperation. With this in mind, it is possible to identify underlying elements that appear frequently in Best Practices and can be adapted to localities around the world:

1. Simplicity in Ideas

2. Creation of New Systems

3. Cost Recovery Mechanisms

4. Efficient Use of Resources

5. Targeting Social Exclusion

1. Simplicity in Ideas

As discussed above, a common element among the Best Practices is that they often build on quite simple ideas and initiatives. That is, a Best Practice is determined not by the complexity of its basic idea, but rather by the fact that the underlying idea is simple enough to be easily implemented within the limitations of the local context. Frequently, this can involve new use of readily available political and local resources. Other times, it involves a slight restructuring or modification in existing practices which enables new synergies or resources to be used. Those Best Practices that are most replicable are those based on the simplest ideas. These ideas are generally easily adaptable to local

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3 The guide is currently available from Habitat or via http://sustainabledevelopment.org/blp/learning.

circumstances and do not require substantial improvements in local capacity to implement.

For example, near Buenos Aires, Argentina, the cost of relocating tenants was overcome by reno-
vating buildings while the residents still lived in them. The upper floors were rehabilitated first while
families lived on the ground floor and then, families moved to the upper floor while much of the ground
floor was rebuilt. This is a simple idea that does not need a significant technological change, although
it requires caution and temporary provisions (such as a temporary kitchen) during the construction
process.

2. Creation and Development of New Systems

Many Best Practices are derived from initiatives that take currently available information but orga-
nize and use it in new ways. This can occur through the development of local databanks that enable
existing resources to be better targeted. Alternatively, it can result from accessing internationally
available data and applying it to local techniques. Another successful approach bridges the gap
between research and practice through the transfer of relatively straightforward processes from lab-
oratories to localities. In all of these circumstances, the key ingredient of success is using existing data
and restructuring it in a more effective manner. These approaches are also replicable because they
suggest different ways to adapt existing information to local circumstances.

The Building Center Movement launched in 1988 in India acts as a grassroots level technology
transfer mechanism for taking the benefits of research and development into the construction field.
With a network throughout the country, each building center is engaged in the promotion and trans-
fer of appropriate technologies. Lab to Land implementation includes cost-effective skills training,
use of ecologically appropriate and energy-saving technologies, and production and marketing of
building materials. These centers function as well as counseling and information dissemination cen-
ters for the general public. They also serve as service providers to governments, private institutions,
NGOs and individuals.

In Vienna, Austria, a housing office was established to provide relevant housing information to dis-
advantaged communities. The office provided information on the legal aspects of housing and sup-
plied a comprehensive overview of thousands of subsidized apartments in the city. This information
system enabled renters to take advantage of subsidies and find housing meeting their needs. In addi-
tion, information circulated widely through the cooperation of local newspapers, increasing access to
subsidized housing. In each of these cases, a system was developed to transmit information in new
ways.

3. Cost Recovery Mechanisms

Almost all of the Best Practices faced the constraint of limited financial resources. While many
were able to tap outside sources to fund new efforts, a large number succeeded through devising
innovative cost recovery methods. Again, these methods tend to be rather simple, yet effective.
Successful cost recovery can occur through self-help by residents, spreading out and reconfiguring
credit payments, developing new ways of sharing and pooling existent local funds, and creating
innovative cross-subsidization arrangements. The Best Practices with these built-in cost recovery
mechanisms are the most sustainable and adaptable to a variety of environments.

In Greece, a Workers Housing Organization was established to secure housing for homeless and low income workers. It operates under the Ministry of Employment and works in collaboration with the private sector to build basic housing. This program is financed through the contribution of workers who give one percent of their wages to the Workers Housing Association. Workers benefit from insurance and loans with low interest rates that encourage home ownership.

In urban areas of Senegal cost recovery methods are reflected both in program design and implementation. Beneficiaries of a housing settlement program were expected to pay for their land plots. The beneficiaries opened a bank account and collected members shares regularly. A flexible and gradual payment schedule along with shares, savings and preferential lending rates facilitated land ownership and reduced the financial burden imposed by commercial lenders.

4. Efficient Use of Resources

Best Practices tend to be relatively under-funded, and are rarely funded generously. As a result, their funds must be used effectively, with initial funding streams devoted to leveraging community participation, public-private partnerships, and other resources. This efficiency is another important factor in the replicability of Best Practices, as it makes them particularly adaptable to new contexts.

For example, in Vienna, Austria, significant progress was made in addressing homelessness through prevention efforts that require relatively small initial expenditures, but yield large benefits. This program, FAWOS, received the names of residents who were about to lose their housing through court order. After making an assessment of needs through an interview or a visit to the home, necessary subsidies, counseling and other assistance were provided to prevent eviction. This program has prevented homelessness and empowered clients to address difficulties in more effective ways in the future.

In India, a private sector organization (HDFC) sponsored an innovative credit system that led to company profits creating low-income housing. HDFC instituted a tiered interest rate system and gave loans for purchase, construction, extension and renovation of housing. Loans were made to individuals, members of cooperative societies, developers and companies for the construction or purchase of new residential housing anywhere in India. Loans for extensions and renovations prevented further damage and extensive costs to residents. A relatively small investment combined with resident involvement yielded large dividends.

5. Targeting Social Exclusion

A further ingredient that promotes replicability is a focus on particularly excluded social groups, such as the very poor, women, the elderly and disabled, among others. The needs of these groups tend to be nearly universally neglected, and thus the specific approaches of one locality tend to be at least somewhat applicable to others. More importantly, Best Practices targeting these groups tend to unleash energies and capacity within them that would, and often do, remain otherwise untapped. Several Best Practices have effectively included women and other marginalized groups in their planning and implementation.

In India, a project that helped communities create space enabled women to participate centrally in the process of articulation of problems, finding solutions, and managing and developing interventions. In the Netherlands, a Senior Citizens Label was developed as a consumer seal of quality to promote housing designed for the needs of the senior population. A committee formed for this project inspected housing for eligibility for awards based on requirements that ensured accessibility to the elderly populations. Those who met the requirements were awarded a seal.

In Brazil, several housing projects (for example, Favela Bairro Program) targeted distressed communities in shanty-towns and slums with a special focus on those living in poverty and without housing. A comprehensive approach which included housing development, basic infrastructure, provision of social services and empowerment tools produced new opportunities for those on the margins of society.

The pervasiveness of social exclusion in societies around the world suggests that Best Practices that target social exclusion may be particularly adaptable to new localities. In addition, they offer the prospect of substantial pay-back that can improve the condition of entire communities.

SUMMARY

The preceding discussion illustrates that characteristics of Best Practices can be particularly adaptable to new settings. The first part of this chapter discussed these elements as ingredients that can be mixed together with local circumstances to create new Best Practices. The second part of the chapter focused on the replicability of existing Best Practices, identifying more precisely elements that make Best Practices in one area adaptable to others. While the major findings in this chapter are more observations than conclusions, they suggest that Best Practices in one region can offer both lessons and ideas for policymakers elsewhere. They also suggest several avenues for further research to make the observations even more persuasive.

appendix

APPENDIX 1: CONTRIBUTIONS TO THE BEST PRACTICES DATABASE
BY COUNTRY

COUNTRY	NUMBER OF CASES IN THE DATABASE	PERCENT	COUNTRY	NUMBER OF CASES IN THE DATABASE	PERCENT
Albania	1	0.15	Lesotho	3	0.46
Angola	1	0.15	Madagascar	1	0.15
Argentina	9	1.37	Malawi	3	0.46
Armenia	1	0.15	Mexico	6	0.91
Australia	11	1.67	Morocco	3	0.46
Austria	17	2.58	Mozambique	1	0.15
Bangladesh	3	0.46	Namibia	2	0.30
Barbados	1	0.15	Nepal	2	0.30
Belgium	4	0.61	Netherlands	27	4.10
Belize	1	0.15	New Zealand	2	0.30
Botswana	2	0.30	Nicaragua	5	0.76
Brazil	55	8.36	Nigeria	1	0.15
Burundi	1	0.15	North Ireland	1	0.15
Canada	27	4.10	Norway	6	0.91
Chile	10	1.52	Pakistan	7	1.06
China	15	2.28	Palestinian Authority	4	0.61
Colombia	11	1.67	Papua New Guinea	1	0.15
Costa Rica	14	2.13	Paraguay	1	0.15
Cote d'Ivoire	2	0.30	Peru	2	0.30
Cuba	5	0.76	Philippines	12	1.82
Denmark	2	0.30	Poland	9	1.37
Ecuador	2	0.30	Portugal	1	0.15
Egypt	20	3.04	Qatar	1	0.15
El Salvador	1	0.15	Romania	13	1.98
Ethiopia	3	0.46	Russia	3	0.46
Finland	11	1.67	South Africa	8	1.22
France	1	0.15	Saudi Arabia	1	0.15
Germany	24	3.65	Senegal	9	1.37
Greece	12	1.82	Singapore	2	0.30
Grenada	3	0.46	Slovakia	1	0.15
Guatemala	1	0.15	Spain	42	6.38
Honduras	1	0.15	Sri Lanka	4	0.61
Hong Kong	1	0.15	Sudan	3	0.46
India	41	6.23	Sweden	4	0.61
Indonesia	1	0.15	Tanzania	11	1.67
Iran	1	0.15	Thailand	3	0.46
Iraq	1	0.15	Tunisia	1	0.15
Italy	3	0.46	Turkey	8	1.22
Japan	3	0.46	United Arab Emirates	2	0.30
Jordan	3	0.46	Uganda	4	0.61
Kazakhstan	1	0.15	United Kingdom	29	4.41
Kenya	19	2.89	Uruguay	1	0.15
Korea	1	0.15	United States	55	8.36
Lebanon	2	0.30	Venezuela	4	0.61
			TOTAL	658	100

APPENDIX 2: DUBAI INTERNATIONAL AWARD FOR BEST PRACTICES

Submission Guide and Reporting Format for the Year 2000

(World Wide Web: http://www.sustainabledevelopment.org/blp/awards/)
The United Nations Centre for Human Settlements (Habitat) and the Municipality of Dubai, United Arab Emirates are pleased to invite you to participate in the 2000 Dubai International Award for Best Practices in Improving the Living Environment (DIABP).

Purpose of the Award
To recognize and enhance awareness of outstanding and sustainable achievements in improving the living environment as per the criteria established by the Second United Nations Conference on Human Settlements (Habitat II) and the Dubai Declaration.

Prize and Frequency
The total amount of the Award is US$ 400,000 (Four hundred thousand US Dollars). This amount will be divided as follows:
1. US$ 300,000 (Three hundred thousand US Dollars) for ten Best Practices.
2. US$ 100,000 (One hundred thousand US Dollars) towards management expenses including travel and accommodation for a delegation of up to two people for each award winning Best Practice.
3. Each Best Practice Award winner will also receive a trophy and commemorative certificate especially designed for the award.

The Award will be presented every two years.

Eligibility
The Award is open to:
    Government organizations or agencies, including bilateral aid agencies
    National Habitat committees or Focal Points
    Multilateral Agencies (United Nations Agencies, World Bank, etc.)
    Cities, local authorities or their associations
    Non-governmental organizations (NGOs)
    Community-based organizations (CBOs)
    Private Sector
    Research and academic institutions
    Media
    Public or Private foundations
    Individuals are eligible for the Dubai International Award provided that they are submitting a specific initiative or project that meets the Best Practice criteria.

Award Categories
Submissions will be accepted under any of the following:

    Shelter and urban infrastructure
    Sustainable human settlement development
    Mainstreaming gender and social inclusion
     Improved consumption/production cycles
    Urban poverty reduction and job creation

Safe water supply and sanitation

Improved urban environment health

Natural and human-made disasters

Responsiveness to the ideas and needs of youth

Waste collection, recycling and reuse

Accessible public transport and communication

Crime prevention and social justice

Efficient, accountable and transparent governance

Use of information in decisionmaking

Architecture and urban design

Addressing the needs of older persons

Experimental and innovative practices

Criteria for a Best Practice

The major criteria for a Best Practice to be considered for the Award are:

1. Impact: The Best Practice should demonstrate a positive and tangible impact on improving the living environment of people

2. Partnership: Best Practices should be based on partnerships among at least two, or possibly more, of the following:

    Government organizations or agencies, including bilateral aid agencies

    National Habitat committees or Focal Points

    Multilateral Agencies (United Nations Agencies, World Bank, etc.)

    Cities, local authorities or their associations

    Non-governmental organizations (NGOs)

    Community-based organizations (CBOs)

    Private Sector

    Research and academic institutions

    Media

    Public or Private foundations

3. Sustainability: Best Practices should also demonstrate their tangible impact in bringing about lasting changes in at least one of the areas listed below:

    Legislation, regulatory frameworks, by-laws or standards, providing formal recognition of the issues and problems that have been addressed;

    Social policies and/or sectoral strategies at the (sub) national level that have a potential for replication elsewhere;

    Institutional frameworks and decisionmaking processes that assign clear roles and responsibilities to various levels and groups of actors, such as central and local governmental organizations and community-based organizations;

    Efficient, transparent and accountable management systems that make more effective use of human, technical, financial and natural resources.

4. Leadership and community empowerment:

Leadership in inspiring action and change, including change in public policy;

Empowerment of people, neighborhoods and communities and incorporation of their contributions;

Acceptance of and responsiveness to social and cultural diversity;

Potential for transferability, adaptability and replicability;

Appropriateness to local conditions and levels of developments.

5. Gender and social inclusion, initiatives which:

accept and respond to social and cultural diversity;

promote social equality and equity, for example on the basis of income, gender, age and physical/mental condition;

and recognize and value different abilities.

Submission Process

1. Best Practices shall be submitted in accordance with the reporting format for the relevant biennium.

2. The reporting format is available in three versions: on-line via the Internet (World Wide Web: http://www.bestpractices.org/bp2000/) or e-mail; on diskette; on paper. Computer diskettes are available in Windows or DOS versions (please specify when requesting). Paper submissions will also be accepted.

3. Submissions shall be made in Arabic, English, French or Spanish. If possible, submissions in Arabic, French or Spanish should be accompanied by an English translation. Please note, however, that the Internet and diskette versions of the reporting format are only available in English.

4. Submitters are encouraged to include the following supporting materials:

Newspaper or other articles appearing in professional journals, newsletters or other publications;

Beta-Cam or other standard format videos less than 10 minutes in length;

Photographs or other graphic material;

Brochures or other promotional material.

5. Submissions shall be sent to either UNCHS (Habitat) or Dubai Municipality, or any recognized Best Practice partner institutions. Submissions should be sent via Email, the Internet, fax or mail. Dubai Municipality or UNCHS may forward any submission for review or validation to a partner institution.

Those who forward their submissions directly to the partner institutions shall notify UNCHS or Dubai Municipality of their submissions and shall follow up with the partner institution concerned in order to obtain advice on any requirements for the validation of their Best Practice submissions and, furthermore, ensure that the submissions are forwarded to UNCHS.

6. Partners may contact the submitters and shall provide effective assistance to them by reviewing the documents with the objective of ensuring their compliance with the criteria as well as the rules and regulations of the Award and advise them of any further actions required. Partners shall forward the validated submissions meeting the Award criteria to UNCHS.

7. All submissions received will be acknowledged and assigned a catalogue number by UNCHS for documentation (code, name of submitter, subject, etc) purposes and for the maintenance of a comprehensive database regarding submissions. UNCHS shall inform all submitters as to the status of their submission.

Selection Process

Submissions received by March 31, 2000 will undergo the following selection process:

1. All submissions meeting the basic Best Practices criteria shall be forwarded to an independent, international Technical Advisory Committee (TAC) for review.

2. The TAC shall review all submissions and prepare a comprehensive report including:
   Description of the selection process;
   List of approximately 100 Best Practices;
   Short list of up to 50 submissions which shall be forwarded to the Best Practices Jury for final selection of the Award recipients.

3. The Best Practices Jury shall review the short listed Best Practices to select those initiatives deserving of the Dubai International Award. The Jury may recommend less than ten or none for the Award depending on the quality of the submissions.

4. All submitters will be notified of their status following the selection of the Award recipients by Dubai Municipality.

Best Practices Reporting Format

Please provide the following information when submitting for the 2000 Dubai International Award for Best Practices:

1. Name of the Best Practice

2. Address of the Best Practice

3. Contact Person

4. Type of Organization (choose from the following:)
   Central Government
   Local Authority
   Para-statal
   Private Sector
   Non-governmental organization
   Community-based organization
   International Agency
   Foundation
   Professional Association
   Academic/Research
   Media
   Philanthropist
   Other _____

The Nominating Organization (only if different from above)

5. Using the same format as for the Best Practice, provide the name, address, contact person and type of organization for the organization nominating the Best Practice. If the Best Practice and Nominating organizations are the same, you may omit this question.

The Partners

6. Using the same format as for the Best Practice, provide the name, address, contact person and type of organization for at least one partner organization.

Type of Partner Support:

7. For each Partner, specify the principle type of support provided:
   Financial Support
   Technical Support
   Political Support
   Administrative Support
   Other _____

Financial Profile

8. Using the model below, provide a financial overview of the annual budget of the Best Practice for the past 3 to 5 years indicating the sources and general percentages of contributions from each partner. Please specify the name of each partner.

Year:
Total Budget (in US$):
Contribution of Partner A (as a percentage of the total budget):
Contribution of Partner B (as a percentage of the total budget):
Contribution of Partner C (as a percentage of the total budget):

Category of the Best Practice:

9. From the list below, select no more than 3 themes describing the focus of your work. Then, select as appropriate, the sub-categories from those themes that best describe the Best Practice:

   poverty eradication:
   income generation; job creation; vocational training; access to credit.

   economic development:
   enterprise development (formal and informal sectors); investment development; capital formation; entrepreneurship; training; cooperative opportunities; micro-credit.

   social services:
   education; recreation; health and welfare; public safety; crime reduction and prevention.

   environmental management:
   pollution reduction; urban greening; environmentally sound technologies; environmental remediation; environmental health; monitoring and control; ecological sustainability; green accounting; incentives for sound management; resource management.

infrastructure, communications, transportation:
energy use, conservation and production; transportation and mobility; communication
and media; safe water provision; waste-management and treatment; sanitation.

housing:
affordable housing; homelessness; land tenure and security; access to housing finance;
construction industry; ecological design.

land use management:
land-use planning; geographical information systems; development incentives; open space
conservation; land development; urban/suburban renewal.

urban governance:
public administration and management; partnership development; legislation; public policy;
human resources and leadership development; decentralization; resource mobilization;
institutional reform; management and information systems; auditing; visioning; openness
and transparency; monitoring and evaluation; accountability; metro/urban-wide government.

civic engagement and cultural vitality:
community participation; social and cultural vitality; expression and animation; civic
education; the arts.

gender equity and equality:
gender roles and responsibilities; gender specific needs; empowerment; access to resources;
control of resources; legislation; removing barriers to equity; ethnicity; social integration.

disaster and emergency:
reduction of vulnerability; civic awareness and preparedness; contingency planning; early
warning systems; response capacity; hazard reduction and mitigation; life-line systems;
rehabilitation/reconstruction; risk assessment.

production and consumption patterns:
waste reuse and recycling; energy efficiency; water use and consumption; resource conser-
vation; consumer awareness; producer responsibility; production/consumption cycles.

urban and regional planning:
localizing Agenda 21; capital investment programming; budgeting; community-based
planning; urban renewal; conflict management and mediation; consultative process; cultural
heritage conservation; regional planning; regional resource planning; metro/urban-wide
planning.

technology, tools and methods:
software; hardware; management tools and systems; technology transfer; research and
development; planning tools and techniques; networking; information and communications
technology and systems; appropriate technologies; training and capacity building; infra
structure technology.

children and youth:

0–9 years; 10 years to adult; health and nutrition; education and vocational training (including day care and after school care); environmental programmes with a youth focus; children's participatory planning and leadership development; recreational/ cultural programming; legislation/advocacy; community support programmes; especially difficult circumstances (abuse, child labour, war); vulnerable groups.

architecture and urban design:

affordable/ecological design; green building; sustainable community design; landscape design; historic preservation.

older persons:

safe/accessible dwelling design; participation; health; employment; multi-generational activities; transportation; group homes; financial security.

use of information in decisionmaking:

indicators; mapping (GIS); management (MIS); use of ICT; improved participation; research; policy making..

Level of Activity

10. Select one of the following that best describes the usual level of activity:

Global

Regional (international)

National

Provincial/State

Metropolitan

City/Town

Neighborhood

Village

Eco-system type

11. Select the eco-system in which your initiative usually operates:

Arid/Semi-Arid

Coastal

Continental

High Plateau

Island

Mountain

River Basin

Tropical/Sub-Tropical

Summary

12. In no more than 250 words, summarize the purpose and achievements of the initiative. Please note that the summary should be in narrative, not point form.

Key Dates

13. Provide no more than five dates and describe in no more than five or six words, their significance.

Narrative:

14. In 2000 words or less, use the following headings and suggestions to describe your work.

     situation before the initiative began (50 words)

     Briefly describe the situation before the initiative began, including major issues, trends and conditions in the area.

     establishment of priorities (100 words)

     List the priorities of the initiative, how they were established and involving whom

     formulation of objectives and strategies (100 words)

     Provide a summary of the main objectives and strategies of the initiative, how they were established and by whom.

     mobilization of resources (200 words)

     Describe how financial, technical and human resources were mobilized and where they came from.

     process (400 words)

     Describe the problems faced in implementing the initiative, how were they overcome and the problems that remain to be solved. Describe also how people, communities, organizations and institutions participated in the initiative.

     results achieved (250 words)

     Describe to what extent the objectives listed above were realized, how the results were measured, quantitatively and qualitatively. Provide a summary of any indicators that were used to measure results or impact and who is using them. Describe how the initiative has resulted in, for example:

         Better co-ordination and integration between various actors, organizations or institutions
          Changes in local, national or regional social, economic and environmental policies and strategies
          Improved institutional capacity at the national, sub-national or local levels
          Changes to local or national decisionmaking, including the institutionalization of partnerships
          Recognizing and addressing specific opportunities and constraints
          Changes in the use and allocation of human, technical and financial resources at the local/national level
          Changes in people s attitudes and behavior

     sustainability (300 words)

     Describe how the integration of the social, economic, environmental and cultural elements of sustainability was achieved, particularly with regards to:

         Financial:
          The use and leveraging of resources, including cost recovery, indicating how loans, if any, are being paid back and their terms and conditions

Social and Economic:

Gender equity, equality and social inclusion, economic and social mobility

Cultural:

Respect for and consideration of attitudes, behavior patterns and heritage

Environmental:

Reducing dependence on non-renewable resources (air, water, land, energy, etc.), and changing production and consumption patterns and technology.

lessons learned (300 words)

Describe the three or four most important lessons learned from your experience and how these lessons have been or are being incorporated in your initiative and/or other initiatives. Describe any lessons learned from other initiatives that were incorporated into your initiative. Describe how these lessons learned have been or are being taken into consideration in determining ongoing or future policies, strategies and action plans.

transferability (300 words)

Describe how others have benefited or learned from your initiative. Describe how your initiative has been or is being replicated/adapted elsewhere, where and by whom? Describe what you would do differently or avoid doing if you were to help others in replicating your experience.

References

15. Using the format below, please identify (and if possible submit, copies of) any articles appearing in professional or other publications (including newspapers), focusing on the Best Practice. List no more than 10 articles or publications starting with the most recent.

Title of Article:

Source (include author, publication title, volume/number, date, page number(s)):

For further information, please contact:

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APPENDIX 3: UNCHS (HABITAT) OFFICES AROUND THE WORLD

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APPENDIX 4: UNDP DEVELOPMENT LEVEL CATEGORIES[1]

LEAST DEVELOPED COUNTRIES	DEVELOPING COUNTRIES		INDUSTRIAL COUNTRIES
Afghanistan	Algeria	Namibia	Albania
Angola	Antigua and Barbuda	Nicaragua	Armenia
Bangladesh	Argentina	Nigeria	Australia
Benin	Bahamas	Oman	Austria
Bhutan	Bahrain	Pakistan	Azerbaijan
Burkina Faso	Barbados	Panama	Belarus
Burundi	Belize	Papua New Guinea	Belgium
Cambodia	Bolivia	Paraguay	Bulgaria
Cape Verde	Botswana	Peru	Canada
Central African Republic	Brazil	Philippines	Croatia
Chad	Brunei Darussalam	Qatar	Czech Republic
Comoros	Chile	Saint Kitts and Nevis	Denmark
Djibouti	China	Saint Lucia	Estonia
Equatorial Guinea	Colombia	Saint Vincent	Finland
Eritrea	Congo	Saudi Arabia	France
Ethiopia	Costa Rica	Senegal	Georgia
Gambia	Cote d'Ivoire	Seychelles	Germany
Guinea	Cuba	Singapore	Greece
Guinea-Bissau	Cyprus	South Africa	Hungary
Haiti	Dominica	Sri Lanka	Iceland
Kiribati	Dominican Republic	Suriname	Ireland
Lao People's	Ecuador	Swaziland	Israel
Democratic Republic	Egypt	Syrian Arab Republic	Italy
Lesotho	El Salvador	Thailand	Japan
Liberia	Fiji	Trinidad and Tobago	Kazakhstan
Madagascar	Gabon	Tunisia	Kyrgyzstan
Malawi	Grenada	Turkey	Latvia
Maldives	Guatemala	United Arab Emirates	Lithuania
Mali	Guyana	Uruguay	Luxembourg
Mauritania	Honduras	Venezuela	Macedonia, FYR
Mozambique	Hong Kong	Viet Nam	Malta
Myanmar	India	Zimbabwe	Moldova, Republic of
Nepal	Indonesia		Netherlands
Niger	Iran, Islamic		New Zealand
Rwanda	Republic of		Norway
Samoa (Western)	Iraq		Poland
Sªo Tomø and Principe	Jamaica		Portugal
Sierra Leone	Jordan		Romania
Solomon Islands	Kenya		Russian Federation
Somalia	Korea, Republic of		Slovakia
Sudan, United Rep. of	Korea, Democratic		Slovenia
Tanzania	People's Republic of		Spain
Togo	Kuwait		Sweden
Tuvalu	Lebanon		Switzerland
Uganda	Libyan Arab Jamahiriya		Tajikistan
Vanuatu	Malaysia		Turkmenistan
Yemen	Mauritius		Ukraine
Congo	Mexico		United Kingdom
Zambia	Mongolia		United States
	Morocco		Uzbekistan

1 United Nations Development Report, United Nations Development Programme, Oxford: Oxford University Press, 1997.

APPENDIX 5: ALTERNATIVE DEVELOPMENT LEVEL CATEGORIES

LEAST DEVELOPED COUNTRIES	DEVELOPING COUNTRIES		INDUSTRIAL COUNTRIES
Afghanistan	Albania	Nigeria	Australia
Angola	Algeria	Oman	Austria
Bangladesh	Antigua and Barbuda	Pakistan	Belgium
Benin	Armenia	Palestinian Authority	Canada
Bhutan	Azerbaijan	Panama	Czech Republic
Burkina Faso	Bahamas	Papua New Guinea	Denmark
Burundi	Bahrain	Paraguay	Estonia
Cambodia	Barbados	Qatar, Republic of	Finland
Cape Verde	Belarus	Saint Kitts and Nevis	France
Central African Republic	Belize	Saint Lucia	Georgia
Chad	Bolivia	Saint Vincent	Germany
Comoros	Botswana	Saudi Arabia	Greece
Djibouti	Brunei Darussalam	Senegal	Hungary
Equatorial Guinea	China	Seychelles	Iceland
Eritrea	Congo	Slovakia	Ireland
Ethiopia	Cote d'Ivoire	Sri Lanka	Israel
Gambia	Croatia	Suriname	Italy
Guinea	Cuba	Swaziland	Japan
Guinea-Bissau	Cyprus	Syrian Arab Republic	Latvia
Haiti	Dominica	Tajikistan	Lithuania
Kiribati	Dominican Republic	Trinidad and Tobago	Luxembourg
Lao People's Democratic Republic	Ecuador	Tunisia	Malta
Lesotho	Egypt	Turkmenistan	Netherlands
Liberia	El Salvador	Ukraine	New Zealand
Madagascar	Fiji	United Arab Emirates	Norway
Malawi	Gabon	Uzbekistan	Poland
Maldives	Grenada	Viet Nam	Portugal
Mali	Guatemala	Zimbabwe	Romania
Mauritania	Guyana		Slovenia
Mozambique	Honduras		Spain
Myanmar	India	EMERGING COUNTRIES	Sweden
Nepal	Indonesia		Switzerland
Niger	Iran, Islamic Republic of	Argentina	United Kingdom
Rwanda	Iraq	Brazil	United States
Samoa (Western)	Jamaica	Bulgaria	
São Tomé and Principe	Jordan	Chile	
Sierra Leone	Kazakhstan	Colombia	
Solomon Islands	Kenya	Costa Rica	
Somalia	Korea, Democratic People's Republic	Hong Kong	
Sudan		Korea, Republic of	
Tanzania, United Republic of	Kuwait	Mexico	
Togo	Kyrgyzstan	Peru	
Tuvalu	Lebanon	Philippines	
Uganda	Libyan Arab Jamahiriya	Russian Federation	
Vanuatu	Macedonia, FYR	Singapore	
Yemen	Malaysia	South Africa	
Congo	Mauritius	Thailand	
Zambia	Moldova, Republic of	Turkey	
	Mongolia	Uruguay	
	Morocco	Venezuela	
	Namibia		
	Nicaragua		