

DFID response to the Special Rapporteur questionnaire on the right to adequate housing

DFID urban programming cuts across a wide range of sectors and strategic objectives, including jobs and enterprises, development of industry including manufacturing, housing and urban planning, delivery of basic services such as water, sanitation and electricity, transport, building climate resilience, improving municipal capacity and regional trade corridors. Several of DFID's urban-focused programmes therefore include components which address informal settlements, including upgrading, legal rights and securing tenure for residents. These programmes are primarily in India, Bangladesh, Nepal and Lebanon, with centrally-managed programmes providing further focused support.

A detailed response to the questionnaire provided by the Special Rapporteur is below, outlining programme details and key results relating to informal settlements. Key highlights from these programmes include:

- DFID's centrally managed Community-Led Infrastructure Financing Facility (CLIFF) (in partnership with homeless charity REALL) includes a component on supporting informal settlements in the Philippines, which has a specific focus on **community participation**, as detailed in the attached information sheet.
- DFID India's Odisha Support to Urban Infrastructure Programme (OSUIP) is focused on the **upgrading of informal settlements** to improve resident's access to water and sanitation, street lights, transport and other public services.
- Between 2008 and 2015 DFID Bangladesh supported the **security of tenure** of residents of informal settlements' via the Urban Partnership for Poverty Reduction (UPPR) programme.
- DFID Lebanon funds Norway Refugee Council's **legal assistance** programme, which aims to improve security of tenure for refugees renting accommodation, including within informal settlements hosting refugees.

Questionnaire responses

1. ***Has your agency been involved in projects or programmes in partner countries that aimed to upgrade informal settlements, improve the housing conditions or the access of residents of informal settlements to water and sanitation, health care, education, work, energy, transport or other public services? If yes could you provide more details.***

Centrally managed programme: Community Led Infrastructure Financing Facility (CLIFF)

The Community-Led Infrastructure Financing Facility (CLIFF) programme was initiated in 2002 after research funded by the UK's Department for International Development (DFID) revealed an important global slum finance gap. The programme supports Global Goal 11 on ensuring access for all to adequate, safe and affordable housing and basic services and upgrade slums. Over the years the programme has shifted focus to support construction of new build housing. The programme continues to support DFID's current strategic framework for economic development – see attached Annual Review for the current status of the programme.

CLIFF was designed in recognition of a market failure in the provision of urban land, housing, basic services and tenure for groups and individuals who, whilst poor, could afford appropriate provision. To bridge this gap, CLIFF builds local institutions (Housing Development Enterprises) that enable slum dwellers to access affordable housing with basic services through the provision of micro-mortgages and property development. CLIFF partners with national and local governments, third sector organisations, banks and the media to cater to the housing needs of the poorest 40% of people living in some of the world's most populous slums.

Based on data from all but two of Reall's CLIFF implementing partners, on average 47.5% of leadership roles are occupied by women. The programme also contributes to economic development by creating financial service providers and products, construction and supply chain jobs and land rights. To date, CLIFF has constructed over 23,220 housing units, unlocked 662 Ha of land for low-cost housing and created 34,560 direct jobs and 278,642 indirect jobs across Africa and Asia: The Philippines, Nepal, India, Burkina Faso, Ghana, Angola, Zimbabwe, Malawi, Tanzania, Kenya, Nigeria, Uganda, Pakistan and Mozambique. These projects have reached approximately 1 million low income slum dwellers through £8.5m of funding:

- 2017/18 – Small number of additional beneficiaries in Malawi with £100k of funding
- 2016/17 – Over 52,000 new beneficiaries across 7 countries (Tanzania, Zimbabwe, Nepal, Zambia, Sri Lanka, Malawi, Kenya) with £0.5m of funding
- 2015/16 – Over 544,000 beneficiaries across the same countries with £1.09m of funding
- 2014/15 - Over 260,000 beneficiaries across 8 countries (Angola) with £1.29m of funding
- 2013/14 – Over 100,000 beneficiaries across the same countries with £1.33m of funding
- 2012/13 – Over 280,000 beneficiaries across 10 countries (Namibia, Pakistan) with £1.18m of funding
- 2011/12 – Over 100,000 beneficiaries across 10 countries (South Africa) with £1.5m of funding
- 2010/11 – Unknown beneficiaries, across Angola, Ghana, India, Kenya, Malawi, Namibia, Pakistan, Philippines, Sri Lanka, Tanzania, Zambia and Zimbabwe with £1.5m of funding

India

DFID India's ongoing programme "Odisha Support to Urban Infrastructure Programme (OSUIP)" has a component that is aimed to assist the State Government develop systems and policy in order to upgrade informal settlements, improve the housing conditions or the access of residents of informal settlements to water and sanitation, street lights, transport and other public services.

Similar support for denotification of illegal areas has been offered to other DFID States in the past: these are highlighted in the [Lessons Learnt report on DFID India's Urban Investments over 20 Years](#).

Nepal

DFID Nepal's has two programmes focused on informal settlements:

1. 'Strengthening Urban Resilience and Engagement' (SURE) – this is delivered through the British Red Cross and Nepal Red Cross. The programme focusses on capacity building for vulnerable groups who live in informal settlements and are exposed to natural disasters. Summary of key details of the programme as follows:
 - **£6.6m** over 5 years – although this is for the entire programme which includes other components, not specific to informal settlements.
 - Works in **5 cities** on informal settlements
 - **840** direct beneficiaries

Bangladesh

DFID Bangladesh's Urban Partnership for Poverty Reduction (UPPR) programme, which ran from 2008-2015, was focussed on bringing improvements to the livelihoods and living conditions of 3 million people in 23 major cities and towns across Bangladesh, with community mobilisation at the core of the project. This was done through:

- Organisation and mobilisation of poor people living in slums in Community Development Committees leading to organising them in a federated structure.
- Improvement in their livelihoods through savings and credit schemes, small business grants and training.
- Improvement in living conditions in slums with better paths, drainage, sanitation, water supplies and other small infrastructure.
- Assist in linking to services and support provided by private sector and other donor implemented programmes on urban development

The main achievements of the programme are:

- i 816,000 households organised into Community Development Committees (CDCs);
- ii 399,000 households active as members of savings and credit groups;
- iii 247,000 households provided with better water supplies, 187,000 with improved latrines and 495,000 households benefitting from improved drains and footpaths; and
- iv 240,000 people provided with skills training.

Lebanon

DFID Lebanon supports refugees of the Syrian war in Lebanon. One programme, in partnership with Save the Children International, includes activities aimed at improving fire safety, access to water and sanitation and health and safety in temporary refugee-hosting informal settlements. Other programmes (education, cash assistance, etc) also target refugees living in informal settlements, but are not directed specifically towards these locations.

2. Has your agency provided assistance to improve the security of tenure of residents in informal settlements or provided advice or has your agency assisted partner countries in turning informal settlements into legalized settlements? If yes, could you provide more details.

Several of DFID's programmes focused on informal settlements have provided assistance on security of tenure, primarily in India and Bangladesh. In particular Bangladesh's interventions included community-led components, detailed in the attached *Evolution of Participatory and Support Based Approach for Strengthening Tenure Security, Housing and Community Resilience* report. DFID Lebanon have also provided support to refugees in securing

India

The technical assistance team of OSUIP (OUTAST) has helped the Government of Odisha (GoO) in formulation of the landmark legislation - **Odisha Land Rights to Slum Dwellers Act, 2017** and also provided advice in the implementation of the same. This intervention is targeting to benefit more than 1.8 million slum dwellers across 114 Urban Local Bodies (ULB) by December 2018. The land rights would be heritable, mortgage-able but not transferable. The settlement would be on actual occupation of dwelling, up to a maximum limit of 646 sq. ft in NACs, 484 sq.ft. in Municipalities and maximum 323 sq.ft of land both at Municipality and NAC in case of untenable slums. Currently, it has been piloted successfully in 49 slums across 9 ULBs and land rights certificates have been issued to 2000 eligible slum dwellers.

Bangladesh

Bangladesh's UPPR programme supported improved security of land tenure through several interventions:

- **Vacant Land Mapping;** a process of community led surveying of low-income settlements and vacant land suitable. The information gave local authorities visibility of different land ownership patterns and informed tenure improvement strategies.
- **UPPR tested several workable models of tenure security** including: onsite upgrading, land readjustment, land pooling, land sharing, resettlement, temporary upgrading, sites and services schemes. New tenure models were notably piloted in three sites in Gopalganj District. This included the resettlement of 350 evicted households.
- In 2010, **UPPR brokered a 99-year lease** to the land for resettling the evicted residents of South Molavi Para, Gopalganj municipality. The Municipality, Deputy Commissioner's Office, Community Housing Development Fund and UPPR were involved in the model that provided permanent shelter to 350 evicted households.

Lebanon

DFID Lebanon funds Norway Refugee Council's **legal assistance programme** which aims to improve security of tenure for refugees renting accommodation. As such, beneficiaries may be living in informal settlements, or in urban accommodation/rented apartments. However, this programme's primary objective is to protect refugees' rights and reduce the risk of eviction by promoting the signature of lease agreements; the programme does not specifically target informal settlements or aim to turn these into legalised settlements.

- 3. Has your development cooperation agency adopted a policy on resettlement of households living in informal settlements? Has your agency developed more specific guidance for upgrading informal settlements? To what extent are these policies anchored on international human rights standards? Please share a copy or provide a link where the respective policies can be accessed.**

DFID does not have an agency-wide policy on resettlement of households living in informal settlements – country offices where required have drawn on existing policies:

- **India:** the Act and the Rules can be accessed at www.urbanodisha.gov.in for the recent Odisha intervention.
- **Lebanon:** the shelter sector in Lebanon use [UNHCR's policy](#)

- 4. How much of the overall official development assistance has been dedicated to projects that had the aim of upgrading informal settlements or improving living conditions in informal settlements? Could you kindly provide financial statistics over the last five years?**

N/K

- 5. Does your development agency follow a human rights based approach or has it adopted a human rights policy? If yes, can you share the policy and describe how it has been applied for projects aimed at improving housing conditions or upgrading of informal settlements?**

N/A

- 6. To what extent are projects or programmes that aim to upgrade informal settlements linked to the goals and targets contained in the 2030 Agenda for sustainable development?**

DFID is committed to delivering against the SDGs and this underpins all our work. DFID's CLIFF programme is linked to SDG 11, but as it was designed prior to 2015 its targets are not linked. Similarly, the programmes highlighted here from India, Nepal and Bangladesh were designed and implemented prior to the launch of the SDGs, therefore are not linked to the 2030 Agenda. The programmes highlighted from Lebanon are linked to the Syria crisis response rather than 2030A.

- 7. Could you provide more details about the respective projects and programmes, including in which partner country/ies they were/are located, the respective name(s) of the informal settlement(s), its/their location and the socio-economic and demographic profile of the residents of the respective informal settlement(s). If possible, could you share relevant project documentation, including evaluation reports?**

India

Programme: Odisha Support to Urban Infrastructure Programme (OSUIP)

Project: Land Rights to Slum Dwellers

Intervention: Formulation of legislation – Odisha Land Rights to Slum Dwellers Act, 2017 and Rules; and support in the implementation of the same

Country: India

State: Odisha

Pilot: 49 slums across 9 ULBs of district Puri and Ganjam

Target Beneficiary: More than 2 million slum dwellers.

Bangladesh

UPPR organized 30,000 primary groups into 2,588 community development committees (CDCs), which managed 2,329 community action plans to implement basic services upgrades and livelihood development programs.

UPPR helped establish Community Housing Development Funds (CHDF) in 14 towns/cities. CHDFs provide concessional housing loans for poor households on a revolving basis. Loans enabled poor urban residents to fund home improvements (extensions, upgrades and repairs) and incremental new home construction. 368 loans were issued of average loan size of BDT 143,792 (approx. £1,263).

UPPR supported the development of citywide upgrading plans. This process saw community members, Municipal Town Planners, Slum Development Officers and elected representatives (such as mayors) plan how to improve low-income settlements based on the degree of vulnerability, access to basic services and tenure arrangements etc. This process was tested in Sirajgong, Rajshahi and Chittagong.

CLIFF

Annual Review attached

- 8. *Please provide information to what extent the project(s) has/have improved access to water, sanitation, electricity and other services, including availability and costs of the residents of the respective informal settlements.***

India

The OUTAST team has advised GoO in the implementation of 3 pioneer projects viz. a) UNNATI – urban transformation initiative for provision of urban infrastructure in the urban areas; b) BASUDHA - 100% drinking water supply to all wards, to all households in all ULBs; and c) 100% energy efficient street lights in all streets in all ULBs. With the implementation of this project, there has been a quantum jump in the investments by GoO in the urban sector from GBP 21 mn in 2014 to GBP 400 mn (approx. 20 times increase). Furthermore, to meet the housing demand of the slum dwellers GoO has launched Odisha liveable habitat mission. This mission will provide liveable habitats and basic urban services to the slum dwellers. Constraints of space and availability of land in urban area is one of the reason of limited coverage of Individual Household Toilets. To surmount this problem Housing and Urban Development Department of Government of Odisha brought out a unique approach of constructing Hybrid Toilet named “Ama Souchalaya” for meeting the need of poor people staying in slum areas and the floating population of the same urban areas. Hybrid Toilets are combination of community and public toilets, the ones which are to be used both by floating as well as community residing close by marginalised settlements.

- 9. *To what extent have the programmes or policies improved the security of the residences of informal settlements, both their physical and legal security, for example better protection against violence, including violence against women, reduction of crime, or improved security of tenure of the residents?***

N/K

- 10. *Can you describe if and how the respective projects and programmes have involved the participation of the residents living in the informal settlement in decision making, in project design and its implementation?***

CLIFF

Through the centrally-managed programme CLIFF, community participation has allowed residents in the Philippines to have a say in the layout of their future homes. See the attached information sheet outlining this process.

India

Pilot implementation included slum mapping, fixing of slum boundaries, measuring the exact foot print of each household by drone survey, door to door household survey and collection of required

documents, numbering, extensive community dialogue, formation of slum dwellers association in each slum, listing of eligible beneficiaries, preparation of slum re layout in consultation with slum dwellers association. Special attention has been given to include women members, differently abled, local leaders in the community mobilisation and planning process. It is mandatory to issue the certificate of the land right jointly in the name of both the spouses in case of married beneficiaries.

Lebanon

DFID Lebanon's programme with Save the Children involves the community in designing and implementing the improvement works, as well as training residents in future fire safety and providing equipment to directly manage fires.

11. Please provide information about successful upgrading or resettlement projects or experiences that could provide good practices elsewhere.

See CLIFF, India and Bangladesh projects above.

12. What challenges has your agency faced when implementing such projects or programmes? Could you kindly share lessons learned from successful and unsuccessful projects or approaches.

India

The key hurdles that GoO had to come across during the commencement of the implementation included stakeholder management and coordination, aerial drone survey of land involving community members, community mobilization in planning and designing slum plan convergence with Govt. machinery.

LESSON LEARNED:

- A strong political will for inclusive growth, is the key reason for the success of such initiatives
- Involvement of local and state level actors with clearly defined roles and responsibilities is instrumental to achieve success of the initiatives within defined timeframe.
- Identification of local level partners helps in facilitating effective community mobilization through extensive dialogues taking cognizance of local dynamics and priorities
- Choice of requisite technology improves transparency, accountability and minimizes the scope of manipulation.
- Effective coordination between various stakeholders is imperative for improved monitoring of the implementation.
- Periodic training programs including classroom sessions and field exposures shall accelerate the replication of interventions.