GUIDELINES AND TOOLS FOR

PARTICIPATORY URBAN TRANSFORMATION

ENGAGING THE COMMUNITY IN THE TRANSFORMATION OF UNPLANNED
NEIGHBORHOODS IN RWANDA

May 2023

skat Swiss Resource Centre and
Consultancies for Development

PROECCO **PRO**moting **E**mployment through
Climate Responsive **CO**nstruction

PARTICIPATORY UPGRADING PROGRAMME
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Acknowledgements

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INTRODUCTION

1.1 BACKGROUND

Through the **PROECCO program**, the **Swiss Agency for Development and Cooperation (SDC)** supports the City of Kigali in the planning and implementation of ´Community Rehousing and Neighbourhood Upgrading Project in Unplanned Settlements´ in the District of Nyarugenge.

The project, technically coordinated by **Skat Consulting Ltd** (Swiss Resource Centre and Consultancies for Development), the implementing agency selected by SDC to implement PROECCO Program, aims to pilot the in situ rehousing of residents, promoting a participatory land readjustment process where residents are provided with improved multi-storey housing solutions in an optic of neighbourhood upgrading, densification and, potentially, the attraction of private sector investment.

The so-called "Mpazi" project started in 2020 and has since then completed three residential and mixed-use blocks, rehousing approximately 85 households (both owners and tenants) in dwelling units of different sizes.
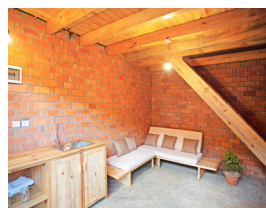
The rationale for PROECCO's support to the City of Kigali lies in the intention to provide scalable mechanisms

to address the sustainable transformation (socially, environmentally, and financially) of the unplanned settlements in the city and other parts of the country.

The **United Nations Human Settlements Programme (UN-Habitat)**, together with the **European Commission (EC)** and the **Organization of African, Caribbean and Pacific States (OACPS)**, entered a tripartite partnership to address the challenge of slums. In 2008, they launched the **Participatory Slum Upgrading Programme** (PSUP). The PSUP has implemented upgrading programs, policies, and strategies for over a decade to address chronic urban poverty in unplanned settlements. The Programme's strategic objectives are to strengthen global partnerships and policy dialogue and improve knowledge and capacities for participatory upgrading in ACP countries, improve living conditions in unplanned settlements, in contribution to the Sustainable Development Goal 11 for Cities, Target 1 "By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums". The PSUP's primary focus is to **integrate urban poor communities into the urban fabric by addressing access to affordable housing with tenure security, increasing land and essential services access, improving infrastructure and mobility, and strengthening economic links.**

Through the PSUP programme, UN-Habitat supported the City of Kigali's 'Community Rehousing and Neighbourhood Upgrading Project in Unplanned Settlements' in the district of Nyarugenge providing technical assistance in the participatory planning. In close collaboration with Skat, a series of community planning workshops have been carried out to sustain the City of Kigali (One Stop Center) and the neighbourhood transformation.

In the framework of this collaboration, **Skat and PSUP jointly drafted a set Guidelines** to guide future Participatory Urban Upgrading projects for the City of Kigali and in other urban areas in Rwanda.

1.2 PURPOSE OF THE DOCUMENT

These guidelines intend to provide a practical and step-by-step guide for the City of Kigali, Satellite Cities, Secondary Cities, and other Districts in Rwanda on how to start, manage, implement, and monitor inclusive transformation initiatives of unplanned settlements, focused on the active engagement of local communities, solid technical support, and blended financing mechanisms.

This document provides a **clear sequence of activities and tasks**, listing the **key actors** to be involved and their role in the process, supported by a constantly evolving set of **tools** for an effective and sound implementation. The objective is to provide a **handy and operational guide to support local authorities** in the participatory upgrading of the unplanned settlements.

The guide also looks at the financial resources to be allocated to undertake the process and the time required to implement each step. Based on the experience gained in the Mpazi rehousing project, it also informs on potential risks, and how to prevent and mitigate them.

This document was prepared based on the **ongoing Mpazi Urban Transformation Pilot** where the process has been piloted and tested and real data, figures, challenges, and opportunities identified, on the lessons learnt, the issues and achievements experienced, as well **on the international literature, and best practices across the Region.**

The guidebook aims **to provide support also to all the implementing actors involved in upgrading processes in Rwanda**, being Local Authorities, Sectoral Agencies, development partners, NGOs or private consultancy companies and ensure a coherent and inclusive approach is adopted, aligned with the national and international strategies for participatory

1.3 EXISTING POLICY FRAMEWORK

According to the **National Urban Informal Settlements Upgrading Implementation Programme (NUISUIP)**, Informal Settlements are defined as those urban areas where two or more of the following conditions apply:

☐ Housing:

- housing does not comply with current planning and building regulations,
- housing conditions are poor/unsafe in terms of construction quality and/overcrowding,
- there is a higher proportion of residents that have no security of tenure with regards to the land or dwelling they inhabit.

☐ Located in geographically and/or environmental hazardous areas.

☐ Having relatively low levels of access to basic services and socio-economic infrastructure compared to other parts of the city (and/or to the relevant standards).

☐ Lack or poor access to:

- public open spaces,
- green spaces

1 "Since most parts of Rwandan cities are unplanned, the expression "informal settlement", rather than "unplanned settlements" is used in the NUISUIP to make it more appropriate for the local context." (cit. NUISUIP, 2021)

☐ Present high socio-economic marginalization rates

The guidelines are aligned with the **existing national policy and legal framework** that address the urban upgrading sector in Rwanda. Among others, we mention:

1. The National Urban Informal Settlements Upgrading Implementation Programme (NUISUIP), 2021

2. A Practical Guide for conducting Participatory Land Readjustment in Rwanda, 2021

3. The Kigali 2050 Mater Plan, 2020

4. National Land Policy, 2019

5. National Building Code of Rwanda, 2019

6. Urban Planning Code, 2015

7. The City-wide unplanned and underserviced settlements upgrading strategy for Kigali, Rwanda, 2018

8. The National Informal Urban Settlement Upgrading Strategy, 2017

9. The National Urbanization Policy, 2015

10. National Housing Policy, 2015

Besides, different **international guidelines, manuals and relevant UN-Habitat publications** have been consulted to inform the preparation of the present booklet, among others:

11. A Practical Guide to Designing, Planning, And Executing Citywide Slum Upgrading Programmes (UN-Habitat, 2014);

12. Remaking the urban mosaic. Participatory and inclusive land readjustment (UN-Habitat, 2016)

13. UN-Habitat PSUP e-learning resources, PSUP

14. Participation for Inclusive, City-Wide Slum

Upgrading (UN-Habitat)

15. Neighbourhood Planning Design Recommendations (UN-Habitat)

16. For City-Wide, Participatory Slum Upgrading (UN-Habitat)

17. Building Neighborhoods that Build Social and Economic Prosperity: Manual for a Complete Neighborhood (Peter Rich, 2018)

18. Women-Friendly Urban Planning: a Toolkit from Cities of the Global South (Cities Alliance, 2021)

19. Modern Brick Construction System – Catalog of Affordable Housing Solutions – (Swiss Agency for Development and Cooperation/Skat Consulting Rwanda Ltd.)

20. Modern Brick Investment Solutions – Catalog of Opportunities for Africa's Great Lakes – (Swiss Agency for Development and Cooperation/Skat Consulting Rwanda Ltd.)

21. Cities Development Strategy Toolkit 2.0 (Cities Alliance, 2016)

1.4 THE TRANSFORMATION PROCESS

The process detailed in these guidelines is based on the following principles:

☐ Active and meaningful engagement of local communities which are provided with appropriate information, tools and opportunities to participate and steer the process in all relevant phases

☐ Preserving as much as possible the social and economic fabric of the neighbourhood, by achieving a comprehensive understanding of the local context and its relations with other parts of the City to improve living conditions without disrupting social and economic dynamics.

☐ Anchoring the process to a sound technical design that considers the different scales: urban, neighbourhood, block and individual units, to ensure proper linkages with parallelly ongoing interventions at city or local level and suitable urban and architectural design according to needs and aspirations of the community

☐ Pilot a financially sustainable models that achieve a suitable balance between the financial involvement of the owners (land, financing mechanism), the

retention of the tenants, the densification of the area and the attractivity for national and international investors to cross-finance the intervention

☐ Promote an efficient management model that can combines communities' rights with private sector's engagement through a solid, transparent and efficient governance structure.

Building on these principles, the process that inspired the drafting of these guidelines has been designed with clear objectives and was implemented in an optic of pioneering the application of a rehousing approach in Rwanda. This allowed not only to test the effectiveness of the process and of the design solutions adopted but also to identify challenges in the technical, social, and financial aspect and address them in view of the scaling up of this action.

The **actions** at the basis of this initiative were agreed at the beginning of the process between the City of Kigali, PROECCO and eventually PSUP-UN-Habitat Program for what concerns the participatory planning.

They can be listed as follows:

☐ Conduct an urban transformation process that ensures that most of the residents can be re-housed in the same neighbourhood -but on a smaller area- by leveraging on existing and future land values.

☐ Engage all owners in a logic of land amalgamation and allow them to maintain income generating activities (rent, small businesses) as before-transformation

☐ Allocate enough units for the rental market, with a focus on defining policy and legal gaps that prevent a more effective retention of the existing ones (prevent social fabric disruption/gentrification)

☐ Implement the project in a logic of continued and

active engagement of local communities by ensuring well-informed and meaningful participation in the analysis, design activities through co-design session with different groups (women, youths, elders, PWD, owners, tenants, etc)

☐ Increase the density of the neighbourhood, while enabling the creation of green, open public spaces, improving vehicular and pedestrian accessibility, providing public facilities and access to improved utilities

☐ Allocate a portion of the newly available land (after rehousing and public spaces) to the promotion of investment opportunities for private investment in a logic of cross-financing and with the objective of ensuring long term financial sustainability and replicability / scale-up of the process

☐ Formalize the participatory transformation process as a standard intervention strategy, institutionalized by the City of Kigali and other public stakeholders, for future processes.

☐ Facilitate the debate around key elements of the process that still require further analysis and study such as tenant protection, financial mechanism, management model, investment opportunities.

before transformation

during transformation

after transformation

02

THE GUIDELINES

2.1 THE CONTENT AND HOW TO USE IT

The entire process is organized in seven steps, identified by a number from 1 to 7 and an assigned colour. The colour-coding will ease the consultation and presentation of the step's content.

For each step, a diagram providing an overview of the whole step is provided to quickly get all the main information related to the step, specifically:

☐ The STAKEHOLDERS presented are the main implementers involved in the step described

☐ The OUTCOMES are the expected main deliverables for the step, for example a report, an analysis, or a spatial plan

☐ The RISKS and potential MITIGATION and prevention measures are based on the direct experience and lessons learnt

☐ The BUDGET requirements for each step have been indicated to facilitate the estimation of costs of any external consultancy required as well as the actual construction. The figures indicated in each step are based on the real estimated costs for the development of Mpazi until the implementation phase. Parametrized cost per Ha or Sqm are also displayed to support the estimates for replicating the activities in other neighbourhoods.

☐ The TIMELINE is presented in months, showing in darker grey the timeline for the previous steps, and in light grey the expected months to implement the current step

☐ Then, for each Task a short description is developed to explain the activity in more details

☐ A dedicated colored box is developed to describe the TOOLS. The proposed tools are identified to be handful instruments to facilitate the work of the public officers. Useful links to online tools and

The step's TITLE 1	STEP	TITLE
The main OBJECTIVE and short description 2	OBJECTIVE	Description of objective
The list of TASKS 3	TASK	TASK 1
		TASK 2
		TASK 3
		TASK 4
		TASK 5
The key STAKEHOLDERS involved 4		TOOLS
The OUTCOMES (deliverables) 5		OUTCOMES
The operational TOOLS 6		STAKEHOLDERS
The potential RISKS & MITIGATION MEASURES		RISK & MITIGATION MEASURES
The expected BUDGET (as parametric value of cost/sqm) and the TIMELINE for the activities 8		TIMELINE & BUDGET

2.2 OVERVIEW OF THE PROCESS

STEP	Project preparation	Settling Profiling	Participatory neighborhood planning
OBJECTIVE	To establish Project Management Framework	To assess the physical context and the community	To collaboratively design the neighborhood layout
TASK	Site selection	Residents' Committee establishment	Participatory assessment
	Project Coordination	Socio-economic analysis	Visioning & scenario development
	Project Planning and Programming	Spatial Data collection	Co-designing, gender responsive
	Participatory & Communication Plan	Environmental assessment	Technical development
	Public Project Opening	Enumeration of existing properties	Validation by community
		Data processing & strategic planning	Public event
			Plan Design approval

TOOLS

OUTCOMES

STAKEHOLDERS

RISK & MITIGATION MEASURES

TIMELINE & BUDGET

Implementing mechanisms	Blocks and Units co-designing	Project Execution Phase 1	Plan for Sustainability
To define the enabling mechanism	To co-define units typology and block facilities	To kick-off project implementation	To plan for long-term sustainability of the project
Financial Detailed Planning	Phase 1 Owners' engagement	Launch the implementation	Phase 1 Project closure
Investment planning	Blocks facilities needs analysis	Works tendering and contracting 1st Phase	Transfer of ownership & assessment
Tenants projections scheme design	Blocks & Units co-design	Temporary rehousing	Transfer of roles and responsibilities
Community-driven projects	Evaluation of existing properties	Construction activities	Monitoring and evaluation
Monitoring and evaluation mechanisms	Re-housing negotiations		Phase 1 assessment
	Architectural and Engineering Design		Planning & Kick-start phase 2
			Capacity building

03
STEP BY STEP PROCESS

STEP

PROJECT

Objective:

to establish the **Project Management Framework** to design the process, setting the objectives and expected results, decide the management and coordination mechanisms.

Site selection

Project coordination

Process Planning and Programming

Participation and Communication Plan

Public Project Opening

RISK & MITIGATION MEASURES

Coordination is required among different entities for site selection and to establish the project governance. It requires also time and resources allocation.

Mitigation measures: policies and strategies for urban upgrading prioritization and government budget to guide the selection. Establish the governance structure of the project.

City Management

Implementing Partners

OUTCOMES

Implementation schedule

Participation and Communication Plan

BUDGET

$ 7,000 to 10,000

~$2000 / ha of neighbourhood area

TIMELINE

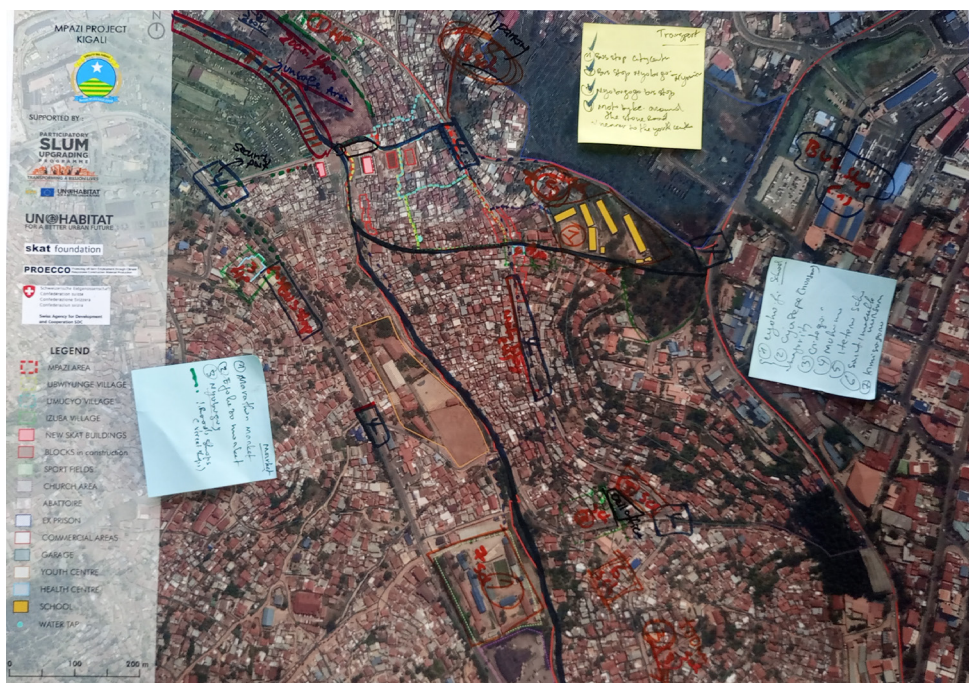1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24

TOOLS

☐ Project Coordination Unit

☐ GANTT

☐ Procurement Mechanisms

☐ Stakeholder' Analysis and Mapping

☐ Public Event

☐ Communication

STEP 1

TASK 1

TASK 1 SITE SELECTION

☐ This step assumes that there is a sites pre-selection and settlement prioritization made at the policy/national level, which includes those overarching elements that concern the city-wide planning dimension and the upgrading programmes, such as Feasibility Studies, Policy Framework & Institutional Review, Policy and law adjustments, budgetary allocation for sufficient human resources to manage the transformation projects at city wide level. This includes the establishment of settlement selection criteria, aligned with the existing policy and strategy framework, such as defined in the Categorization and prioritization system at national and urban level (NUISUIP, 2019)

☐ The site selection at local level involves mainly the City of Kigali and the One Stop Centre Office in alignment with the City Master Plan, the Local Development Plans and the other existing strategies and plans for urban upgrading, at local

and district level. It should take into consideration many factors, among others community interest, land values, density, opportunities on different site

☐ The outcomes of the site selection should be communicated to the responsible offices and technical groups of the national and sectoral institutions in the dedicated meetings, to promote coordination and integration. For example, the Urbanization and Rural Settlements Sectoral and Technical Working Group and its Secretariat, but also to other different actors engaged in the urban upgrading and redevelopment sector, such as the Steering Committee or Technical Working Group of the upgrading projects supported by Development Partners.

☐ Decision-making is drawn on the existing policies and urban upgrading implementation framework, especially the City Master Plan and the City-Wide Unplanned Settlements Upgrading Strategy, or at national level, the National Urban Informal Settlements Upgrading Implementation Programme (NUISUIP).

☐ It implies technical assessments and a prioritization process which could have been started in already ongoing planning and city-led decision making processes. It should be validated/confirmed with the community, assessing the willingness to participate

☐ Set up a management team, called Project Coordination Unit (PCU) that designs, plans, and leads the project's activities, drafts the process work plan, and defines the roles and the management mechanisms

☐ Chaired by the City, it includes the key implementers, including the identified implementing agency itself (if out-sourced), the Technical Team which will support in the development of the technical and design requirements and other representatives of government and sectoral agencies, at discretion of the City

**TASK 2
PROJECT**

STEP 1

☐ It designs and plans the organization set-up and the Financial Plan, including the Human Resources for the entire process. It manages the procurement process for out-sourcing specialists and consultants and it establishes the governance structure of the process.

☐ It is responsible of updating, coordination and informing on the project process implementation status at the dedicated national and district coordination meetings or to form a dedicated Project Steering Committee with representatives from the key relevant national, local and sectoral institutions.

TASK 3
PROCESS PLANNING

☐ The Project Coordination Unit sets the objectives and the activities to implement the process, it defines the project's ownership, goals, overall objectives and key stakeholders to involve.

☐ It prepares the Implementation Schedule with all the activities planned with a detailed work plan/ GANTT, setting the milestones, the deliverables, the management and coordination mechanisms, and the timeline

☐ It ensures the allocation of budget for each activity, phase, and human resources, as well to procure the additional expertise to developed sectoral and technical studies

☐ It is recommended to set up a Project Steering Committee (SC), including the key stakeholders at decision-making level, and the community leaders/ representatives. The SC will be updated on the project progress and will support project implementation and monitoring, highlighting any potential conflicts or issues. It will ensure that the objectives and outcomes are aligned with national, regional, local plans, and other ongoing projects. It will take decisions and act accordingly where adjustments and strategic indications are required and provide informed comments.

☐ The Participation and Communication Plan is a key document to plan and engage all the activities required to involve different stakeholders at the different stage of the process and ensure a broad and active participation of the target community

☐ It starts with the Stakeholder's Mapping and Analysis which allows to identify and understand the potential actors who will participate in the process and ensure they are consulted and involved in the appropriate stage of the process. The Stakeholders' Analysis and Mapping is prepared to screen the key actors to involve and their interest and role in supporting the process. It is critical to identify all stakeholders and assess whether they are in favour or opposed to the upgrading programme. This will not only allow the PCU to approach the possible partners but also understand who the opponents are and why they are against the process

☐ It will avoid delaying of the process for conflicts resolution or misunderstanding of expected

beneficiaries and process' outcomes. The Participatory and Communication Plan will guide the engagement activities required and allocate the resources to implement them

☐ The Communication Plan will look at the Communication Campaign required to explain different aspects of the project to the different stakeholders, especially the community involved in the programme, and ensure all are well informed, aware and raise the ownership toward the process. It supports disseminating information to populations as a whole: the programme concept, opportunities to participate and an invitation to consult, as well controlling the accuracy of information received by the population.

□ Organize a public project opening event to launch the project and show the commitment of the authorities and partners

□ It will represent a good opportunity to present the PCU, the process objectives, activities and implementation schedule and kick-off the communication channels

□ The venue should be chosen at a public community location and the invitation extended also to local leaders and the whole community

□ It ensures community participation and engagement from the beginning, transparency in the process and expected objectives and results, it raises the accountability of all the parties involved

□ It allows the community to express doubts, fears, and aspirations and, more importantly, should confirm the intention of representatives from the selected area to participate in the process.

**TASK 5
PUBLIC PROJECT**

TOOLKIT

TOOL 1: PROJECT COORDINATION UNIT

The Project Coordination Unit (PCU) can be an autonomous, separate structure or part of an existing institution. The PCU will be the programme's overall coordinating unit. The composition of the PCU depends on the nature of the project. In principle, it should consist at least of a Programme/Project Manager, and other managers with overall responsibility for the operation of the different components of the programme. It should include people with these skills: Land surveying and valuation; Planning/architecture; Land/Ownership Tenure; Urban Economics & finance; Community Organizing & engagement; Facilitation and Community Mobilization, Environment.

The members can be staff from responsible offices and agencies, seconded to the PCU for the project's implementation duration, under the guidance of the Project Manager, where their skills will develop but will be returned to the permanent organizations responsible for city development at the end of the programme. Or it can be outsourced to an external implementing partner, although not recommended as there won't be any skills transfer and capacity building to the City Management officers.

A third option for the PCU could be arranged, with the management and admin roles undertaken by the City, with the technical support of one consulting multi-

disciplinary team and other technical expertise.

The PCU sets the schedule for the different coordination and information sharing meetings to be held. Suggesting weekly, with its managers and members to monitor and discuss local level progress and agree on any modifications in planned actions. Bi-Monthly with the sectoral agencies at District/Local Level for project update

and coordination, and as scheduled, with the higher national level meetings, such as Sectoral Working Group.

TOOL 2: GANTT

A Gantt chart is a table that illustrates a project schedule. It lists the tasks to be performed on the vertical axis, and time intervals on the horizontal axis. It summaries the project flow, by breakdown the main activities in sub-activities/ tasks under the main ones. It highlights the milestones and deliverable output schedule and the overall duration of the project

It helps planning the activities, the order of the tasks and their overlapping. It is a relevant tool to monitor the process, keep the pace of activities' implementation to the planned time framework, and adjust the process development according to the needs.

It needs to be checked and updated regularly.

TOOL 3: PROCUREMENT MECHANISMS

At this stage during Task #3 - Process Planning and Programming, it is critical to establish prepare the budget for the implementation of the process and assess
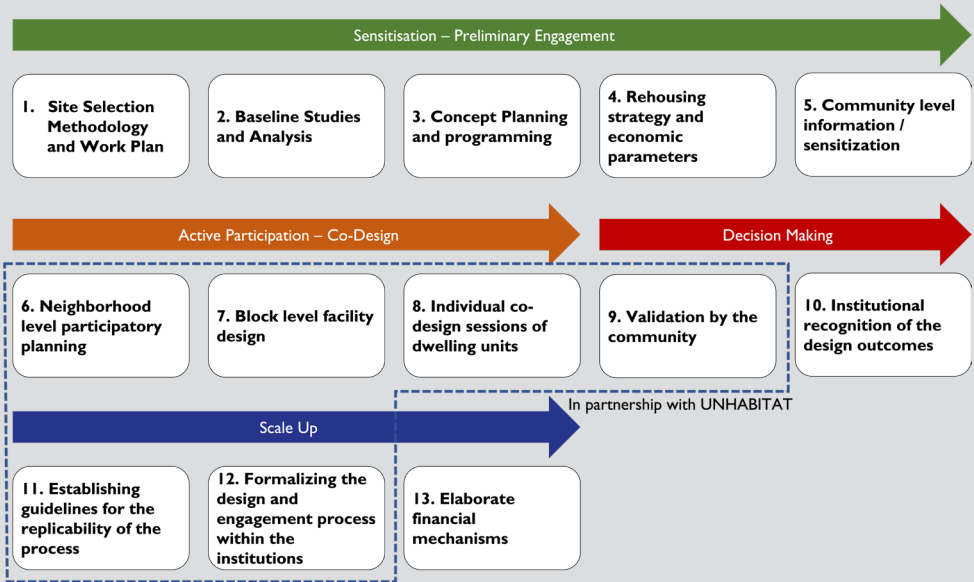
the particular procurement needs to be pursued. The PCU will confirm the public bidding to be launched for a particular project component or its entirety, including project design.

All these procurement and legal procedures must be in place and well known by all those involved in project implementation.

Depending on the implementation

mechanism selected (internally driven, outsourced or partially outsourced), several procurement packages can be identified:

1. Technical Assistance to CoK for program design and management

2. Participatory neighbourhood design (both structural and detailed)

3. Architectural design and construction supervision

4. Construction

TOOL 4: STAKEHOLDER'S ANALYSIS AND MAPPING

Stakeholders are all the actors with an interest, either they will be affected or may have some influence in the project. They can affect the outcome and the success of

the process and they must be consulted not only to acquire valuable information, but also to initiate and sustain relationships so that the stakeholders engaged are most likely to support future activities. The Stakeholder's Analysis and Mapping help in identifying all the actors, and assess if they are in favour or might be opponents. The analysis is a tool to understand the level of power, interest and influence of each stakeholder.

Stakeholders identified may include: National and Local Government's Authorities, development partners, commercial banks and micro-finance

FIGURE 2.1: EXAMPLE OF STAKEHOLDER STAKEHOLDER ANALYSIS - INTERESTS AND POSSIBLE ACTORS

STAKEHOLDER NAMES AND ROLE	HOW IMPORTANT (LOW-MED-HIGH)	LEVEL OF INFLUENCE (LOW-MED-HIGH)	CURRENT LEVEL OF SUPPORT (LOW-MED-HIGH)	WHAT DO YOU WANT FROM STAKEHOLDERS?	STAKEHOLDER'S MAIN INTEREST	HOW COULD STAKEHOLDERS BLOCK YOUR EFFORTS?	STRATEGY FOR ENHANCING STAKEHOLDER SUPPORT
Ministry of Housing and Lands	High	High	Medium	Change land legislation	Increased and improved housing stock, regularised land	Not prioritizing new legislation	Convince that upgraded houses are "units".
Housing Banks	Medium	High	Low	Extend house & microentreprise credit	High level of loan repayments	Refuse to give loans	Provide guarantees for loans
Mayor	High	High	Medium	Policy commitment	Fulfilment of campaign pledges; re-election	Prioritisation of other pledges or policies	Show key stakeholders and voters support CWSU
Municipal Urban Planning Department	High	High	Medium	Coordinate planning process	Orderly and controlled urban growth	Dissuade Mayor from prioritising CWSU	Show positive experiences in other cities
City Treasurer	Medium	High	Low	Design systems for user fees and property tax	Low costs / revenue collection	Dissuade Mayor from prioritising CWSU	Show positive experiences in other cities
Water & sanitation company	High	Medium	Low	Installation of service network	Level of costs, payment of fees, maintenance	Non-inclusion of CWSU in operational plans	Show positive experiences in other cities
Municipal Housing Department	High	Medium	Low	Affordable long-term housing strategy for poor	Affordable, decent, safe, sanitary housing for the poor	Insistence on developing turnkey housing	Show low-cost alternatives in other cities
Donor agency	Medium	Medium	High	(Partial) funding	Satisfaction of local/ central government and residents	Non-priorisation of upgrading in country strategy	Persuasion by responsible Minister
Cadastre agency	Medium	Low	Low	Coordinate cadastral surveys	Comprehensive, accurate cadastre of city		
UN agencies	Low	Medium	High	Targeted technical assistance	Satisfaction of local/ central government and residents		
Slum dwellers (CBO)	High	Low	High	Participation in planning, execution, maintenance	Cheap housing loans and clean drinking water		Show positive experiences in other cities
NGOs	Medium	Low	High	Coordination and technical support at local level (e.g. training)	Increased standard of living of residents		
Universities	Low	Low	Medium	Technical support at local level (e.g. designs)	Application and testing of theory in practice		
Religious institutions	Low	High	Low	Act as trusted interlocutors	Fair treatment for residents; upholding religious values	Persuade residents to boycott project	Show benefits for residents and their support
Etc.							

institutions, utility companies and private services providers, residents, including the landowners, the tenants, and the local and opinion leaders, private developers and construction companies, NGOs, CSOs and other community-based organization or residents associations, religious groups, among others.

It will be essential to engage with those who are very important and highly

influential either to support the programme or to overcome their resistance to it. If they are opposed, their opposition will need to be addressed.

See example of Stakeholder Analysis (source: UN-Habitat A Practical Guide to Designing Planning and Executing Citywide Slum)

TABLE 3.3: SOME COMMUNICATION METHODS FOR CITYWIDE SLUM UPGRADING

METHOD	STRENGTHS	POSSIBLE USES (EXAMPLES)
Consultations	Conducive to serious analysis and reflection Involve broad and varied range of actors.	Drawing up framework of overall city or settlement planning.
Assemblies	Community assemblies: getting general messages across, making statement of intent, gaining general impression of community feeling or response (feedback).	Informing communities of what has been done and what is to come and when.
Meetings	Focus on single issue with exchange of views, possibly leading to agreement.	PMU agreeing with Advisory Committee on the next steps to be taken.
Focus group discussions	Gathering opinions and feedback from relatively homogeneous sectors of population.	Assessing impact of women's organizational support grants.
Workshops	Coordinated focus on specific, agreed problems or issues leading to proposals.	Training CBO leaders in social violence reduction.
TV	Allows showing of films across city of successful CWSU.	Publicising benefits of CWSU at start of process.
Radio	Wide audience.	Holding interviews with participating slum dwellers on effect of CWSU.
Community radio and notice boards	Repeated, locally relevant messages.	Informing community of forthcoming events and interventions. Delivering practical messages from community leaders.
Newspapers	Articles: in-depth explanations and descriptions. Advertisements: detailed information to citywide audience.	Publicising citywide events, progress of CWSU, inviting applicants for specific sub-programmes (credits, etc.).
Posters	Attention grabbing, difficult to miss messages. Repetitive character of messages can lead to them becoming 'slogans'.	Underlining key messages (e.g. 'get tenure security now', 'clean water is coming').
Folder, leaflets and flyers	Quick, easy and attractive to read if they have a lot of images. Can be kept.	Informing of the existence of new services (e.g. housing credits).
Booklets	Written record of details for future reference.	Explaining processes and procedures, rights and responsibilities (e.g. how reblocking will take place and its implications for individual families).
Events	Can be designed to attract specific sectors or population in general (rap music, micro-entrepreneurs' market, etc.).	Support raising, motivation building at strategic points in the CWSU process.
Social media	Appeal to young, viral potential, up-to-date.	Video reporting recent citywide festival of handicapped youth (YouTube).
Internet website	Stock of records, detailed information in attractive and accessible form.	Online complaints about services or downloading of conditions for micro-enterprise loans or how to get a site and service overspill plot.
Internet blogs	Up-to-date, most relevant issues discussed and ideas proposed.	Discussing effectiveness of new community policing policy.

TOOL 5: COMMUNICATION CAMPAIGN

Communication is an essential component of the participatory upgrading processes to allow the flow of information between actors and establish feedback systems between the residents, the PCU, partners and other actors. The programme will develop a communication strategy which will have two components:

ONLINE RESOURCE & REFERENCES:

Communication Methods p. 93

PSUP e-learning platform (Module 2- Communication and Partnership)

☐ general (regarding programme content, structure, process, management, and decision making, monitoring and evaluation)

☐ specific (about specific stages and activities in the process, such as advertising for public hearing or events, enumeration, or co-design sessions, etc.).

The project will be implemented according to certain procedures, processes, rules and regulation and all these need to be explained. Residents need to know what is expected of them but also what their rights are.

A simple matrix can be used which indicates the types of information and communications methods

ONLINE RESOURCE & REFERENCES:

Public Event planner

The Community Planning Event Manual

Community Information toolkit

STEP

SETTLEMENT

Objective:

to assess the physical context of the settlement and map the community to develop a **detailed settlement profile.** Develop baseline information to support project planning and design. To start engaging the residents.

TASKS

Engaging the Community

Socio-Economic Analysis

Spatial data collection

Environmental assessment

Enumeration of existing properties

Data processing and strategic planning

RISK & MITIGATION MEASURES

Enumeration might cause ownership conflicts and disputes. Lack of spatial data and base-line information. Contestation of the land and property evaluation by the owners.

Mitigation measures: engaging the community in participatory enumeration, data collection and settlement assessment.

STAKEHOLDERS

Project Coordination Unit

Consulting Technical Team

OUTCOMES

GIS data base

Settlement Profiling Report

Strategic Planning

BUDGET

$ 45,000 to 50,000

~ $12,500 / ha of neighbourhood area

TIMELINE

① ② ③ ④ ⑤ ⑥ 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24

TOOLS

☐ Socio-Economic and Household surveys

☐ Data base and mapping

☐ Plots & Properties Table

☐ Social Environmental Impact Assessment

☐ Community Working Group Toolkit

☐ Community Consultation Meeting

☐ Participatory

STEP 2

**TASK 1
ENGAGING THE**

☐ To start engaging the community it is required to form a structured community organization, such as the Coomunity Working Group which has a strategic role in the process. It helps to engage the community in the project target area in neighbourhood planning and rehousing design, ensuring that different interests expressed by representatives of all segments in community are taken into consideration.

☐ It forms a community's organization group to support in planning exercise and liaise with partners. It raises the sense of ownership and engagement towards the project implementation. It supports the sustainability of the process in the long term, ensuring the community will be engaged also in the implementation stage and actively propose community-driven projects

☐ In collaboration with the local and community leaders, the community is profiled and committee's members proposed to ensure an inclusive representation of all categories, especially the most vulnerable.

☐ The role, engagement, and activities schedule of the Coomunity Working Group are defined and an Agreement Letter signed.

- [ ] The Coomunity Working Group members are presented to the broad community in a public event, the role, responsibilities, and the level of engagement is explained to the residents of the neighbourhood.

- [ ] Assessing the socio-economic conditions of the residents is critical to establish the characteristics and profiles of the community. It must include also the assessment of the level of the community organization, such as presence of local associations, NGOs and CSOs, grass-roots organizations or revolving funds groups, which will inform the decision to establish a new Coomunity Working Group or empower existing active structures

- [ ] A Household survey is organized to detail target features (for example the numbers of people falling into vulnerable categories, the level of education, income and presence of economic activities, household structure, land tenure status, etc.) and collect high granularity data

- [ ] The survey must include the tenants to assess their vulnerability and capacity and willingness to be engaged. It might require a dedicated tenants' survey to collect target information on their existing conditions, capacity of paying after transformation, modalities to include them in the process and in the management of the upgraded settlement, as well designing the redevelopment's mechanisms to avoid their displacement

- [ ] With the data and information collected, build an organized data-base of settlement's residents

- [ ] Collect all the existing spatial data and prepare the analysis and base maps for an accurate mapping of the settlement (identifying plots and structures, spatial configuration, existing infrastructure, services, topography, risk areas, etc.).

- [ ] Map the urban configuration and existing infrastructure, inside and in the neighboured
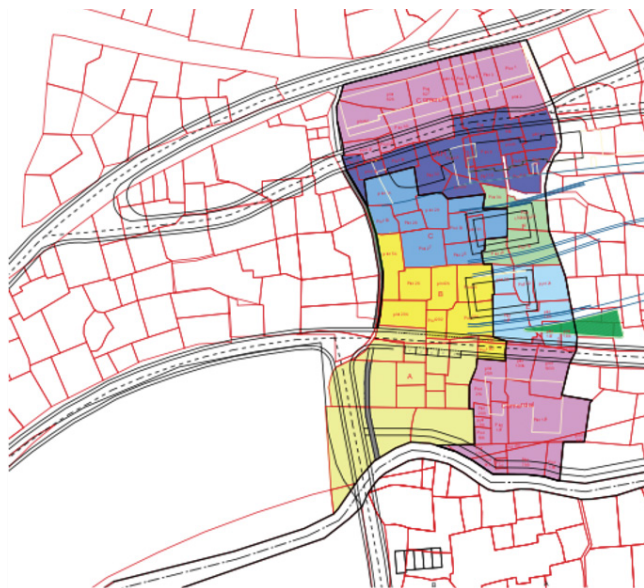
**TASK 2
SOCIO-ECONOMIC**

**TASK 3
SPATIAL DATA**

settlements, including roads network, footpaths, services, landmarks and community special location, public spaces, green areas, etc.

☐ Topographical and geological studies at settlement level shall be conducted to inform the neighbourhood planning and assess risks and hazards in the area

☐ Identify further technical and feasibility studies to complete the spatial analysis

☐ Assess the relevant planning and regulatory framework (e.g. plot sizes, urban standards, zoning, etc.) enforced in the area, according to the City Master Plan or/and Local Development Plans

TASK 4
ENVIRONMENTAL

☐ Preparation of the Strategic Environmental Impact Assessment, according to the Rwanda Laws and establish the mitigation measures to reduce the impacts on the environment

☐ Involve the community in the assessment activities to map the risks and hazards areas for example: flooding, earthquake, erosion, hazardous gorges or high traffic roads, informal garbage dump sites; areas prone to crime/crime hotspots; etc.

☐ Include the discussion of coping measures developed at community level. Identify risks such as location of dwellings in hazardous areas, risk areas, environmental protection areas, catchment areas, etc.

☐ Discuss and propose the mitigation measures in agreement with the residents.

TASK 5
ENUMERATION
OF EXISTING

☐ In-situ counting and mapping of all structures, housing units, business units and identifying their occupants and/or owners

☐ This should be done in a participatory and inclusive manner, involving the Community Working Group and the individual residents

- ☐ Preparation of Database of residents, owners, renters, occupants.
- ☐ Process the information collected in base maps and prepare spatial plans
- ☐ Establishing a preliminary Strategic Plan for the area to assess the redevelopment and re-housing strategy
- ☐ A Strategic Planning Document should support the plan and outline how to improve the socio-conditions of the neighbourhood, in words and diagrams, and the strategy for moving from the current situation to an improved living environment for residents. It can be sustained by a Participatory SWOT Analysis
- ☐ A concept level plan should be drafted at this stage

**TASK 6
DATA PROCESSING
AND STRATEGIC**

TOOLKIT

TOOL 1: COMMUNITY WORKING GROUP TOOLKIT

The establishment of the Community Working Group implies the following activities: i) Set the criteria for members' selection; ii) Agree on profile, roles and level of engagement; iii) Mapping the community; iv) Identify the candidates, assess the availability; v) Form and establish the Community Working Group.

It is important to set the criteria to select the members, the member's profile and their role.

ONLINE RESOURCE & REFERENCES:

Community Working Group (CWG) toolkit

PSUP e-learning platform (Module 8 - Community organization)

This set of tools aim to make the Community committee fulfil their responsibility as representative of the entire community. They must have summarized documentations explaining the objective, methodology and expected results from the community committee on each session.

TOOL 2: SOCIO-ECONOMIC AND HOUSEHOLD SURVEYS

The socio-economic survey will inform on the socio-economic conditions and characteristics of the settlement. The programme needs to understand the residents in the areas where it will potentially work. It needs a range of reliable information about them to plan appropriate interventions and help it select tailored solutions. The following socio-economic conditions should be explored with the data processed in an excel sheet and subsequently presented in tables, graphs, and maps:

☐ the age of the settlement;

☐ how long residents have lived there (in case it is decided to give priority to the men and women who have lived there longest);

☐ number of residents, their age, sex distribution and household composition, head of household/main earner (man/woman/elderly/youth), number of women-headed households, people with disabilities, members of different ethnic and religious groups, etc.;

☐ households' income levels (this will help to assess the affordability of different upgrading options);

☐ how many households have domestic infrastructure (water, sanitation, electricity, internet) connections (this will tell us what the need is);

☐ housing quality (of roofing, walls, floors, etc., which illustrates the need for housing improvement);

☐ type, location, and number of social services and facilities (the need for their improvement).

If the programme has decided to target particular groups of vulnerable or disadvantaged people it is necessary to know the number of residents who fall into these groups (e.g. pre-primary children, elderly, refugees, IDPs, ex-combatants, illiterates).

The analysis will take into consideration also the spending capacity and willingness to contribute of the residents, in particular of owners, who could contribute with land, assets, collateral, but also tenants in the form of in kind contribution, work, or social or maintenance works in the neighbourhood.

ONLINE RESOURCE & REFERENCES:

Questionnaires for situation analysis

ToR for Technical Services

Socio-economic survey toolkit

TOOL 3: DATA BASE AND MAPPING

The base maps, prepared using GIS/CAD, should include the following maps:

☐ location of settlement in the city master plan

☐ Existing and proposed land uses / zoning regulations

☐ Cadastral map

☐ existing and planned road network and infrastructure at city level

☐ community mobility

☐ hazards and risks areas

☐ safety and gender-related analysis

☐ other

ONLINE RESOURCE & REFERENCES:

Urban profiling questionnaire

Spatial Analysis Maps sample

PSUP e-learning platform

TOOL 4: PLOTS AND PROPERTIES' TABLE

An accurate mapping of existing property structure is essential for the subsequent steps of re-housing calculation and land use programming.

Starting from the existing cadastral map, a detailed survey of each parcel and the existing units and their use would be required to estimate current housing stock and plan for the next steps.

This may include, but not limited to: parcel size, size and number of existing structures, current use, current residents, estimated property value.

Participatory enumeration of plots and properties is a tool to be used in this phase.

ONLINE RESOURCE & REFERENCES:

Participatory enumeration and survey

ToRs For Technical Services

TOOL 5: SOCIAL ENVIRONMENTAL IMPACT ASSESSMENT

A Social and Environmental Impact Assessment is required for the local One Stop Center to approve the concept-level plan and formalise the administrative process within relevant institutions.

The SEIA process can be conducted also at a later stage, at the end of the neighborhood planning step.

ONLINE RESOURCE & REFERENCES:

ToRs for Technical Services

Assessment

TOOL 6: COMMUNITY CONSULTATION MEETING

This tool aims to provide guidelines to carry out any planning activity as a workshop, to allow for more participation, collaboration, and interaction. Workshops can take place in-person, online or hybrid modality, according to available resources, physical and public health conditions, needs, and objectives. Both formats can be combined in different activities along a planning process.

ONLINE RESOURCE & REFERENCES:

Workshop Checklist

Community Information Toolkit

TOOL 7: (PARTICIPATORY) SWOT ANALYSIS

To support strategic planning and the preparation of the Strategic Planning Document, a Participatory SWOT Analysis can be organised by PCU, with the involvement of key stakeholders from the institutions, city's level representatives, the community, research and academia, private sector, such as banks, construction and real estate sectors.

ONLINE RESOURCE & REFERENCES:

SWOT Analysis

Data Analysis

STEP

PARTICIPATORY NEIGHBORHOOD

Objective:

to collaboratively design the **Neighbourhood Plan** to guide the upgrading interventions to implement the neighbourhood development Vision.

TASKS

Participatory Assessment

Visioning and Scenario development

Co-designing & Gender Planning

Technical Development

Validation by the community

Public Event

Plan Design approval

RISK & MITIGATION MEASURES

Participation requires time and might delay the process, as well could cause conflicts to address

Mitigation measures: establish at the beginning of the process the Participation Action Plan and plan the schedule and methodology for participatory planning activities

STAKEHOLDERS

City Management

Project Coordination Unit

Consulting Technical Team

Community Working Group

OUTCOMES

Neighborhood Master Plan

Plan approval

BUDGET

$ 37,000 to 43,000

~ $11,000 / ha of neighbourhood area

TIMELINE

① ② ③ ④ ⑤ ⑥ ⑦ ⑧ ⑨ ⑩ ⑪ 12 13 14 15 16 17 18 19 20 21 22 23 24

TOOLS

☐ Data Analysis and Strategic Planning

☐ Participatory Mapping

☐ Co-Design workshops

☐ Focus Group Discussions

☐ Public Information session

STEP 3

**TASK 1
PARTICIPATORY**

☐ The participatory assessment entails different activities to analyse the existing conditions with the help of the community and residents. It includes for example a Participatory Mapping exercise undertaken together with the Community Working Group. It taps into local knowledge and experience from the community. It helps to identify local assets, networks and opportunities in the community.

☐ It enables the community to map where they live, surrounding infrastructure and services, the boundaries of the settlement, risks and challenges and provide the technical team with valuable inputs and information

☐ This task might result in the production of rough community maps and the use of GPS or other online mapping tool to mark structures and the settlement/plots boundaries.

☐ Visioning provides the community an opportunity to envisage their situation now and in the future. Responding to the questions: Where are we now? Where do we want to be? How do we get there?

☐ The vision highlights what is unique about the neighbourhood and its identity. The Strategic Visioning aims to collaboratively identify the long-term aspiration of the settlement and set the basis of the strategic development plan.

☐ The vision acts as a trigger and guides the plan ambitions, creating opportunities and deconstructing challenges into goals and targets.

☐ The scenarios development to fulfil the Vision set and the opportunities and aspirations identified

**TASK 2
ENVISIONING
AND SCENARIO**

**TASK 3
CO-DESIGN AND
GENDER INCLUSIVE**

☐ From the Vision and Scenarios, with the support of the technical team, co-design workshops and community planning sessions are organized to sketch a Structure Plan with the support of the beneficiaries. It identifies the distribution of the main functions, the position of the key social facilities and green areas, the network of footpaths and main routes to be developed.

☐ From the identification of the major planning issues and opportunities, highlighted during the base mapping, participatory assessment and socio/spatial data collection, develop a Neighbourhood Concept Plan, which defines the development of the area at structural level, laying down the main land uses (residential, public facilities, public green areas), the mobility networks (roads, pedestrian, cycling) and infrastructure schemes.

☐ It is important to foster gender inclusive approach in the planning process, ensuring the needs and aspiration of women and girls living in the settlement are leveraged. From the assessment to the Visioning and Scenarios Development, gender mainstreaming ensure the perspective of women and the approach of gender-inclusive planning are applied to the analysis and design stages.

☐ The technical team will provide support to the community in the participatory and co-design sessions. From the results of the visioning and scenarios development, the technical team will prepare a neighbourhood layout plan, infrastructure and road networks schemes

☐ The technical team will assess the technical feasibility of the design solutions with the existing planning framework, enforced spatial plan, such as City Master Plan and Local Development Plan, zoning regulations and urban and greed design standards.

☐ During this task, the Technical Team, in agreement with the PCU, will confirm or adjust the redevelopment and rehousing strategy set in Stage 2

☐ All the required technical documents, plans and studies will be developed at this stage and will have to be drafted in compliance with One Stop Center requirements to ensure a smooth approval process.

TASK 4 TECHNICAL

**TASK 5
VALIDATION BY THE**

___

☐ Hold a community validation workshop with the Community Working Group to summarise the results of the participatory process

☐ The Community Working Group to endorse the outcomes of the neighbourhood's planning design and approve it

☐ Collect other final inputs and comments

☐ A physical model/maquette or 3D model to show the plan

TASK 6

___

☐ At the end of this neighbourhood planning stage and the related engagement activities, organize a public event to update the community on the process progress status and inform on the outcomes of the planning activities to broad the ownership

☐ It provides the opportunity to keep the community informed and aware of the process next phases and its expected contribution

☐ It consolidates the established communication channels with the community and confirm the accountability of the local authority promoting

the process and the residents and community's members.

☐ After the community endorsement, the plan is officially handover to the responsible authorities, to be adapted or included as Local Development Plan to implement the City Master Plan

☐ The responsible offices of the City will assess the alignment with the existing planning frameworks, and with the planning development principles, and in case needed, adjust to ensure full compliant with the City Master Plan, zoning regulations and urban standards.

☐ Finally, the plan is submitted for approval by the competent authorities

TASK 7
PLAN DESIGN

TOOLKIT

TOOL 1: PARTICIPATORY MAPPING

The participatory mapping allows to engage the community in field recognition walks and visits in the neighbourhood, together with the technical team. They are used to familiarize everyone with the physical environment and key issues, as well landmarks, locations with special value for the community, public spaces and services. Usually it is organized at the start of community planning processes and to review progress at intervals.

The Community Working Group and the technical team are provided with handy maps and markers to sketch on and take notes, at each key location on the route, the group stops, take photos and records, interacts with the population around.

The route could be planned in advanced and showed in the printed maps, or can be decided while walking, following the suggestions from the community's participants.

At the end of the trip, all the information are reviewed and discussed in a collective mapping exercise and the

ONLINE RESOURCE & REFERENCES:

Participatory Incremental Mapping

Participatory Mapping

Reconnaissance Trip

Transect Walk Toolkit

outcomes handover to the technical team for further elaboration.

TOOL 2: DATA ANALYSIS AND STRATEGIC PLANNING

This tool ensures that the collected data informs decision making in a collaborative manner. This tool can be used in workshops, consultations with stakeholders and other events to ensure participatory data analysis and informed decision making. Tools and the format for presentation should be tailored to the stakeholders

ONLINE RESOURCE & REFERENCES:

Strategic Analysis Toolkit

Data Analysis

Rapid data collection with stakeholders

PSUP e-learning platform (Module 9 -

TOOL 3: CO-DESIGN WORKSHOP & GENDER INCLUSIVE PLANNING

Co-design workshops are hands-on sessions allowing small groups of professionals and non-professionals to work creatively together developing planning and design ideas. It entails a creative work of a small group of people, formed by the Community Working Group and the technical team, around prepared prints out of maps or flexible physical models.

ONLINE RESOURCE & REFERENCES:

Toolkit for Women Friendly Urban Planning p. 24-25

Her City Guide p.48

Community Planning Collaborative Design Workshop

With available resources and spaces, it could be organised using digital devices and software, such as the Block by Block Toolkit.

TOOL 4: FOCUS GROUP DISCUSSIONS

Focus group discussions are consultative and interactive meetings, involving a target category of people, to get a deeper insight into a specific topic or impacting a targeted category in the neighbourhood. Could be a only women and girls, or elders, or youth and young workers, or only children, using tools adapted to their capacities

ONLINE RESOURCE & REFERENCES:

Focus Group Discussion (p. 103)

Focus Group Discussion toolkit:

of expression. Otherwise focusing on a specific topic, for example mobility, or economic development opportunities, or accessibility, etc.

Usually they are reduced in number or participants, which allow to interact more extensively and going into more details, deploying different tools.

TOOL 5: PUBLIC INFORMATION SESSION

After the validation workshop with the Community Working Group, where the neighborhood plan is endorsed by the community's representatives, it advisable to organize a public event in the neighborhood. The public information session is open to the entire community and aims to share with the civil society the results of the Participatory Neighborhood Planning. The team, together with the Community Working Group, presents the different activities conducted and the main outputs integrated into the plan, using a clear and simple language. If possible, the plan is showcased in a public display or through a physical maquette to facilitate the understanding and the collection of final comments.

Finally, the plenary session is concluded by explaining the next steps of the plan development and implementation and how the community could continue contributing in its implementation.

The public hearing may be an opportunity to engage with other stakeholders that have raised their interest to collaborate more actively in the next activities.

TOOL 6: DETAILED DESIGN

After collecting all the final inputs and

LAND USE PLAN

- MAIN ROADS
- LOCAL ACCESS
- PEDESTRIAN
- DRAINAGE SYSTEM
- REHOUSING BLOCKS
- INVESTEMENT AREA
- PUBLIC FACILITIES
- PRIVATE GREEN SPACE
- PUBLIC GREEN SPACE
- RECREATIONAL AREA

STEP

IMPLEMENTING

Objective:

to define the **enablers mechanisms to implement the project,** plan the construction phases and monitoring mechanisms.
To enable the community to become an active implementer.

TASKS

Financial & Investment Planning

Implementation Planning

Tenants' Protection Scheme Design

Community driven Projects

Monitoring & Evaluation mechanisms

RISK & MITIGATION MEASURES

Affordability might be challenging and impacting the most vulnerable

Mitigation measures: the government and city to play a pivotal role in defining the implementing mechanisms. Ensure the community and vulnerable groups keeping consulted

STAKEHOLDERS

Project Coordination Unit

City Management

Financial Technical Assistance

Community Working Group

OUTCOMES

Implementation Plan & Phasing

Financial Plan

Neighbourhood and Community Management mechanisms

BUDGET

$ 50,000 to 55,000

~ $13,000 / ha of neighbourhood area

TIMELINE

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24

TOOLS

☐ Financial Tools

☐ Community Managed Funds

☐ Tenants Consultation

☐ Capacity   Building

STEP 4

TASK 1
FINANCIAL AND INVESTMENT

☐ Financing strategies will enable to diversify the sources of finance by leveraging investments and mobilising further funds. For example, assessing domestic and international ´resource partnerships´ to scale up the implementation, Public finance, land value capture grants or loans, blended finance.

☐ Define the financing opportunities and constraints and establish the strategies to ensure the affordability of solutions and the financing of the interventions

☐ In this stage, a Financial Feasibility Study on Financing mechanisms will be prepared to assess the viability of different investment options, such as PPP, or SPV, or other implementation mechanisms.

☐ Community contribution should be assessed in the financing mechanisms. CBOs can serve as managers of unplanned settlements upgrading funds, for example. Four ways in which communities have done this in various parts of the world are through: Savings and loans schemes; Revolving funds; Guarantee funds; Community banking

TASK 2
IMPLEMENTATION

☐ From the spatial neighbourhood master plan, establish the project implementation phasing, the upgrading type and the phasing of the project components and interventions.

☐ Set the timeline and the resources (see Task 1) to start the construction works and define the governance of the implementation phase, including all the relevant actors: the City, the contractors, the investors, as well the community, which plays a critical role in the implementation of the projects

☐ It is important to identify potential pilot projects to test proposed interventions and include community-driven projects in the implementation frameworks

☐ Set a capacity building strategy to ensure all the implementing actors, including the community, are trained to contribute to the project realization. Gaps and needs assessment could be extended

to the Public Officers from the City to identify the sectors and skills which required a capacity building intervention, for example in designing and managing participatory projects, contracting community, community blocks management, etc.

☐ Capacity building to be included in the Financial Plan, as key component for the successful implementation of the project

☐ It is assumed that Tenants protection strategy should be addressed at national and policy level and it requires analysis and review of the existing framework. Different studies and assessments should be prepared to understand the context and propose improvments, for example affordable rental housing feasibility study, private sector investment PPPs to rental housing schemes, rental housing for the lowest income group and profitability and financial sustainability assessment.

☐ At the implementation level of the present guidelines, it is suggested to address the tenants issues under different perspectives and through different mechanisms, such as involving in the analysis and surveys to collect disaggregated data, include them in the participatory process and community organization structure, develop tailored tools to engage them during the process, such as focus group discussions, thematic workshops, collaborative consultations with the other key stakeholders like owners, neighborhood residents, service provides, and the city, and finally include rental schemes in the financial feasibility assessment and planning.

☐ Rental schemes are part of the larger financial planning at neighbourhood level. Here it refers to financial and technical feasibility to retain tenants given the specific site and within the existing context.

- [ ] According to the assessed affordability level of the tenants established in Step 2, design different solutions to maximise the tenants' protection and retain the renters in the redeveloped and upgraded neighbourhood

- [ ] Engage the tenants in different consultation meetings to evaluate the solutions and refine the approaches and along the process, through different tools.

**TASK 4
COMMUNITY DRIVEN
PROJECTS**

- [ ] The community can be an active implementer of the upgrading projects strategy. Under the guidance of the city and the community mobilization expert, and eventually the support of the technical team, the Community Working Group can be engaged in focused consultations to identify the needs of the communities in terms of livelihood and living conditions, and where can contribute in the maintenance of the neighbourhood's/blocks' shared structures and infrastructures.

- [ ] The consultation will identify the community driven projects that can improve the life in the neighbourhood and that can be managed by the community.

- [ ] The management and governance of the maintenance and infrastructure management should be agreed in close consultation with the City and the service providers.

- [ ] The communities can create projects to learn new skills and capacities, access to financed and seed funds for entrepreneurship to generate income, as well in simplified infrastructure construction and management.

☐ Establish monitoring and evaluation mechanisms to make the project accountable to the residents involved, the partners, stakeholders and donors

☐ To monitor the progress and make corrective actions, in case needed

☐ To support decision-making and foster the commitment of promoters &funders

☐ To draw lessons learnt to inform future actions and scale-up project

☐ The monitoring and evaluation planning and implementation should involve the Community Working Group.

TOOLKIT

TOOL 1: FINANCIAL TOOLS

ONLINE RESOURCE & REFERENCES:

E-Strategic Financial Framework

PSUP e-learning platform (Module 7 - Strategic Financing Framework)

PSUP e-learning platform (Module 14 - Private Sector Engagement)

Different tools to provide financial mechanisms scenarios to plan financial sustainability of the operation.

For example, excel simulator that provides different options: Government, private, PPP financing mechanism:

☐ IRR

☐ ROI

☐ Net Present Value (NPV)

TOOL 2: COMMUNITY MANAGED FUNDS

With the Community Managed Funds, seed funds are provided to community groups to develop projects and innovations to enhance their living conditions.

The CMF projects are community driven as they target the needs of communities in terms of livelihoods and living conditions.

The CMF enable community groups to identify, design, implement, and monitor priority interventions to enhance the living conditions in their neighbourhood while they improve their livelihoods.

Community Managed Funds enable communities to be actively engaged in the transformation of their neighbourhoods. The community managed funds are to empower communities and promote partnerships aligned to a common vision of citywide transformation in the short-, mid- and long-term.

ONLINE RESOURCE & REFERENCES:

Community Project (p. 138)

PSUP e-learning platform (Module

Furthermore, through the CMF, communities can implement neighbourhood development projects aimed at addressing the slum deprivations and other issues such as access to water, sanitation and electricity; waste collection; housing

improvement; the construction of community facilities, etc.

TOOL 3: TENANTS CONSULTATION

A focus group discussion or thematic workshop on Tenants Issue and rental solutions for the neighbourhood after upgrading, is a relevant tool to engage the tenants and the owners in a collaborative discussion to solve conflicts and find agreements.

There are many weak points in their relationship which needs to be addressed and discusses, such as the Rental Agreement, the conditions of the Agreement, the time framework and Contract-break notice period, the provision of furniture, the payment of shared utilities, and others.

It is recommended to include in the discussion the City and PCU team to ensure a common understanding and a

ONLINE RESOURCE & REFERENCES:

Rental Housing

Focus Group Discussion Toolkit

3 HOUSE CONDITIONS

VILLAGE: IZUBA

Head of Household:
Male, 47y
Education: Secondary level
Status: Married
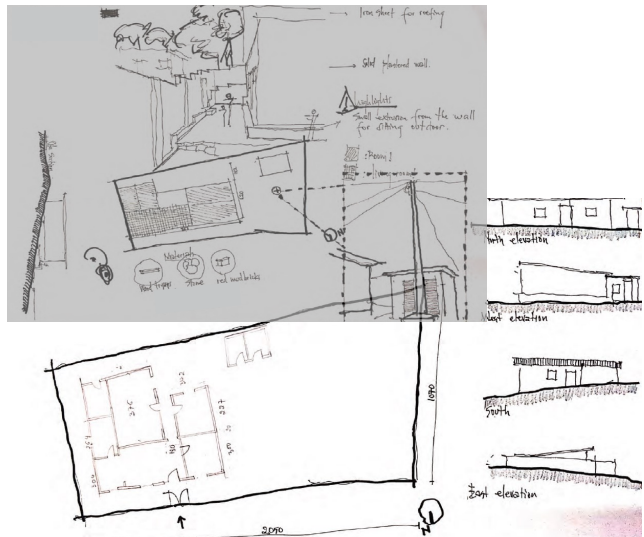**Job:** Vendor
Income average/month:
+200,000 RWF
Lives in this plot: >10y

N. Tenants per unit : 3 people

1 pit latrine - shared

commitment from the government on options and regulatory framework to protect the interest and needs of both tenants and owners.

TOOL 4: CAPACITY BUILDING STRATEGY

The design and implementation of participatory urban upgrading projects might require to develop new skills and capacities at different level.

Capacity development may consist of any the following:

• Increasing skills (e.g. through training and on the job technical assistance focused on specific aspects of programme design, planning, management and execution).

• Improving organizational processes (e.g through the application of new techniques, reorganization, management and technical assistance).

• Increasing resources (financial, physical, human, organizational and the ability to manage funds, multiple projects and financial reports).

• Adapting policy (to allow the new skills, processes and resources to be utilised effectively).

Though all involved actors need new skills they will not all need the same. Table below is an outline of what some of the likely stakeholders will need – what knowledge and which skills. It gives examples and does not cover

ONLINE RESOURCE & REFERENCES:

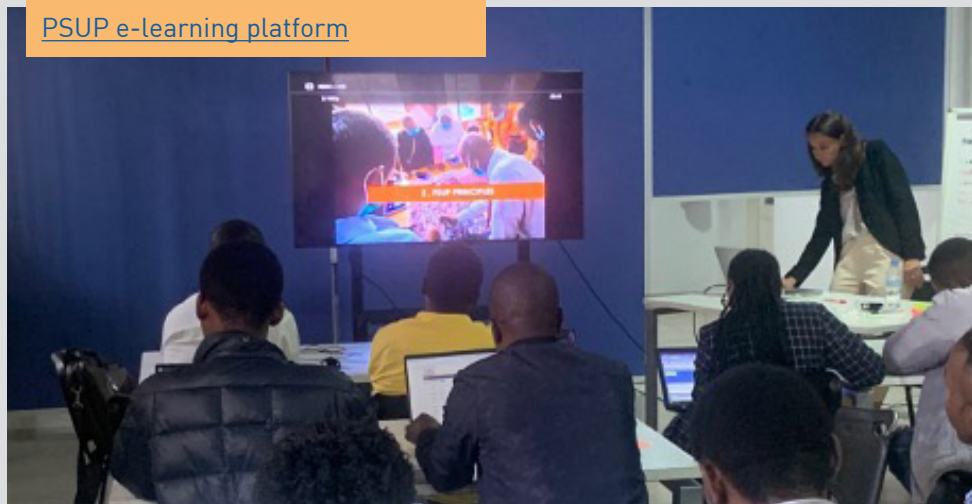Capacity Building Strategy (p. 90)

PSUP e-learning platform

TABLE 3.2: CAPACITY NEEDS OF CWSU STAKEHOLDERS AND HOW TO DEVELOP THEM

STAKEHOLDER	REQUIRED CAPACITIES (EXAMPLES)	HOW TO BE OBTAINED (EXAMPLES)
Central government ministries	Ability to facilitate housing and service improvement.	• Study tours to CWSU programmes in other cities (knowledge of facilitating policies). • Adapting policy.
Local government (the Mayor, senior officialsand departments)	How to promote and work with participatory processes.	• Study tours to CWSU programmes in other cities. • Training of staff and management in new governance and financial techniques. • Adapting policy and procedures.
Donor organizations	How to ensure participatory processes inform loan and grant agreements.	• Donor meetings and workshops. • Adapting policy.
Micro-finance institutions	Coordination with large, commercial banks.	• Training • Joint workshops with commercial banks. • Study tours. • Increasing human resources devoted to management of new, large funds from banks or donors.
Commercial banks	The design of financial services appropriate to the poor (e.g. for housing and micro-enterprises).	• Joint workshops with micro-finance institutions. • Study tours. • Adapting policy. • Increasing human and organisational resources devoted to low-income sector services.
Utility companies	Working with community based utility management.	• Study tours to other cities with CWSU programme. • Community engagement. • Adapting policy and systems.
Private service providers	How to coordinate with and utilise resources of community based organizations.	• Study tours to other cities with CWSU programme. • Adapting policy and systems.
Construction companies	Development of incremental housing design options.	• Training • Community engagement. • Adapting policy and systems.
Property developers and large landowners	Awareness of non-conventional land tenure and development options.	• Training • Conferences / seminars. • Adapting policy and operating systems.
Architects, engineers, planners	Appropriate and affordable housing design, building materials and planning standards. Street-led settlement design.	• Training • Community engagement. • Adapting professional role.
Small (slum) landowners	Awareness of changes in tenure and ownership and their implications.	• Communications strategy (e.g. community meetings with information sheets / flyers).
Traditional leaders	Assuming/sharing responsibilities with elected community and city councilors.	• Meetings with Councilors and elected community leaders. • Training (workshops).
NGOs (numerous)	How to advise and facilitate participatory processes with CBOs.	• Study tours to NGOs in other cities with CWSU experience. • Conferences, workshops and seminars. • Increasing human, physical and organizational resources.
CBOs (of various kinds)	• Management of service organizations (e.g. for solid waste, drinking water). • Participatory data collection/enumeration.	• Exchange visits with CBOs already experienced in CWSU. • Increasing human, physical, financial and organizational resources. • Training
Slum dwellers' federations and networks	Negotiating with programme planners on a citywide scale during design stage.	• Study tours to CWSU programmes in other cities.
Owner occupiers	Awareness of new financial obligations (e.g. payment of utility fees and property tax).	• Information meetings with NGOs/CBOs
Tenants	Awareness of new rights and responsibilities (e.g. tenure).	• Information meetings with NGOs/CBOs.

STEP

BLOCKS AND UNITS

Objective:

to **co-define unit's typology and block's level facilities**, evaluate and assign the new unit

TASKS

Phase 1 Residents engagement

⌄

Evaluation of existing properties

⌄

Block's facilities needs analysis

⌄

Dwelling Units co-design

⌄

Rehousing negotiation

⌄

Architectural and Engineering Detailed Design

RISK & MITIGATION MEASURES

Rehousing negotiation and evaluation of properties might cause delay and conflicts to address

Mitigation measures: participatory mechanisms to ensure individual consultation and community awareness/endorsement

STAKEHOLDERS

City Management

Project Coordination Unit

Consulting Technical Team

Community Working Group

OUTCOMES

Blocks & Units detailed design

Construction permit

Units' Distribution Table

BUDGET

$ 40,000 to 45,000

~ $11,000 / ha of neighbourhood area

TIMELINE

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24

TOOLS

☐ Enumeration & Mapping

☐ Units Co-Design Sessions

☐ Detailed Architectural Design And BoQ

☐ Unit's Assignment

STEP 5

**TASK 1
PHASE 1 RESIDENTS'**

☐ According to the implementation phasing established in Step 4, the residents of the Phase 1 identified plots are engaged in meetings and information sessions

☐ They receive enough information on the process, on her/his rights and on the opportunities offered and life-style changes brought by the new dwelling units

**TASK 2
EVALUATION OF
THE EXISTING**

☐ The property of each owner is officially valued and agreed between the City of Kigali and the owners

☐ Based on the official valuation, each owner will have the right to a specific amount of both outdoor and indoor space in the new building

☐ The new property spaces will be allocated considering other elements besides the mere value such as: rental income before the transformation, presence of commercial activities, requirement for larger spaced at ground floor, minimum standards linked to the household size.

☐ Final space assignment will depend on the estimated construction cost of each unit against official evaluation but will be combined with the criteria listed above and may not be a 1 to 1 value conversion.

- ☐ Consultation sessions are designed with residents and beneficiaries and other representatives of the community to receive inputs and requests from the residents on the key requirements on the common facilities and shared space use in each block

- ☐ The technical team will support this activity by suggesting suitable and financially viable technical solutions to accommodate the needs.

- ☐ The residents will be engaged in the design of the block's level facilities, like shared spaces for drying clothes, waste collection point, or outdoor kitchen and gardens, playgrounds.

TASK 3
BLOCK'S FACILITIES NEEDS ANALYSIS

- ☐ The owners are engaged individually by the technical team to collaboratively sketch the unit's design and options following a typology catalogue provided by technical team, based on the available sqm assigned in previous step.

- ☐ Analysis and needs assessment meetings are organized individually to note the specific requests. For example, the accessibility for disable people, adjustment of the internal unit' distribution, number of rooms, requirements of rental units, commercial spaces, etc.

- ☐ Thanks to the increase in density, surplus units will be available for rent or to accommodate tenants and owners from other parts of the neighbourhood

TASK 4
DWELLING UNITS CO-DESIGN

- ☐ Based on the outcome of Tasks 2 and 4 the technical team will elaborate a unit's allocation table that will combine the expected space to be allocated to each owner as per Task 2 with the desired design solutions emerged in Task 4.

- ☐ This tool will be the basis for combining the needs of each household with the available space and will allow the Technical team to start drafting a potential unit's assignment based on the available space in each block.

TASK 5
REHOUSING

STEP 5

TASK 6
ARCHITECTURAL
AND ENGINEERING

☐ At the end of the technical elaboration, the technical team will engage again with the owners to show the proposed solutions and agree, in principle on the suitability of the allocated space and units for each household's needs.

☐ At this stage, the technical team will draft all the architectural and engineering drawings requested to launch the bid for the construction works

☐ The technical drawings will be drafted in agreement with the One Stop Center requirements and will comprise of a layout plan, cross-sections, geotechnical analysis, structural drawings and MEP

☐ The final product of this task would be the complete documentation for the Construction Permit Application and the Tender Documents -including BoQ- for the procurement of the construction works.

XS

XS SHELL	58m²

Interior Dimensions: 3.50m x 8.34m
Room Height: 2.40m
Walling Material: Fully Facing Modern Bricks
Slab: Timber Floor / Maxpan between stacked units
Ground Floor Slab: Cement Screed
Roofing Material: Iron Sheet

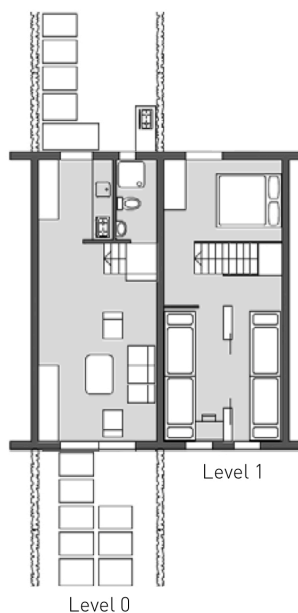| XS SIMPLE DUPLEX	58m²
Living Room/Dining Room	19
Master Bedroom	8
Additional Bedrooms (2x)	15
Kitchen	√
Bathroom (1x)	√
Storage	√
Garden	√

XS Simple Duplex

XS Studio

XS Double Split-level duplex

Level 1

Level 0

TOOLKIT

TOOL 1: ENUMERATION AND MAPPING

The enumeration entails in-situ counting and mapping of all structures, housing units, business units and identifying their occupants and/or owners, to determine who lives where, since when, etc. This can be done in a participatory and inclusive manner.

It identifies the physical location of structures, shacks, housing units in a map, as well the individuals and families impacted by the project's phase. It concerns the decisions on eligibility criteria and recognition of rights. It includes the collection of all documentation of residents and the building of a database of residents, owners, renters, occupants. It involves the community and the residents in this exercise.

ONLINE RESOURCE & REFERENCES:

Enumeration and survey
Enumeration (p. 103)

TOOL 2: UNITS CO-DESIGN SESSIONS

The owners can customize and compose their unit by selecting size and standards they can afford. The interior has a flexible composition that can be changed over the time.

The design options are discussed with the technical team to align with the neighbourhood plan and the design solutions at block's level.

ONLINE RESOURCE & REFERENCES:

SKAT MODERN BRICK
CONSTRUCTION SYSTEMS
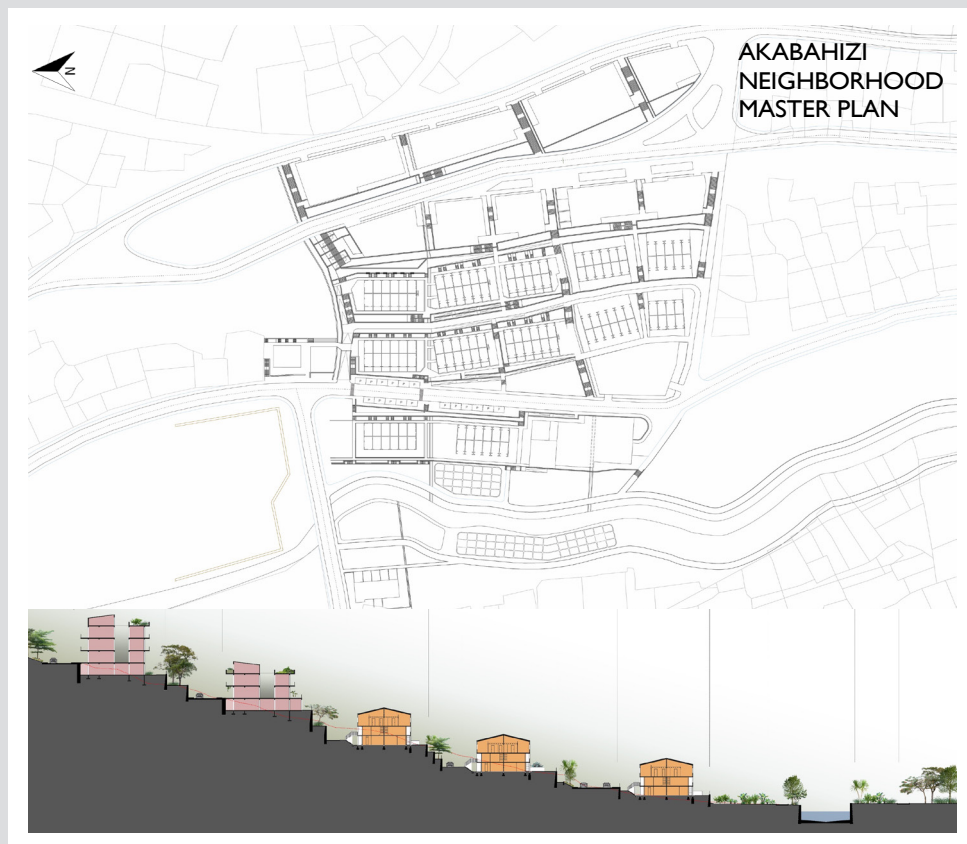CATALOGUE

Individual Consultation Toolkit

TOOL 3: DETAILED ARCHITECTURAL DESIGN AND BOQ

The Technical Team provides support to the co-design of the buildings,

customizing the architectural aspects of the development to future residents' needs. Sample drawings and Bill of Quantities are available to guide future

AKABAHIZI
NEIGHBORHOOD
MASTER PLAN

application of the design solutions adopted together with detailed design guidelines

TOOL 4: UNIT'S ASSIGNMENT CALCULATION TOOL

The translation of exiting property values into new stacked residential units requires a careful evaluation of several parameters. Starting from the

STEP

PROJECT EXECUTION

Objective:

to **kick-off project implementation** and start the construction works, engaging the community in the execution

TASKS

Launch the implementation

⌄

Works tendering and contracting

⌄

Temporary relocation

⌄

Construction activities

RISK & MITIGATION MEASURES

Temporary rehousing for all the impacted residents might be a challenge

Mitigation measures: ensure temporary rehousing in other redeveloped neighbourhood. Provide a renting allowance for the construction period

STAKEHOLDERS

City Management

Project Coordination Unit

Contractor

Community

OUTCOMES

Tender's Documents

Contractor's Contracts

BUDGET

$ 280 to 330 / sqm of GFA.

Includes supervision, site preparation, temporary rehousing, and construction

TIMELINE

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24

TOOLS

☐ Contractor Selection & Works

☐ Community

STEP 6

TASK 1
LAUNCH OF THE

☐ After preparing detailed design, cost estimates and implementation schedule for all project components, the construction works phase can be launched

☐ The kick-start of the construction phase can be celebrated with a public event, involving the entire community that can be updated on the progress and informed on the next planned activities and phases.

TASK 2
WORKS TENDERING

☐ Adapt general procedures for tendering, contracting and building to suit project level conditions and opportunities

☐ Preferential tendering for community contractors should be taken into consideration to reduce overall construction costs and promote the establishment of a well-skilled work force trained on low-cost, para-seismic, medium density typologies.

☐ Community contracting creates employment and establishes the basis for maintenance of upgraded services by the community at a later stage, while enhancing the ownership of the project

☐ Identify where the community could establish an enterprise for project maintenance (e.g. solid waste disposal, water supply, road repairs).

- ☐ The redevelopment scheme involves a temporary relocation of residents, who are rehoused in alternative units during the construction period and before receiving the new dwelling units.

- ☐ Temporary relocation should be conducted preferably nearby the original site

- ☐ With the progress of the construction works and the availability of surplus units, temporarily relocation can happen within the same development or prevented, since newly available units can already be assigned to the persons affected by the subsequent phases of developments.

- ☐ While temporarily relocation shall be ensured for the owners, appropriate measures should be put in place to also facilitate the retention of existing tenants

TASK 3
TEMPORARY

- ☐ Site clearing can be conducted with the help of residents, allowing the recovery of most of the construction material from existing units

- ☐ Residents can be engaged in the construction activities (see Task #2) after receiving on-the-job training and technical supervision during the works

- ☐ Contractor may be requested to involve students from TVET and technical schools for their industrial attachment period.

- ☐ Infrastructure provision may be incrementally developed based on community priorities and affordability. The dimensioning of the infrastructure shall also consider the appropriate balance between the minimum standards required and the need for affordability, promoting the construction of low-tech and low-cost technologies whenever possible.

- ☐ Natural Based Solutions shall be favoured in the design and construction of all rain and wastewater management infrastructure.

TASK 4
CONSTRUCTION

TOOLKIT

TOOL 1: CONTRACTOR SELECTION AND WORKS

Terms of Reference have been drafted during the project execution to support Local Government and in defining key requirements for the selection of consultancy firms and contractors. Sample ToR are available for guidance on-line resources for reference.

ONLINE RESOURCE & REFERENCES:

TOOL 2: COMMUNITY CONTRACTING

Identified pilot projects or community-driven projects in the Step 4, Implementation Planning, are launched for construction works in this phase. Community's members, in the form of a building construction cooperative or as individuals contracted by the Contractor, can participate in the implementation, as a mean to empower and strengthen the community and generating local incomes.
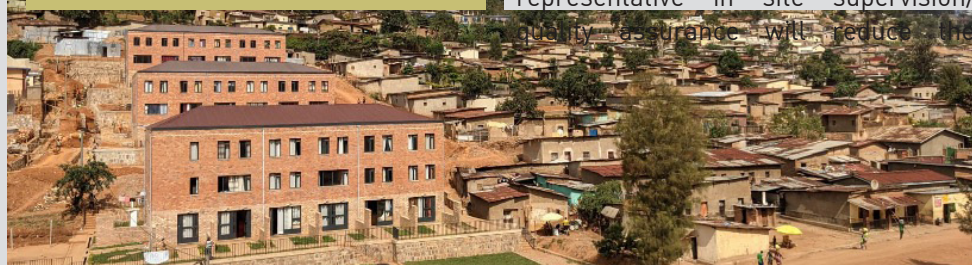
Besides, the selected community committee members, appropriately trained, can act with a supervisory role in the construction site and can lead to greater quality execution. The community committee members would provide direct site visit reports to the projects construction agent (the technical agent certifying payments to contractors). In the absence of a major technical consultant, the role of the community representative in site supervision/ quality assurance will reduce the

ONLINE RESOURCE & REFERENCES:

Casa Minha Maputo

PSUP Community-led Projects Case Studies

PSUP Ghana Case Study

STEP

PLAN FOR THE

Objective:

to **plan for the long-term sustainability of the project**, ensuring the formalization and institutionalization of the process and the outcomes

TASKS

Phase 1 Project Closure

Transfer of ownership and assets

Transfer of roles and responsibilities

Monitoring and Evaluation

Post-implementation Management

Phase 1 Assessment/Planning Phase 2

Capacity Building

RISK & MITIGATION MEASURES

Poor coordination among stakeholders, lack of financial resources, lack or bad maintenance

Mitigation measures: coordination, process and financial programming of the Project Coordination Unit together with relevant urban public and private actors & agencies is a key factor to the sustainable success and scaling up of the upgrading process. It implies community engagement and participation, in the O&M of the infrastructure and services, and

City Management

Project Coordination Unit

Contractor

OUTCOMES

Monitoring and Evaluation outcomes

Owners and Tenants Agreements

Sustainability and Management Plan

Institutionalization of the process

BUDGET

$ 43,000 to 47,000

~ $11,500 / ha of neighbourhood area

TOOLS

☐ Community O&M

☐ Monitoring and Evaluation

☐ Training

☐ Official Handover

TIMELINE

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 **23 24**

STEP 7

**TASK 1
PHASE 1 PROJECT**

☐ It marks the end of a phase in a multi-phase programme. It comprises two areas:

- Administrative (property titles have been properly archived and ready for transfer to future users, closing and auditing accounts and transferring assets) and

- Construction contract closure (settling and documenting all outstanding contracts). The review of the completed works should be conducted by the Local Authority in partnership with the Works supervisor, a snag list prepared and the contract closed once all snags have been fixed.

☐ It can be sealed by a public event at neighbourhood level, to mark the programme's phase closure and to publicise it for the last time

**TASK 2
TRANSFER OF
OWNERSHIP AND**

☐ It implies the official handover of the ownership and assets to the beneficiaries by the transfer of property titles of the units assigned to the previous owners

☐ It may entail the signature of the Owners and Tenants Agreement Document with the City Responsible Authorities

☐ Each block would be allocated to:

- Units dedicated to the rehousing of previous owners

- Owners' additional units (as results of the units' allocation process described before) that are dedicated to rental or to host economic activities

- Surplus Units at the disposal of the Municipality that can decide whether assign them to residents coming from subsequent phases of development or to low-income renters

- [ ] Different organizations and actors need to take over activities to guarantee their sustainability and maintenance, including infrastructure and services
- [ ] Agreements need to be drafted to define who will assume these responsibilities in future
- [ ] Consultations and meetings need to be held to define the above and inform the Sustainability and Management Plan (see Task #5)

- [ ] Implement the monitoring and evaluation activities set in the Step 4, collect the data, and provide corrective measures, where needed
- [ ] Involve the Community Working Group in the monitoring and evaluation process
- [ ] The Monitoring and Evaluation consists of a continuous exercise to assess the performance of the plan goals, strategies and projects. In this activity, the technical team will develop a matrix to monitor, evaluate and report continuously on the phases of the plan and the projects' development, implementation and impact.
- [ ] The matrix will define components to be evaluated and after which periods of time (for example: right after occupation/settling in, 1 year after occupation, 2 years after occupation). Items to be evaluated, for example, end users' occupancy assessment and actual use of new spaces, housing and public spaces, identify problems and gaps; document the lessons learned to adjust the future projects, etc.

- [ ] Prepare Sustainability and Management Plan, including Financing Plan
- [ ] Handbook for project rules and regulations and establish Residents' Supervisory Committee
- [ ] Establish Community Maintenance Enterprises
- [ ] Communication Strategy to disseminate roles and responsibility
- [ ] MoU between City/sectoral agencies and other identified

TASK 3
TRANSFER OF
ROLES AND

TASK 4
MONITORING AND

TASK 5
POST
IMPLEMENTATION

TASK 6
PHASE 1
ASSESSMENT/

actors responsible for management and maintenance

☐ With the outcomes of the monitoring and evaluation process, review the Phase 1 results

☐ From the lessons learnt and the identified gaps and failure, start planning and programming the Phase 2 (see Step 1). The Lessons Learnt documentation can be public and shared among the main stakeholders and beneficiaries

☐ Communities who take in charge of some infrastructure and services management and maintenance, needs appropriate training. As well, if involved in the construction works.

☐ A Community's Management Committee, drawn on the Community Working Group established in Step 2, to be established and trained in the maintenance of block's level facilities/shared infrastructure, in basic management, conflict-resolution, etc.

☐ Include the training for the City's officials, in upgrading project management, participatory planning, community contracting, among others.

TOOLKIT

TOOL 1: COMMUNITY OPERATION AND MAINTENANCE

Many projects have shown successful implementation and long-term sustainability involving the community in the Operation and Maintenance (O&M) of the basic infrastructure or block level facilities.

Operations deal with the actual daily running of a system or service and include the work and the operating costs. Maintenance deals with the activities necessary to keep the system or infrastructure in optimum working and serviceable condition and to prevent delays, repairs, and/or downtime.

Planning Community involvement in O&M needs consultative sessions and agreement with the City and the responsible agencies in charge of O&M. Split of roles and responsibilities need to be clearly agreed and defined, security issues and supply of materials, tools and equipment addressed.

Target training and supervision to the Community's Members, cooperative, or Community' Maintenance Committee provided.

ONLINE RESOURCE & REFERENCES:

Community Operations and Maintenance

Haiti Operation and Maintenance

TOOL 2: MONITORING AND EVALUATION

The four reasons for carrying out monitoring and evaluation are: Accountability, Management, Decision making, Learning.

The M&E system will be designed according to the answers to the following questions: who does it? what data should be collected? what data collection methods and sources are appropriate?

Reporting schedule, methods to data

ONLINE RESOURCE & REFERENCES:

Monitoring and Evaluation (p. 119)

Feedback survey

collection, and involvement of the community's residents are defined in the Step 4 and now enrolled on a regular base.

TOOL 3: OFFICIAL HANDOVER EVENT

The project-phase closure event can be organized as a Neighbourhood Community Fest. The Local Leaders, together with the Community, and the City representatives invite also donors and other higher-level government institutions and media.

ONLINE RESOURCE & REFERENCES:

Community Information Toolkit

Official handover speeches and remarks, open street performance, concerts, food festival and dancing performance or other initiatives are encouraged to show the level of engagement and satisfaction of all actors at this important closure stage.

TOOL 4: TRAINING

Different training and ad-hoc skills development can be provided to different stakeholders to support the implementation and the sustainability of the project.

ONLINE RESOURCE & REFERENCES:

PSUP e-learning platform

Training Toolkit

04

LESSONS LEARNT[2]

The relevance of the Mpazi process does not lie solely in the completion of the first stage of development with a generally good satisfaction by the residents. One of the most valuable results emerged from the process is the awareness generated in the City of Kigali and in other government actors about the challenges, but also the opportunities of implementing a similar process at scale.

☐ Community engagement and the inclusivity aspects played a key role in the positive reception and generally good acceptance of the process among the target communities. An early, honest, and continued engagement at different levels, clearly supported the process in achieving its results, generating consensus among the affected persons, and the aspiration to be part of next phases in the neighbouring communities.

RECOMMENDATIONS: It is important when undertaking a participatory planning process to seek out **people from all different parts of the community.** All residents, men, women, children, the elderly, the disabled, etc. have valid inputs to make into the process. They also each may have varying degrees of opportunity to voice their opinions, if they are not sought out and made a priority. Organisers should ensure that the complete population is engaged during the participatory process.

Establish a **consultative process** with target

[2] Recommendations are elaborated and based on the Quick Guide from "A Practical Guide to Designing, Planning, and Executing Citywide Slum Upgrading Programmes", UN-Habitat.

populations via CBOs and representatives prior to defining the scope of the programme. This will help to prioritize programme components and turn the programme into a **demand-driven initiative** with a greater degree of support from slum residents.

☐ The process proposed different tools and the use of different channels to ensure a clear and regular communication of the process's activities and outcomes, in tight collaboration with the City of Kigali and the local authorities.

RECOMMENDATIONS: Clear and regular communication on the programme objectives, expected results, and activities will increase the trust between the city and the citizens, build consensus and sense of ownership. If the intentions and scope are made public before the programme starts, the manipulation and opportunistic behaviors are mitigated at the start.

Communication of the programme design, and its status can take many forms. Be creative and utilize modern approaches to getting your message across to your target audiences. Videos, short films, websites, blogs, and cell phone text messages can all supplement traditional forms of communication such as posters, flyers, town hall meetings and city consultation workshops.

☐ Stronger consideration should be given to the most fragile and exposed members of the communities, the tenants. A parallel exercise is currently ongoing to study and possibly test, implementation and financial models to maximise the inclusion and the protection of the tenants in the process.

RECOMMENDATIONS: Tenants' issues and needs should be put at the centre of upgrading and urban transformation processes, fully addressed with ad-hoc design solutions, enhanced policies, and more refined financial mechanisms, to avoid gentrification pressures.

☐ Financial aspects play a pivotal role in ensuring the long-term sustainability and the scalability of the intervention. The City of Kigali has started demonstrating the technical and social feasibility of the project by directly financing the intervention. The extension of current project and the implementation of the model in new areas will require more refined and comprehensive financial mechanisms to ensure the socially-conscious engagement of the private sector in the transformation. This may be achieved through the establishment of PPP, specifically designed to capitalise on the added values generated by the development.

RECOMMENDATIONS: Do not start the programme if finance is not secured. The worst thing that can happen to an urban transformation programme is the raising of false expectations amongst residents and participating parties. The project will roll back to the drawing table and people will become frustrated with a lack of progress.

There are more businesses and private sector actors willing to participate in upgrading at project levels than may be realized. Approach high profile companies and the Chambers of Commerce or Construction. You will find that some of them are willing to support and be involved in the upgrading processes but do not know how and it may be worth to show them.

☐ The process involved multi-level and multiple stakeholders in a coordinated manner, engaging different actors in the local and national institutions, in the private sector, as well with the support of the international organizations. The participation of multiple-partners and actors is essential for the success of an upgrading project and to scale up the intervention at a city-wide level programme.

RECOMMENDATIONS: the urban transformation processes must adopt an integrated approach, applying a **multi-governance framework** and

coordination mechanisms. Upscaling of the initiative requires the participation of different actors from the community, city, national and up to the global level. Avoid falling into the trap of the government as sole provider because it has seldom worked. **Seek partnerships** with other actors and do not underestimate the potential of slum dwellers, even if they are poor.

☐ The process encouraged the institutionalization of the process, providing the City of Kigali with new mechanisms and tools to enable the integration of the process in the urban planning procedures and framework. The drafting of the Guidelines is a concrete step towards a coherent and shared approach.

RECOMMENDATIONS: Pay attention to **institutional and organizational management.** Work with existing institutions and organizational frameworks and tune them to be more efficient and well staffed. Otherwise, it may create overlapping and unnecessary competition and institutional uncertainty.

The coordination of the programme and **the executive responsibility are best assigned by the Mayor or the highest authority of the city**. It is important to have this clear right from the start. Do not start the programme if roles and responsibilities are not defined by an executive memo, decree or alike.

☐ Co-design of the architectural features and communal areas, combined with local needs assessment, provided a deep understanding of communities' requirements in terms of living quality, access to services and social interaction. Strong technical and design skills, complemented by a meaningful engagement process at both the neighbourhood and building level, were essential requirement for the community and the individual to own the process and the new neighbourhood and building's layout.

RECOMMENDATIONS: Before making any intervention a comprehensive settlement design (area-based plan) must be made and agreed. This primarily involves the delineation of **what is public and what is private space** and defines the urban configuration and street network. Phased works can then be implemented following this plan. Do not invest in basic infrastructure provision and the laying of pipes and networks without a settlement plan. Otherwise, you may risk wasting resources when the plan is defined and planners realized that water pipes are laid where new houses need to be constructed.

☐ The neighbourhood plan layout and building's design followed the City master plan regulations and rules, aligned with the urban standards and laws. The final layout plan will be embedded in the master plan implementation framework and approved by the City as Local Development plan.

RECOMMENDATIONS: While respecting minimum safety and service standards in the design and in the construction, it's also important to factor in a **degree of flexibility in the dimensioning of road and other infrastructure**. Over-sized roads or relatively high-quality infrastructure may greatly affect the financial feasibility of the intervention, if not largely subsidised by Government Budget or development partners.

Check what the local spatial plans and master plans provide for upgrading projects. They probably include something and will have gone through a planning process. This will tell us what local priorities are and will save a lot of time.

☐ Despite the importance of providing relevant, customised implementation guidelines, it is extremely important to acknowledge the peculiarity of each site, considering the social, economic, and physical conditions that need to be carefully analysed before the site is formally selected. This

would be critical to ensure the actual feasibility and implementability of the model on the specific area

RECOMMENDATIONS: urban upgrading is about i**ntegrating informal settlements into the urban fabric of the city**, giving them a path to become formal neighbourhoods in the future. Do not look at them as an isolated sole element of a problem but look at their potential connections with nearby neighbourhoods, infrastructure and economic activity that will benefit not only the inhabitants of unplanned settlements but the city as a whole.

☐ Implementation and monitoring: the community was involved in the data collection, the design phase and in the feedback and satisfaction surveys. It has contributed to understanding the use and mechanisms for maintenance and management of the common facilities. Further activities should be planned to integrate their support in the implementation process, with community-driven projects, and involvement in the maintenance and management of common spaces and infrastructure.

RECOMMENDATIONS: Getting the community involved in maintenance activities is a win-win. In addition to the project benefits being maintained there are income and employment opportunities. Identify where the community could establish an enterprise for project maintenance (e.g. solid waste disposal, water supply, road repairs).

Communities want to know that upgrading is really having the desired effect. Community members have easier access to information and to frank answers than the project staff does. Take advantage of this and ask them to measure the project's effectiveness. Train them to do this if necessary. This will have a great impact on community ownership and probably produce better data.

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☐ Cities Alliance

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☐ The Community Planning

http://www.communityplanning.net/index.php

☐ UN-Habitat - Her City Programe

https://hercity.unhabitat.org/

☐ UN-Habitat - Participatory Slum Upgrading Programe – PSUP, https://www.mypsup.org/

☐ PSUP e-learning platform

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