IN CONVERSATION
Dr.-Ing. Indradip Mitra
Senior Technical Advisor, Green Energy Corridors Project & Team Lead, SolMap Project, Indo-German Energy Programme

SPECIAL HIGHLIGHTS
Using Recycled Plastic in 3-D Printing
Sharada Balasubramanian

Tippy Tap: Turn on the Tap to Good Health
Paromita Pain

Sustainable Slum Improvement Models
Ban Mankong in Thailand and PRODEL in Nicaragua
FROM POWERING TO EMPOWERING

Lighting up the dreams of our North East

At ONGC, big ideas mean big impact. The first Unit (363.3 MW) of ONGC’s mega power project in Tripura lights up India’s North-East and is one of the world’s largest Clean Development Mechanism projects registered with United Nations. ONGC has also supported a number of Self Help groups making cane products in the state thus empowering women to earn livelihood to support her family.
One of the most important effects of economic developments has been the rapid urbanization of population. The global urban population has quadrupled since 1950. All over, the world urban population is growing at a faster rate than total population. The 2011 India Census reveals that the urban population stood at 377 million and is likely to reach 600 million by 2030.

One of the inevitable consequences of such rapid urbanization has been the massive migration to cities because of displacement of labour force from the rural economy. However, in the absence of appropriate policy and anticipatory planning, cities are becoming homes to scores of urban poor seeking shelter in slums and squatter colonies. Slums are usually cluster of hutments with dilapidated structures and very little infrastructure. The facilities relating to water, cooking, sewage, and electricity are utterly inadequate in large parts of these slum areas. A number of schemes have been taken up for improvement of conditions in slums, but their success has almost always fallen short of expectations. The Millennium Development Goals have set up the target of improving significantly, the lives of at least 100 million slum dwellers by 2020. A number of schemes have been taken up by the Government of India, but the task is very challenging and coherent set of efforts will be necessary to successfully tackle this problem.

Sustainable social and economic development requires comprehensive coverage of the entire populace in respect of basic amenities like water, electricity, latrines, and the like. The challenges of improving literacy rate among the slum dwellers and raising their educational levels will also be an important task in our approach for inclusive development. We have to build up complete databases and think about a multi-programmed strategy for this apparently intractable problem. Our sustainability goals will remain unfulfilled unless we attach special importance to this problem.

We have as the Cover Story, “Sustainable Slum Improvement Models: Ban Mankong in Thailand and PRODEL in Nicaragua.” The article talks about the unique characteristics, community impact, and sustainability attributes of two globally acknowledged good practices: the Ban Mankong Programme in Thailand and PRODEL in Nicaragua, followed by a discussion on the lessons learnt for the design of future strategies for slum improvement in India. The articles bring out case-studies on new and successful approaches characterized by bottom up and community-centric planning and implementation, incremental norms and standards, and building up of social and human capital resulting in improvement of quality of life and livelihoods of urban poor, living in slums and squatters. These examples are important and we have to examine various approaches followed in different parts of the world to improve our strategies and practices.

Prabir Sengupta,
Director, Knowledge Management, TERI
The pollution level is worse than that of Beijing, the global poster-child for pollution. Also, a recent Yale University study shows that Delhi’s pollution level is worse than that of Beijing, the global poster-child for pollution. One of the reasons can be attributed to the rapid increase in vehicular traffic.

Owning more than one car has become a status symbol for the capital’s elite. Rising number of cars in the city leads to other problems, such as noise pollution, reduced parking space, traffic congestion, accidents and reduced space for cyclists and pedestrians. Air pollution is also linked to respiratory ailments such as asthma and bronchitis. Both the civil society and government must get their act together to control Delhi’s hazardous level of air pollution.

**Mahesh Kapasi**  
New Delhi

The article titled “Turtle Conservation” was an interesting read. It is good to know that NGOs like SNM are focussing on in-situ conservation by patrolling nesting beaches and protecting individual turtle nests during breeding season. I would like to congratulate the TerraGreen team for covering a wide range of topics from agriculture to wildlife conservation, E-waste management, etc. Hope to read more of such articles in the future.

**Vijay Bhardwaj**  
Mumbai

The February issue of TerraGreen had highlighted the work of TERI done in Africa. The article “The Awakening: Inspiring and illuminating” made for a very interesting read. TERI’s efforts in creating benefits for communities in terms of their livelihoods, daily subsistence needs for an improved quality of life and enabling a transition of communities towards a brighter future in Africa is laudable. My best wishes to TERI for continuing such terrific work.

**Sunil Awasthi**  
New Delhi
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Sustainable Slum Improvement Models

Ban Mankong in Thailand and PRODEL in Nicaragua
Dr Souvanic Roy and Dr Manas Kumar Sanyal write about the unique characteristics, community impact, and sustainability attributes of two globally acknowledged good practices in the Ban Mankong Programme in Thailand and PRODEL in Nicaragua. This is followed by a discussion on the lessons learnt for the design of future strategies for slum improvement in India.
Half of the world’s population lives in urban areas and the rate of urbanization is spectacular in developing countries. In next 30 years, cities in the developing world will triple their urban built-up area generating the same amount of urban area as the entire world had generated cumulatively by the year 2000. Proliferation of slums and squatter settlements is an inevitable consequence of urbanization and stems from the failure of the state and market to ensure affordable housing and services for the urban poor. The report “State of the World’s Cities 2010/2011: Bridging the Urban Divide” by UN Habitat, observed that although 220 million people in the world have moved out of the slum conditions due to the efforts of slum upgradation, the absolute number of slum inhabitants actually increased from 776.7 million to 827.6 million between 2000 to 2010. The UN is presently working on Sustainable Development Goals (SDGs) for the period of 2016–30 that has a goal of making cities and human settlements inclusive, safe, resilient, and sustainable. One of the specific targets to achieve this goal is to ensure access to adequate, safe, and affordable housing, basic services for all and upgradation of the slums. During the last few decades, governments in developing countries experimented with strategies ranging from benign neglect, forced eviction and resettlement, in-situ upgradation to enabling strategies of security of tenure. Slums are a development paradox. Evidences suggest that on the one hand, communities live in deplorable conditions lacking in basic amenities, overcrowded shelter occupancy, hazardous location, insecure tenure, and economic and social deprivation and on the other, they manifest extraordinary resilience, ingenuity, and enormous capacity for organizing themselves to confront challenges towards survival. Ambitious interventions to improve the plight of slum dwellers remain unsuccessful in many countries due to ill-conceived policies, ‘brick and mortar’ or ‘public works’-oriented development models, unrealistic regulatory framework and non-participatory planning and implementation process. On the contrary, approaches characterized by bottom-up and community-centric planning and implementation, incremental norms and standards, and building up of
social and human capital resulted in improvement of quality of life and livelihoods of urban poor, living in slums, and squatters.

**Ban Mankong (Secure Housing) Programme in Thailand**

It is a comprehensive national slum and squatter upgrading programme launched by the Thai government in the year 2003 through Community Organizations Development Institute (CODI). In 2003, there were about 5,500 urban poor communities in Thailand, with 8.25 million inhabitants living in poor quality and insecure housing in 300 cities. Around 30 per cent of the population lived in squatters and 70 per cent on rented land who could not afford conventional housing delivered by state agencies or market. Around 450 communities were confronted with threats of eviction for increasing land prices and development works. Ban Mankong focuses on the provision of infrastructure subsidies and housing loans to urban poor to support in-situ upgrading or a range of options such as land sharing, land readjustment, or resettlement depending on specific context. Support has been provided to community organizations constituted by low income communities for the project and also to their networks to facilitate them to work with municipal authorities, other local actors, and national agencies. CODI supports thousands of community-driven initiatives, planned and managed by the networks of urban poor in collaboration with local actors. The legal status of CODI as an independent public organization endows it with greater autonomy for seeking higher budgetary provision from national government, flexibility, linkage, and exploration of new possibilities for supporting community networks. The programme is demand-driven by communities and customized to their needs and priorities. Communities can decide how to use infrastructure subsidy. Secured tenure has been negotiated locally through a range of options namely cooperative land purchase, long-term lease contracts, land swaps, or user rights with emphasis on communal tenure.

Community-based savings and credit groups have been established who can access housing loans at low rate of interest (6 per cent) from CODI or banks through community networks. Several upgradation projects have created economic spaces for the poor (e.g., new markets) and social facilities such as primary schools, health centres, community halls, libraries, etc., to strengthen human and social capital of the communities. Construction of new houses have been undertaken by hiring manpower (unskilled labourers and skilled masons, carpenters, plumbers, and electricians) from local communities, thereby giving employment opportunities through upgrading projects. By 2008, this project in Bangkok resulted in the development of 52 teams of community builders composed of 2,000 people who were engaged in 38 upgrading projects and constructed 5,600 units. The mechanism eliminated the dominant role of contractors in the building process and reduced building cost to the extent of 25 per cent and related financial hardship confronted by the low-income communities.

**PRODEL in Nicaragua**

Nicaragua was in transition since 1990 following the defeat of Sandinista Government in the general elections and the termination of a decade-long war instigated by the US-backed contra groups. The period has been characterized by great turmoil connected to reforms introduced to dismantle the centralized state structure, transformation to market economy, decentralization of public administration, including the municipalities and structural adjustment measures having negative impact on urban and rural poor. Several towns experienced problems due to rapid population growth, connected to internal displacement due to war and later on, by the return of refugees. Unemployment increased and wages froze, leading to lack of access to basic services. PRODEL (Programme de Desarrollo Local) was introduced in the year 1994 by the Swedish International Development Cooperation Agency (SIDA) in five small and medium towns linking three facets of socio-economic progress (financial support for micro-enterprises, housing improvement through small loans, and basic community infrastructure) with improvement in quality and democratic character of local governance.

Recent studies indicate that the programme contributed substantially to reduction of poverty, increased access to infrastructure, facilitated the incremental process of home improvement, and elevated municipal administrations to higher level of efficiency and inclusive governance. The community infrastructure includes potable water, sewers and stormwater drains, pedestrian and vehicular streets including small bridges, electrification, schools and playgrounds and retention walls for disaster mitigation. The programme has been remarkably successful in totally transforming the slums and poor neighbourhoods of Octal and Somoto by integrating
them with the mainstream of municipal planning and services. Infrastructure improvement has resulted in tangible improvement in living conditions and livelihoods in terms of better and cheaper access to transport, convenience of children to attend school, better indoor conditions, less work-load for womenfolk. PRODEL has been able to demonstrate positive impact on the local economy, generating considerable number of jobs directly through activities of infrastructure development, home improvement and micro-enterprises, and also through multiplier effects triggered by them. Till 2008, more than 15,000 full year jobs had been created in eight towns. The economic upliftment of communities and value appreciation in housing have been reflected in the rise in realization of property tax and tax on enterprises. The municipalities in return were stepping up community infrastructure works in previously abandoned neighbourhoods, to reassure the people of effective utilization of tax payer’s money. The mutually reciprocating attitude, leading to an increase in payments of fees for water and waste management, created a sense of citizenship among slum communities with awareness about their rights and obligations to the city.

The participatory community infrastructure works (PCIW) have made significant progress subsequently in the towns of ‘Spanish Nicaragua’ (western and central part of the country) and also in the towns on Atlantic Coast (Caribbean part). The financial mechanism of PCIW is characterized by financial contribution of 50 per cent from the programme, 40 per cent from the municipality and 10 per cent (in the form of labour, material, or cash) from the communities. Only the elderly and sick people have been exempted or their share is contributed by the community as a whole. Adults who are not present (due to other occupation) have to send a substitute or pay equivalent cash amount. A participatory and constructive relationship has developed between the municipality and poor communities as the projects have been planned and executed jointly. Inequality in power relations has reduced, as the infrastructure works have been selected through effective community consultation and cannot be appropriated by the local elites.

**Sustainability Issues**

**Ban Mankong**

Contrary to the conventional model of delivery of standard housing units or infrastructure improvement, Ban Mankong places slum communities at the centre of the development process for achieving a comprehensive solution to the problems of land and housing in the cities. The bottom-up process adopted in identification of pilot projects by the network of slum communities in Thai cities ensures transparency in their selection and provides a platform for collective understanding of failures and replication of success stories. Empowerment of slum communities takes place through a shared understanding of the differences of communities in terms of land ownership, legal
status, availability of infrastructure and housing, environmental conditions, and degrees of vulnerability.

Networking between peer groups with similar characteristics, common difficulties, and identical fates in a city establishes a pressure group replacing the typical patron-client relationship of dependent communities with the state and market.

CODI, being a government organization and primarily assigned with the mandate of fund allocation, felt a need to institutionalize the informal network of slum communities. So NULICO (National Union of Low-Income Community Organizations) was constituted to solve the problems of community organizations of the poor and pursue policy changes by the state.

To facilitate upgrading of communities in a limited space, regulations for minimum road width was softened in some cases. The building regulations have been adapted to the incremental process of shelter construction by low-income communities using intermediate materials such as tin sheet and boards, old timber, and other recycled materials from old buildings. This has helped the urban poor to limit the loan amount and monthly repayment for housing units.

PRODEL

During the period of 1994 to 2008, mobilization of an investment of USD 112 million, out of which USD 97 (SIDA contribution of only USD 25) contributed by the municipalities and communities, ensured financial sustainability of the programme.

Higher social control facilitates better design adjusted to local situations, improved quality of materials, and supervision contributed to reduced cost of the projects.

Community participation has been meaningful due to the complete cycle of participation involving inception, planning, prioritization, and implementation of the works. Inclusion and legitimacy of participation is ensured by the formation of representative General Assembly in the community, election of community members for different activities, transparent criteria for project selection, and tripartite agreement between the community, municipality, and the programme. To ensure representation, a maximum of 150 families are prescribed for one General Assembly while 60 per cent of all heads of families must be present in the meeting to consider the decisions taken as legitimate. The process of social auditing at different stages of completion of the project facilitates an enduring alliance between all the stakeholders.

Community Project Administration Committee (CPAC) was constituted to coordinate the execution of the project, administer the stock of materials, equipment, and labour contributed by the community and municipality. CPAC also supervises the quality of the materials and works performed by contractors.

Within the framework of key principles, flexibility has been allowed to certain procedures based on the cultural and geographical contexts. On the Caribbean Coast, local contribution did not consider collection of cash or opening of a bank account by the community which was the rule in the urbanized western part of Nicaragua.

Lessons from Case Studies

Ban Mankong

Ban Mankong has a ‘whole city–whole slum’ approach with inbuilt flexibility to decide on the technical options of in-situ improvement, plot reconstitution, land sharing or relocation (with minimum economic and social costs to households) based on community feedback in the context of challenges posed by specific circumstances of low-income communities.

It transcends the border of physical upgrading to include deeper aspects of changing social relationships within the communities and power relations between communities and local authorities by providing the urban poor, a space for negotiation and freedom of choice about their shelter, tenure option, and habitat. Engagement of communities with savings and credit activities educates them to manage finance (individual savings and external finance) collectively and ensure that they are the key actors in development. There is a change in perception about slums in Thai society and Government with elimination
of the legal-illegal dichotomy and stigmatization of slums and their acceptance as an integral part of the city. The programme fosters collaboration among communities, urban local bodies, public and private landowners, architects, planners, university academics, and NGOs to scale up the activities to achieve the target of ‘cities without slums’ within a limited time frame in Thailand.

**PRODEL**

The approach adopted by PRODEL especially through the PCIW sets an example of tangible socio-economic progress for urban poor linked directly to an improvement in quality and initiation of the democratic nature of local governance. Augmentation of physical infrastructure through a well-defined participatory procedure can act as a crucial entry-point activity towards poverty reduction and good governance. Construction of legitimacy of urban local bodies, through participatory decision-making and transparency in prioritization of projects, leads to construction of citizenship among low income communities, thereby fostering investment (economic and social) to ensure sustainability of the programme.

Municipal bodies have been reinforced with techno-social skills to negotiate with low income communities, prioritization of projects through multi-criteria matrix, and design and supervision of infrastructure works.

**Concluding Remarks**

The two case studies offer significant lessons for slum improvement initiatives presently being practiced in India. The improvement model under Jawaharlal Nehru Urban Renewal Mission (JnNURM) and Rajiv Awas Yojana (RAY) emphasize on ‘whole city–whole slum’ approach through community participation and convergence with the schemes for socio-economic development and improvement in local governance. However, ‘public works’-oriented target achievement, construction of standard permanent shelters for a small section of slum dwellers, and freehold individual home ownership are the core elements of the predominant strategy. Majority of the projects are designed by external consultants without any meaningful interaction with local communities. In this context, community demand-driven and city level upgradation programme with options such as in-situ upgradation, land sharing, land readjustment, selective resettlement, long term lease contracts, or user rights with emphasis on communal tenure in Ban Mankong may provide useful inputs for exploring alternative options in India. Similarly, the PRODEL model that integrates socio-economic progress of urban poor with democratic local governance and the procedures adopted for effective community participation may provide the clue for reorienting existing approaches towards inclusive and sustainable strategies for slum improvement.

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Dr Souvanic Roy, Professor & Former Head of the Department of Architecture, Town and Regional Planning in Indian Institute of Engineering Science and Technology (IIEST), Shibpur. He is engaged in teaching, research, consultancy and policy advocacy in the areas of housing and community planning, urban poverty, inclusive urbanism, and alternative technology in housing and architecture.

Dr Manas Kumar Sanyal, Professor & Head of the Department of Human Resource Management in Indian Institute of Engineering Science and Technology (IIEST), Shibpur. He is engaged in teaching, research, and consultancy in the areas of urban infrastructure management and environmental planning.
The 2015 edition of *A Planet for Life* reaches bookshelves in a landmark year for sustainable development issues. A new development cooperation framework is being crafted while sustainable development goals (SDGs) are being laid out to address the 21st century’s most urgent sustainable development issues.

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TerraGreen promotes the concept of sustainable development. Launched in June 2004, this magazine from TERI is an effort to bring forth information and knowledge in the fields of energy, environment, and sustainable development. The magazine is in keeping with our mission to expand the base of environmentally conscious readers and popularize sustainability issues at the local level. TerraGreen aims to provide the readers with the necessary inputs to enable them to be a part of the process of change. The magazine stays away from all jargon, so that the educated, informed, yet lay readers are updated on all that happens around them everyday.

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