



## Reporting on slums in selected cities

*The terms of reference and notes on the methodology are followed by a checklist to assist in establishing the extent to which information and data is available in a city. In proposing a new city study, this checklist should be completed (the sections and numbers [left hand column] refer to the sections in the terms of reference). This should be sent to:*

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## Reporting on slums in selected cities

### TERMS OF REFERENCE

#### I. INTRODUCTION: THE CITY

##### A. What is the urban context?

1. National overview (countrywide information and data for later comparison with selected city and selected slums).
2. The history of the selected city, including its original purpose; diagrammatic map showing growth over past 100 years.
3. The physical city (area, density, topography, climate)
4. Demographics (population, households by gender, income classes, ethnic groups)
5. The urban economy (employment, economic base, relation to global economy, resource base, functional speciality, gender participation)
6. Governance (level of autonomy, revenue base, major public policy problems and other issues)

#### II. SLUMS AND POVERTY

**B. 'Slum' is used by the Global Report on Human Settlements 2003 as an umbrella concept under which fall numerous categories of settlement, for example, inner-city deteriorated tenements, squatter settlements, illegal sub-divisions etc. Broadly what different types of slum exist in the city?**

1. Types
2. Location
3. Age
4. Population size and characteristics

##### **C. What are the relevant official definitions related to slums that are used for policy purposes?**

1. Definitions and their predominant use, including relevant local language terms used officially
2. If there are no official definitions, discuss whether or not the relevant authorities regard slums as a policy problem?

##### **D. What are the unofficial definitions of slum, not recognised in official documents?**

1. Popular understandings of slums - how different social classes understand the various categories of slums in the city

2. Relevant local language terms
3. Slum dwellers' perception of their own status as slum dwellers

**E. What is the official definition of poverty used for policy purposes?**

1. Definitions and their predominant use
2. Changes to definitions over time

**F. What are the unofficial definitions of poverty, not recognised in official documents?**

1. Popular understandings of poverty - how different social classes understand the concept of poverty
2. The poor's perception of their own poverty

**G. What are the origins of the types of slum identified?**

1. Social, economic and political forces that have formed and removed slums, by type
2. The social, political and economic advantages of the slums to the city

**H. What data are available on the city's slums?**

H1. Maps

1. Provide the most recently available urban agglomeration map (at 1:25,000 scale) with all identified slums (official and unofficial) outlined
2. Provide a series of maps showing the growth and spread of slums over time

H2. Census Data

1. Provide the most recent census data on identified slum types, covering the following:
  - a) Permanent structures by type (% of total in slum area)
  - b) Access to water (% of households served in slum area)
  - c) Access to sanitation (% of households in slum with safe sewerage system)
  - d) Access to safe collection (% households served)
  - e) Access to electricity (% of households with home service in slum area)
  - f) Access to health care (residents per primary health point)
  - g) Access to education (primary schools per 1000 school aged children within slum area; average school fees per student)
  - h) Crime rates (homicides, rape, assault)
  - i) Under five mortality rates
  - j) Density (population of slum divided by area of slum in km<sup>2</sup>)
  - k) Secure tenure (% households with secure tenure)

**I. What data are available on poverty in the city?**

I1. Maps

1. Provide maps (scale 1:25,000) showing the spread of poverty over time, geographical distribution of income groups or other variables related to poverty definitions

I2. Census Data

1. Provide the most recent census data relating to official definitions of poverty, e.g. income levels, percentage below minimum wage, percentages with access to basic services
2. Provide poverty data disaggregated by sex, age, ethnic grouping, religion and caste where available

### **III. SLUMS: THE PEOPLE**

**J. Who lives in slums?**

1. Short histories and key events in lives of typical slum households, including female-headed
2. Aspirations, plans and the barriers to their fulfilment (differentiate between men and women)

**K. For the types of slum identified, what are the household indicators for women-headed and other households**

1. Household types and their percentage
2. Income by quintile and household type
3. Household size
4. Birth/fertility rates
5. Types of tenure and house ownership (status of the land, percentages of tenants, owner-occupiers etc)
6. Literacy rates by age group and sex and other relevant variables

7. Occupancy ratios (mean persons per household; mean floor area per person in m<sup>2</sup>)
8. Length of household residency in slum

**L. What are the costs of living in slums (differentiated by sex; compared to city-wide averages)?**

1. Commuting to work (time, distance and money) by type of transportation
2. Price of water and other services
3. Rental rates (informal v. formal rates)
4. Availability of housing finance (banks, associations, private lenders, family)
5. Health problems (incidence of communicable disease, including HIV/AIDS)
6. Discrimination (employment, education)
7. Victimization and insecurity (including individual and neighbourhood mass evictions)
8. Psychological trauma (suicide and violent behaviour)
9. Financial expenditures for typical slum household: expenditure on housing, food, transport (include differences by household type)

**M. What assets are available to slum dwellers? Are these increasing or declining?**

1. Social capital (inclusive civic or community organisations and thematic associations, mechanisms and circumstances through which individuals participate etc.)
2. Financial capital (household savings, bank loans, borrowing associations, private lenders, extended family, etc.)
3. Human capital (level of education in household, health within household, number of working children, etc.)
4. Physical capital (secure tenure, home-based enterprise, basic services supply, equipment, etc.)
5. Supportive public policy (social, economic and infrastructure programmes that specifically target the urban poor)

#### **IV. SLUMS AND POVERTY: THE POLICIES**

**N. What policies and actions have been taken to improve slums and alleviate poverty?**

1. Locational targeting: official national, regional and city policies and programmes to eradicate or upgrade slums (including bilateral/multilateral aid programmes)
2. Socio-economic targeting: official national, regional and city policies and programmes to eradicate or alleviate poverty
3. Non-governmental interventions: community-based and NGO-based programmes to improve slums and to alleviate/eradicate poverty

**O. What have been the impacts of these efforts?**

1. Success stories and potential best practices
2. Reasons for successes and failures
3. Lessons learned (by officials, by residents, by programme officers, by consultants, etc.)
  - a) Importance of context (political, social, economic, cultural, legal)
  - b) Importance of enablement
  - c) Importance of leadership
  - d) Importance of various types of capital
  - e) Importance of correct targeting

**P. Is there a demonstrable commitment to regular monitoring, feedback and adjustment of policies and programmes?**

1. Budget commitments
2. Policy commitments (in national or local law and programme documents)
3. Commitment of NGOs to monitoring slum conditions
4. Commitment of international technical co-operation agencies

## METHODOLOGY

### A. Secondary data collection

1. Historical and up-to date maps of the urban agglomeration showing:
  - developed areas at a scale close to 1:25,000
  - formation and spread of various slum types
  - geographical spread of relevant poverty indicators  
If possible provide GIS maps.
2. Data and information from census, local surveys, histories, and newspaper reports
3. Official documents and plans that refer to city's slum types and poverty, including national laws, city ordinances, programme statements, official speeches or other documentation
4. Research, consultancy and academic literature on slums and poverty in the city

### B. Primary data collection

1. Photographs of different slum types and poor communities and their residents
2. Interviews with local planning staff and other city officials, social and political science researchers, NGO experts, community organisations and leaders, newspaper editors, and local historians.
3. Interviews with residents of selected slums, including compilation mini-biographies of selected residents and of short 'time and place budgets' that ask people to reconstruct their activities of the previous day and in which people identify 'pegs' that act as constraints around which their daily schedules are organised (e.g., need for water, fuel, food, work, education, health care).
4. Short survey that specifically asks a sample of households in selected slums about their access to or accumulation of resources, human, physical and financial capital.
5. Settlement selection – within the given time and financial limits, chose slums for the collection of primary data that are more or less representative of the predominant slum types in the city. Try not to select those settlements that have been 'over-researched'.

### C. STRUCTURE AND FORMATTING

1. Adhere to the structure in the attached Terms of Reference. If particular issues or phenomena are relevant to your city are not in the ToR, add them in the appropriate place.
2. The first time abbreviations and acronyms appear in the text, write them in full e.g. International Monetary Fund (IMF). Include a list of all abbreviations and acronyms, in both the local language and English.
3. Reference all secondary data sources cited in the text (e.g. Newman and Kenworthy, 1999) in a bibliography at the end of the City Report using the following formats:
  - Newman, P and J Kenworthy (1999) *Sustainability and Cities: Overcoming Automobile Dependence*. Island Press, Washington, DC
  - Murillo, M V (1997) 'Union politics, market-oriented reforms, and the reshaping of Argentine Corporatism'. In: D Chalmers, C Vilas, K Hite, S Martin, K Piester and M Segarra (eds) *The New Politics of Inequality in Latin America: Rethinking Participation and Representations*. Oxford University Press, Oxford
  - McIlwaine, C (1999) 'Geography and development: Violence and crime as development issues'. *Progress in Human Geography* **23** (3): 453-63.
4. Provide page numbers for all quotations.
5. Write currency figures in the local currency plus the US\$ equivalent, e.g. £500 (US\$ 750).

6. For figures in millions, write million in words rather than numbers e.g. US\$ 300 million.
7. Write all percentages to one decimal point in the following way: 19.6 per cent. In tables, per cent should be written as %.
8. All measurements should be metric, e.g. km, m, l, m<sup>2</sup>, l<sup>3</sup>.
9. Number and title all tables, boxes, figures, photographs and maps. Cite their source, where relevant.
10. Cite the names of all photographers whose photographs you include.
11. Use endnotes rather than footnotes.
12. To emphasise particular words in the text, use *italics*.

**UN Global Report on Human Settlements 2003  
City Report ToR Checklist**

Using the Terms of Reference, please complete the table below and return it to Patrick Wakely at the DPU (<p.wakely@ucl.ac.uk> Fax +44 20 7679 1112). It is intended that the table should be completed on the basis of your knowledge of the data available in/on the city and your estimate of your ability to access it, including undertaking some primary research.

ToR Sectons	Response to question			Comments
	Easy	Possible	Not available	
<b>I. Introduction: The City</b>				
A	1			
	2			
	3			
	4			
	5			
	6			
<b>II. Slums and Poverty</b>				
B	1			
	2			
	3			
	4			
C	1			
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D	1			
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	3			
E	1			
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F	1			
	2			
G	1			
	2			
H.1	1			
	2			
H.2				
I.1				
I.2	1			
	2			
<b>III. Slums: The People</b>				
J	1			
	2			
K	1			
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<b>M</b>	<b>1</b>			
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**IV. Slums and Poverty: The Policies**

<b>N</b>	<b>1</b>			
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