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Slum Upgrading in African Urban Areas and the Post-2015 European Policy Agenda

ABOUT THE PROJECT

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Policy Labs are part of the MA curriculum and give an opportunity for small teams to work for external clients producing and presenting policy relevant research that will be used for advocacy, assessment and development. Clients are civic organizations, donors, research centers and international organizations. The Policy Lab focusing on this project for Habitat for Humanity International Budapest was mentored by Andrew Cartwright and Anna Szasz at Central European University’s Center for Policy Studies.

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Executive Summary

Urban slum areas over the past decade in several African cities have exponentially increased in actual land size, population, and subsequently, complexity. Municipal and national governments are struggling to provide adequate services to the slum areas and regulate them. Some governments refuse to acknowledge their existence or directly propose to eliminate them by force or resettlement. The recently released African Economic Outlook acknowledges urban development requires greater attention. The continent's population is expected to double by 2050, to a total of approximately 2 billion.¹ Sub-Saharan Africa will experience the highest growth although the rate amongst and within these countries will vary substantially. Demographic changes predict increased numbers of active workers to support inactive ones as birth rates decrease overall, resulting in better standards of living and facilitating stability to attract investment. The EU does not specifically address urban housing in Africa, although there may be some entry points for influencing policy.

Section 1 of this document will address slum upgrading as a policy area in the sense of the impact that it has, looking at existing recommendations and debates and clarifying what is meant by slum upgrading and land tenure. Section 2 is concerned with outlining the conversations happening at an EU level in 2015 around the future of European development policy, and will pay specific regard to the aspects of the post-2015 agenda which are likely to be of the most concern to Habitat for Humanity International.

¹ *African Economic Outlook 2015: Regional Development and Spatial Inclusion*. OECD Publishing, 2015.
http://www.africaneconomicoutlook.org/fileadmin/uploads/aeo/2015/PDF_Chapters/Overview_AEO2015_EN-web.pdf
http://www.africaneconomicoutlook.org/fileadmin/uploads/aeo/2015/PDF_Chapters/Overview_AEO2015_EN-web.pdf

Section 1 – Slum Upgrading in African Urban Areas

1.1 Introduction

This section will outline the possible entry points in which the EU could be involved in urban housing policy. Of utmost importance however, is diagnosing the issue correctly. Urban slums offer numerous benefits as well as creating disadvantages, and are diverse and dynamic. Greater emphasis on understanding social trends and processes that work and others that do not, is required, prior to designing any interventions. Yet urban migration in Africa is not a new phenomenon. While the scale and speed may be unprecedented and cause issues, these may not necessarily be new but simply reformulations of age-old migration concerns. Policy documents and literature on urban migration and housing within African megacities is often reductionist and seek to draw patterns that fit existing tropes. It is useful to step back and assess whether dominant narratives of urbanisation, land reform and development shape realistic policies or different approaches should also be considered as alternatives.

Reconceptualising slum areas will allow practitioners and policy-makers to diagnose existing issues more accurately, and capture burgeoning ones faster. The report aims to illuminate the complexities of slums, while providing a sense of the key types of slum communities and broad intervention approaches. In contexts where the government lacks the capacity or the political will to implement pro-slum policies, this can be problematic. Different strategies are required to influence these governments, and a separate approach to assist slum residents and communities. In cases where there is political will but minimal government capacity, the most obvious solution is to aim towards secure land tenure in the form of allocated plots and formal title deed. However this is largely a technical solution that ignores the politics of the process and subsequently, the outcomes. In many cases, this simply is unworkable.

The issue is not just one of ensuring everyone has access to services and has protection, but also of creating a social contract between the state and citizens, and ensuring sustainable, quality housing that maintains a strong social fabric between and within the diverse slum communities.

The report thus follows the view of the recent Urban LandMark recommendation that incremental tenure initiatives represent the most promising path in many informal settlements, although not the only one. Each slum, and indeed, each community within the slum, should be assessed based on the conditions specific to them. The following are broad typologies that serve only as a reference point to conceptualise slums and general potential management strategies that should be tailored accordingly.

1.2 Background

Urban migration in Africa has led to rapid population growth in, and creation of informal settlements/slums in many urban capitals. Overcrowding results in increased pressure on basic services and low quality living standards in addition to the unregulated housing conditions existing in slum areas. Susceptibility to spread of disease, increased rates of crime, and external shocks including natural disasters can be negative characteristics of slum areas.

Drivers of change include rural land changes, armed conflict, natural disasters, and lack of employment and education opportunities in rural areas. Further research is required to understand actual causes and the degree of effect on urban slums. It is likely that several factors cumulatively result in slum

development. However research has identified the following as the most likely key catalysts of urban migration²:

- Perceived improvement of job prospects and social mobility;
- Better services including transport, housing, communications, water and electricity;
- Other issues such as freedom of religion and upholding specific cultural values may instigate movement to urban areas where cultural plurality is assumed to be higher;
- Resettlement stimulated by large scale agricultural land concessions allocated by the government;
- Urban migration is seen as a strategy for rural households where some family members work in the towns, cities and urban slums, while other members remain in the rural hometown. Families may either migrate when prospects improve, or this could be a long-term arrangement to build resilience.

1.2.1 Conceptualising slums

Definitions:

The report uses the UN-HABITAT definition which regards:

“A slum household as a group of individuals living under the same roof in an urban area who lack one or more of the following:

- Durable housing of a permanent nature that protects against extreme climate conditions.
- Sufficient living space, which means not more than three people sharing the same room.
- Easy access to safe water in sufficient amounts at an affordable price.
- Access to adequate sanitation in the form of a private or public toilet shared by a reasonable number of people.
- Security of tenure that prevents forced evictions.”³

A more detailed typology⁴ can be useful to visualise the heterogeneity of slums and their relationship to formal sectors of cities.

Metro core		Periphery	
Formal	Informal	Formal	Informal
a) Tenements – hand-me-downs, built for poor b) Public housing c) Hostels, shelters	d) Squatters – authorised, unauthorised e) Pavement-dwellers	a) Private rental b) Public housing	c) Pirate subdivisions – owner-occupied, rental d) Squatters – authorised, unauthorised e) Refugee camps

² "About Slum Upgrading." Citiesalliance.org. Accessed June 19, 2015. <http://www.citiesalliance.org/About-slum-upgrading>

³ UN-HABITAT. *Participatory Slum Upgrading Programme in African, Caribbean and Pacific Countries: Zambia: Lusaka Urban Sector Profile*. Nairobi: UN-HABITAT, 2007.

<file:///C:/Users/John/Downloads/Zambia%20Lusaka%20Urban%20Profile.pdf>

⁴ Davis, Mike. *Planet of Slums*. London: Verso, 2006. 30, Figure 8.

In this report, the informal sectors in both core and periphery are considered, given the primacy of slum augmentation as a public policy issue for African governments. Given this diversity within slums, there are competing interests, and thus competing corresponding strategies to obtain and maintain them. Consequently, the sheer scale, complexity and speed of the changes in slums necessitate both *ad-hoc* and longer-term management solutions.

The table below summarises the basic cost-benefit analysis that urban slum inhabitants may make when deciding to migrate.

Slums represent a series of trade-offs between –		
poor living quality	<i>and</i>	close proximity to jobs and markets
poor quality of houses	<i>and</i>	low affordable investment in housing
no housing	<i>and</i>	tenure insecurity
no access to infrastructure	<i>and</i>	informal and intermittent supply of urban services

Figure 1: Trade-offs between migrating to urban slums (Global Development Research Centre: <http://www.gdrc.org/uem/squatters/squatters.html>)

Although it may seem self-evident, it is worth stating why migrants do not attempt to stay in formal areas. Generally, the costs are too high, there is the threat of paying taxes that are not affordable, finding a job with lack of qualifications and appropriate skills is a barrier, and most importantly, no personal connections in these areas means lower chances of success. That is, there are lower entry points in slums and greater opportunities in terms of social networking to obtain employment, housing, and access to services. Less formal regulation enables certain processes to be streamlined especially for residents who may lack the necessary documentation required for formal identification such as birth certificates, bank statements, driving licenses, passports, etc., or are illiterate or innumerate.

Assumptions:

The report makes some key assumptions:

- Slum dwellers are resilient in many complex situations, but their circumstances should not be romanticised – they require assistance and in the absence of strong and effective government, local communities, NGOs and the private sector, must fill this gap
- As slums are not homogenous entities, interventions should be tailored accordingly, and this means understanding the diverse communities within slums, and their varying interests, to correctly diagnose the issues
- Slums are the norm and acknowledging them as such is crucial; it is unlikely that all slums will be formalised even with government support and maximum financial and technical agency and capacity of the government. This is due to the scale, scope and speed of migration occurring within and to, African cities
- Land titling is not the only or indeed, optimal solution for slums to obtain a certain standard of living. Furthermore, it should not be viewed as synonymous with secure land tenure
- In countries where there is political will by the government at local and national levels to provide decent housing and basic services to slum dwellers, the greater the likelihood there is of being able to effect sustainable change regardless of capacity

1.3 Acknowledging the complexity of slums in urban planning: consequences for policy

One of the key issues constraining categorisation of slum areas is the lack of accurate, comprehensive, and current data. Given the dynamics of slum areas, this can restrict effective planning. Nonetheless, there are some well-organised slum communities that are governed by local committees which hold the relevant data or have sufficient proxies for data (LandMark, Cape Town University).

Second, there are various interests within different slum settlements. For instance, Davis argues that renters are the most overlooked group – squatters tend to be idealised and as the “poorest” and “most vulnerable” are often targeted more heavily by schemes. Renters are often resilient enough to not be completely dependent, yet are not eligible for compensation or entitlements.

Likewise, there are trade-offs between formal and informal sectors, and this could be one reason why several resettlement schemes, upgrades to formal tenement housing, and land titling projects do not succeed, that is, because there are benefits derived from living in slum areas that do not exist or are at least suppressed or diminished, in formal residential settings. Benefits of living in slum areas are lost in this process rather than protected, while the added burden of taxation and paying for services may be perceived as too high risk by those at the margin.

Third, in the absence of formal government interventions, there is ongoing debate about the level of assistance and kinds of interventions required. One group asserts that slum residents are resilient and can develop their own solutions to their problems. These can be loosely termed the “self-help” advocates. However, others maintain that it is dangerous to romanticise the notion that the informal sector can resolve all issues without government or other external assistance.

This debate has been complicated by the sometimes well-meaning, but often detrimental impacts of some NGO actors. Multilateral institutions such as the World Bank and UNDP have not actually helped in many instances. Advocating de Soto’s land titling mantra as the primary and absolute means to unlock the potential capital of slums, has not had the intended effect. This is due to the technocratic approach which fails to accommodate the dynamic nature of migration flows and the implication that property rights entails taxation, the commercialisation and privatisation of squatting, and division within the slum dwellers themselves that entails varying interests and motivations. Not all NGOs are created equal however. Just as there are extensive types of informal sectors of housing, there are several NGOs that can and do assist.

Fourth, even where there is government support, private landowners could prove too powerful. In the vacuum created by absence of a pro-poor, pro-slum government, blatantly profit-seeking land owners, can also push out informal tenants (squatters, renters without contracts) and exacerbate insecurity. Government have to be willing and able to implement policies that limit oligopolistic behaviour. While some studies show that slums are initially formed in unused, low value areas, over time they can often become highly valuable. This can catalyse rent-seeking behaviour and politicise slum areas whose use becomes hotly contested.

Fifth, the heterogeneity of slum settlements is often described negatively, rather than positively, but this feature is a double-edged sword. Jacobs advocates urban areas being first and foremost, liveable cities that foster communities and social interaction while also providing high quality, reliable and effective services. Hence diversity is to be legitimised and fostered, not destroyed. “Intricate minglings of different uses are not a form of chaos. On the contrary they represent a complex and highly

developed form of order.”⁵ While this may be an idealised notion of slum areas, there are usually many robust and effective systems and processes existing in informal urban areas that may be overlooked as they are not easily identifiable and thus not synonymous with the formal, and dominant, regulations present in residential areas. Similarly, crime and violence are part of the mix and can likewise be consolidated in areas without public services such as police and a formal justice system.

The challenge for African municipal governments is to protect the social fabric that fosters positive relationships between different slum resident groups, yet disrupt the dynamics of criminality, monopolisation of space by private or exclusive groups, and excessive commercialisation of property at the expense of social and economic equity.

1.3.1 The land titling debate

One of the biggest myths about secure land tenure, that deserves its own section, is that secure land tenure is dependent on land titling.

Generally, the security of tenure discourse involves three main arguments. The first advocates titling to secure land tenure⁶, most ardently advocated by Hernando de Soto. The second including anthropologist Jane Jacobs maintains titling is unhelpful and possibly harmful. Finally, others propose group titling offers a reprieve.⁷ In sub-Saharan Africa, the first narrative remains the overarching one, promoted by multilateral aid institutions and governments alike.

Yet land is imbued with social, cultural and historical values that do not have a relationship to monetary valuation. While some economic assessments attempt to quantify these values, this is primarily a translation exercise, to communicate to investors and governments who view land predominantly through a commercial lens.

In countries where titling is advocated as the key policy to solve urban slum issues, governments are blindsided by futures of formalised cities and do not see the reality of poverty restraining slum inhabitants’ access to credit, capacity and willingness for risk and ability to invest. Pushing out these residents simply moves the issues elsewhere.

The dominant land titling narrative remains significant as it drives large-scale donor and government infrastructure investment and development. Yet in its current form and direction, perhaps it is not in fact the magic bullet it proposes for slum residents and governments alike. Titling is essentially a political, not a technical, process. Access and use of land succumbs to vested interests of the connected and powerful, not the residents who do not even exist within the formal system. The debate is connected to a larger one regarding citizenship and rights - namely, those who may be considered citizens and thus eligible for protection by the state with corresponding obligations, and those who are not. This is broader than the scope of this report however, but should be considered when designing advocacy and policy initiatives.

In these instances, it is often more feasible to avert the land titling debate, instead exploring different ways to achieve greater levels of secure land tenure. This may or may not result in legal tenure, but can consolidate rights of slum residents.

⁵ Scott, James C. *Seeing like a State: How Certain Schemes to Improve the Human Condition Have Failed*. New Haven: Yale University Press, 1999. 137

⁶ De Soto, Hernando. *The Mystery of Capital: Why Capitalism Triumphs in the West and Fails Everywhere Else*. New York: Basic Books, 2000.

⁷ Cousins, Ben. “‘Embeddedness’ versus Titling: African Land Tenure Systems and the Potential Impacts of the Communal Land Rights Act 11 of 2004.” *Stellenbosch Law Review* 16, no. 3 (2005): 448-513.

1.4 Typology of scenarios

There are likely to be three main scenarios when it comes to slum upgrading and moving towards secure land tenure in slums. The focus is on Scenario B, as this is likely to be the scenario where the EU and their partners can initiate effective policies in terms of positive impact and value-for-money. However, slums will obviously not fit neatly within one or the other but will shift between them and may have specific features pertaining to cultural, political and economic circumstances.

1.4.1 Scenario A: positive political will and capacity of national and municipal government

This is the ideal scenario in the sense that the basic conditions are met. Substantial inputs to facilitate and assist local authorities to build/strengthen institutions to regulate and enforce policies and design an urban planning strategy are required. However, measures to catalyse behavioural change or advocacy campaigns to influence government attitude and objectives are not necessary although governments can change quickly.

Entry points:

- i. Coordinate NGO actors in urban development, setting the agenda to ensure aims and objectives are not counteracting each other. The obvious means is through UN-Habitat although direct partnership with NGO coalitions could also assist.*
- ii. Continue to influence governments to foster democratic institutions that recognise urban slums as areas of potential growth and investment.*

1.4.2 Scenario B: positive political will but minimal capacity of national/municipal government

The government can attempt to implement a land titling project but where this is not feasible, in which case other forms of secure land tenure should be advocated and acknowledged. This includes local committees verifying ownership, and assets or social capital being used as collateral. Even if the government aims to provide services and formalise slums, residents working and living in the informal economy and areas will try and avoid this especially initially if there are minimal public services and lack of jobs or sufficient income to justify paying taxes.

Slums in this scenario can benefit from slum upgrading. In Urban LandMark's report on incremental security of tenure, case studies of six settlements across sub-Saharan Africa demonstrate this approach.

Entry points:

Case studies by Urban LandMark in conjunction with local NGOs:

1. Angola: Development Workshop, an NGO based in Luanda
2. Mozambique: Associação Nacional dos Municípios de Moçambique (ANAMM) and the Cities Alliance Country Programme
3. eMalaheni, South Africa: Planact, an NGO working with the Springvalley community
4. Cape Town, South Africa: Sun Development Services, an NGO that has been providing development support in Monwabisi Park
5. Johannesburg, South Africa: Urban LandMark has provided support over several years to the city's Regularisation programme
6. Malawi: CCODE, an NGO based in Lilongwe that works to improve the quality of life of the poor.

- i. Fund the use of diagnostic tools developed by LandMark and these NGOs and slum communities to assess the level and type of assistance required by other slum communities*
- ii. Support development of community driven interventions – these can be a combination of water and sanitation projects, transport initiatives, housing improvements, etc. Be prepared to invest*

in solutions that are mobile for highly dynamic areas e.g. standalone solar power systems, rainwater tanks and housing that is transportable, but more long-term (traditional) planning interventions for slum communities that are settled

- iii. *Facilitate sustainability and resilience by supporting initiatives that provide technical assistance e.g. engineering and architecture assistance, legal aid for contractual work, etc.*

1.4.3 Scenario C: limited or no political will on behalf of national municipal government

Governments may be openly hostile to slum development and/or formalisation. There are unlikely to be any interventions that will be able to help facilitate sustainable settlements or formalising the slums in these instances, as there are alternative plans to limit growth or resettle inhabitants by force, lack of provision of services, or use the land for other purposes such as industrial areas or creation of formal, middle class residential areas.

In the short-term, external actors can help to provide financial assistance or temporary shelter needs. Minimum standards of housing could be devised and used to measure the quality of slum housing and access to facilities. Contracts between individual private landowners and slum residents can be facilitated by NGOs to ensure long-term tenure. For example, microfinancing renovations and upgrade of housing to subsidise the landowners' costs of maintenance in return for agreement that renters/inhabitants have a certain period of tenure, could be one option. Enforcement of this agreement would need to be facilitated by a third party. Resistance from government and possibly commercial parties should be expected however.

To effect significant change, higher level policy actions including advocacy campaigns directed at national governments are likely to be needed. This requires substantial time inputs as a long-term intervention, and may not produce the intended results but could lead to incremental changes and pressure governments. In these contexts, promoting the overall level of democracy within a nation-state is the broader challenge and an improved urban living standard is one of many intended positive outcomes. Thus, ad hoc interventions should be prioritized i.e. evading eviction measures.

Entry point: policy initiatives that focus on rights of slum residents to access basic services for health reasons, for security and protection (in the case of internal civil strife), and to avoid poverty.

1.5 Further actions

Given the complexity and diversity of slums, HFHI's staff or researchers in conjunction with field level staff and local committees within target project sites or potential sites, should carefully research and identify the trends existing within the slum areas. This is not only because local staff will have stronger relationships and network capacity, but because the process matters. This activity will be trial and error, but will foster ownership and increase the likelihood of decision-making capacity and willingness.

Section 2 – The Future of European Development Policy with Regard to Urban Development

2.1 Introduction

European Commission Communications of February 2013, July 2013 and June 2014, and the Council Conclusions of June 2013, December 2013 and December 2014, articulate the EU's vision for a post- 2015 agenda that needs to be global and universal, incorporating all three dimensions of sustainable development: social, economic and environmental.

– European Commission communication⁸

The European Union is the world's largest aid donor, and most European citizens wish aid to expand.⁹ 2015 will be an important year in deciding whether or not aid does expand, and what aid will look like in the future. It is an important year both symbolically and practically for European development projects. The European Think Tanks Group points to "a sense of urgency about the need to rethink strategy and approach for new and challenging times".¹⁰ Not only is it the European Year for Development, but the Millennium Development Goals initiative comes to an end, with talks happening about their replacement (the so-called Sustainable Development Goals). This document will address the EU policy context that affects poverty housing, especially land and slum related developments in Africa, alongside which institutions and mechanisms should be considered when addressing the European development aid and advocacy apparatus. A special focus will be drawn on the elements of the contemporary debate on aid in the EU which may be of particular relevance Habitat for Humanity International (HFHI).

2015 is ideal timing for Europe to focus on international development. 2015 is the year the United Nations Millennium Development Goals expire and negotiations for what will replace them take place, so it's crucial that Europe re-assesses its role to tackle global poverty and inequality.

– Inese Vaivare, Director of LAPAS¹¹

Over half of global development aid comes from the EU through the Cotonou Agreement and the European Development Fund (EDF), which together provide the framework and the mechanism by

⁸ European Commission. "A Global Partnership for Poverty Eradication and Sustainable Development after 2015." Europa.eu. February 5, 2015. Accessed June 6, 2015.

http://ec.europa.eu/europeaid/sites/devco/files/com-2015-44-final-5-2-2015_en.pdf

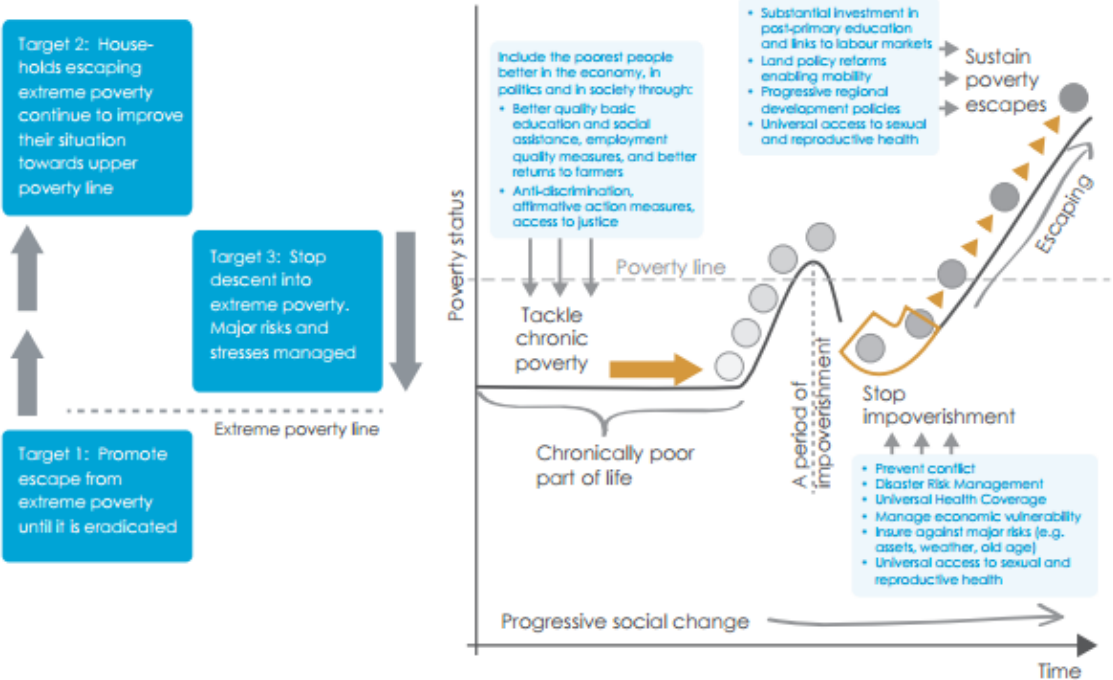
⁹ "The European Year for Development – Citizens' Views on Development, Cooperation and Aid." Europa.eu. 2015. Accessed June 6, 2015. http://ec.europa.eu/public_opinion/archives/ebs/ebs_421_en.pdf

¹⁰ Brown, Anna, and Elize Hefer, eds. *Our Collective Interest: Why Europe's Problems Need Global Solutions and Global Problems Need European Action*. European Think Tanks Group, 2014.

<http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9136.pdf>

¹¹ "European Year for Development 2015 is not just about aid." CONCORD

which the EU delivers aid to Africa.¹² Since 2000, the United Nations-defined Millennium Development Goals (MDGs) have been the guide by which the EU targeted aid. These goals expire in 2015, and the Sustainable Development Goals (SDGs) – the proposed replacement – will likely fulfill the same role into the future, once they become finalized. The current 10th iteration of the EDF was extended from 6 to 7 years so its end coincides with the transition from MDGs to SDGs.



Source: Chronic Poverty Advisory Network (2014)

Figure 2: European Think Tanks Group proposal for a development framework (<http://www.odi.org/sites/odi.org.uk/files/odi-assets/publications-opinion-files/9136.pdf>)

European Commission communications have highlighted a focus on interconnected development on social, economic and environmental issues, which was echoed by Karmenu Vella, the European Commissioner for Environment, Maritime Affairs and Fisheries at a meeting of the European Parliament Development and Environment Committees on June 22, 2015.¹³ He pointed to the universality of the post-2015 agenda, requiring all governments and sectors to engage in better-integrated and sustainable development. To illustrate the changes he believes needed to be made, he pointed to the €400 billion of “economically and socially inefficient” subsidies for fossil fuel consumption in emerging and developing countries in the year 2010. Instead, this money could have been invested into resource-management projects which are greener and ultimately cost-saving. The European Think Tanks Group point out that economic globalisation is occurring without the formulation of a matching social contract. As part of their proposal for an ideally structured development framework, land policy reforms were included as enabling mobility towards an escape route from poverty, as shown in Figure 2. Like a lot of similar publications, and as with the parliamentary meeting, they lack the inclusion of housing as a specific area of focus. The most significant policy proposal, however, is stated as “the development of groups of policies (and

¹² European Commission. *International Cooperation and Development: Fighting Poverty in a Changing World*. Luxembourg: Publications Office of the European Union. 2014.

¹³ "Committee on Development and Committee on the Environment, Public Health and Food Safety - Meeting 22/06/2015." European Parliament. June 22, 2015. Accessed June 16, 2015. <http://www.europarl.europa.eu/news/en/news-room/content/20150618IPR67827/html/Committee-DEVE-and-Committee-ENVI>

goals/targets) which relate clearly to tackling chronic poverty, stopping impoverishment and sustaining people's escapes from extreme poverty, based on a refreshed understanding of the nature of poverty dynamics both in the EU's own internal programming cycles, and in its dialogue with the international community on the post 2015 framework and its implementation".¹⁴ Once again, integrated development is front and centre of the discussion.

2.2 Cotonou Agreement, European Development Fund and ACP Group

*"Grants for projects aiming to promote the economic, cultural and social development of the African, Caribbean, Pacific and overseas countries, to strengthen peace and security and to promote a stable and democratic political environment."*¹⁵

European aid in Sub-Saharan Africa is delivered through the over-arching framework of the European Development Fund (EDF) and the Cotonou Agreement. The EDF is the development finance arm of the Cotonou Agreement between the European Community and the ACP Group (a coalition of African, Caribbean and Pacific nations, as shown in Figure 3). Of the 79 nations in the ACP Group, only Cuba is not a signatory to the agreement.¹⁶ The EDF is funded directly by EU Member States, and as such it falls outside of the Multiannual Financial Framework (MFF) which makes up the EU budget.^{17,18} The European Parliament has considered consolidating this aid into a single fund, but there is a general lack of political will and resistance from Nordic+ countries which already coordinate aid spending (Denmark, Finland, Ireland, Norway, Sweden, the UK, and the Netherlands).¹⁹ The EDF is now in its 11th iteration. Generally funded in 6-year spells, the 10th iteration had a budget of €26.93 billion.

2.2.1 Budget

The current EDF budget has increased this to €30.32 billion, a 13% increase in 2011 prices. However the programme has been extended by one year, which accounts for this increase.²⁰ The current budget was allocated as follows:

- €27.658 billion (86%) to the national and regional indicative programmes
- €3.960 billion (12%) to intra-ACP and intraregional cooperation
- €0.600 billion (2%) to Investment Facilities

¹⁴ *Our Collective Interest: Why Europe's Problems Need Global Solutions and Global Problems Need European Action*. European Think Tanks Group, 2014

¹⁵ "EDF (11TH) - EUROPEAN DEVELOPMENT FUND." Welcomeurope. Accessed March 25, 2015.

http://www.welcomeurope.com/european-funds/edf-11th-european-development-fund-2014-2020-859759.html#tab=onglet_details

¹⁶ "Secretariat AC." African, Caribbean and Pacific Group of States. Accessed June 1, 2015.

<http://www.acp.int/content/secretariat-acp>

¹⁷ Gavás, Mikaela. "Replenishing the 11th European Development Fund." *ODI Background Notes*. November 2012.

¹⁸ "The Multiannual Financial Framework Explained." European Commission. Accessed June 1, 2015.

http://ec.europa.eu/budget/mff/introduction/index_en.cfm

¹⁹ Latek, Marta. *The Challenge of Coordinating European Development Policies: Fragmentation, a Disaster?* Brussels: European Parliament Research Service, 2015.

[http://www.europarl.europa.eu/RegData/etudes/IDAN/2015/542146/EPRS_IDA\(2015\)542146_EN.pdf](http://www.europarl.europa.eu/RegData/etudes/IDAN/2015/542146/EPRS_IDA(2015)542146_EN.pdf)

²⁰ "Cotonou Agreement." EUR-Lex. February 5, 2014. Accessed March 25, 2015. <http://eur-lex.europa.eu/legal-content/EN/TXT/?qid=1424376193758&uri=URISERV:r12101>

2.2.2 Objectives

The objective of the EDF is to “promote the economic, cultural and social development of the ACP States (i.e. the African, Caribbean and Pacific countries party to the Cotonou agreement) with a view to contributing to peace and security and promoting a stable and democratic political environment, and reducing poverty consistent with the objectives of sustainable development and the gradual integration of the ACP Countries into the world economy”.²¹

As the EDF is essentially the mechanism by which the development commitments of the Cotonou are implemented, there are notable articles in the Cotonou Agreement which could be of interest to HFHI. The EDF has specified general target areas, as below:²²

- Sectoral policies and reforms (e.g. education, health, transport, tourism)
- Institutional development and capacity building
- Macro-economic and structural reforms and policies
- Technical cooperation programmes
- Humanitarian and emergency assistance
- Help with the adverse effects of instability in export earnings

KEY: ■ Caribbean group ■ West African group ■ Central African group
■ Southern African group ■ East African group ■ East and South Africa group ■ Pacific group

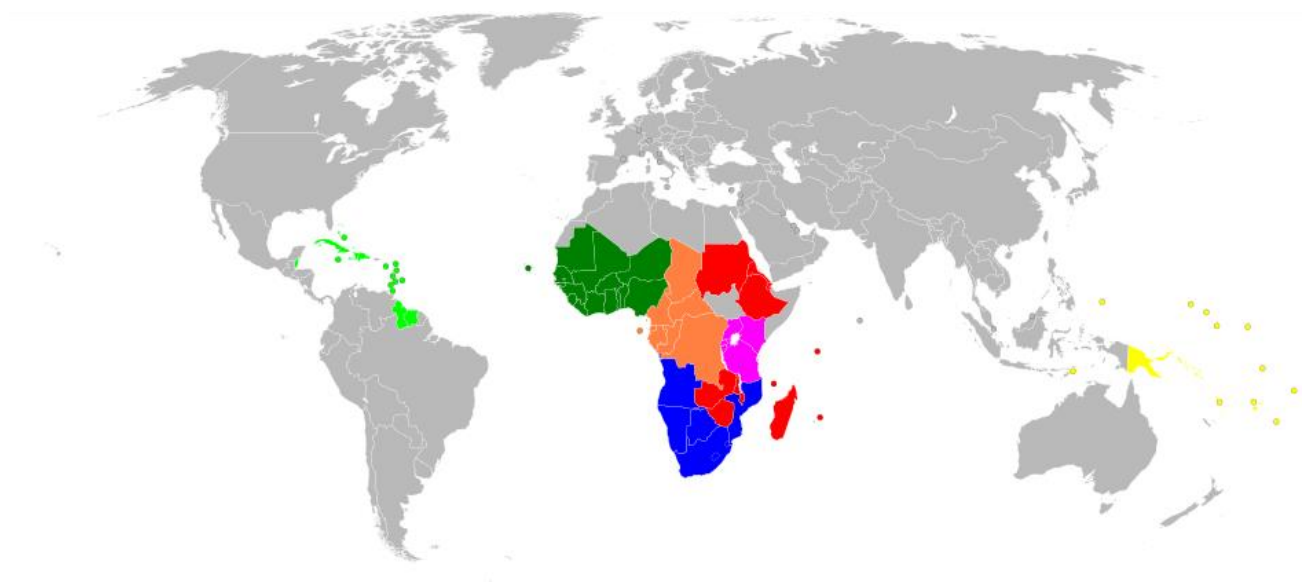


Figure 3: Regions covered by the Cotonou Agreement

2.2.3 Funding

The EDF is funded in two ways: firstly, through non-reimbursable grants administered jointly by the Commission and the ACP States. “Each country will receive a lump sum. Grants are allocated on the basis of a National Cooperation Strategy, elaborated for each country and will be supplemented by an Indicative Operational Programme on the implementation of the funds.”²³ Secondly, they can be

²¹ Gavás. “Replenishing the 11th European Development Fund”

²² “Cotonou Agreement.” EUR-Lex

²³ “EDF (11TH).” Welcomeurope

funded through risk capital and private sector loans – the investment facility administered by the European Investment Bank.²⁴ ACP States are responsible for choosing which projects and programmes are brought to the European Community and the Community is responsible for deciding which projects and programmes receive funding. Non-state actors are also responsible for proposing and implementing programmes, and this is potentially where HFHI can have impact (see Figure 4 and articles 55-57 of the Cotonou Agreement, detailed below).

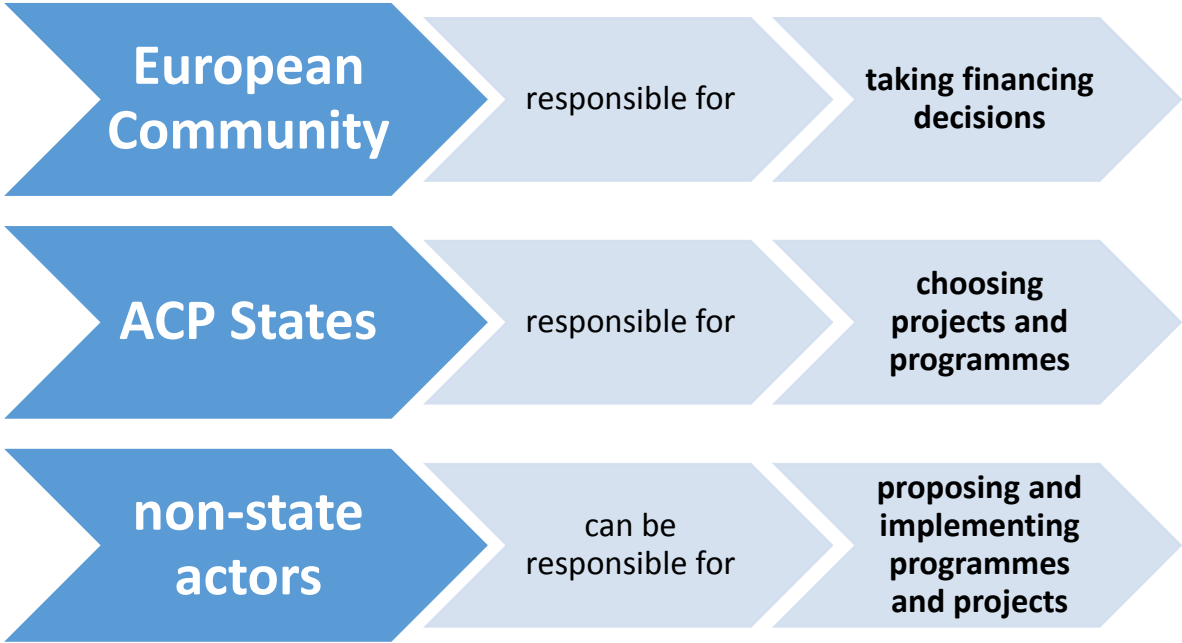


Figure 4: Decision pathways for EDF funding (graphical representation authors’ own)

Article 55 includes:

“The objectives of development finance cooperation shall be, through the provision of adequate financial resources and appropriate technical assistance, to support and promote the efforts of ACP States to achieve the objectives set out in this Agreement on the basis of mutual interest and in a spirit of interdependence.”

Article 56 includes:

“Development finance cooperation shall be implemented on the basis of and be consistent with the development objectives, strategies and priorities established by the ACP States, at both national and regional levels... In addition, cooperation shall:

- (a) promote local ownership at all levels of the development process;
- (b) reflect a partnership based on mutual rights and obligations;
- (c) emphasize the importance of predictability and security in resource flows, granted on highly concessional terms and on a continuous basis;
- (d) be flexible and appropriate to the situation in each ACP State as well as adapted to the specific nature of the project or programme concerned; and
- (e) ensure efficiency, coordination and consistency.”

Article 57 includes:

- “2. The ACP States shall be responsible for:
- (a) defining the objectives and priorities on which the indicative programmes are based;

²⁴ Ibid.

- (b) choosing projects and programmes;
- (c) preparing and presenting the dossiers of projects and programmes;
- (d) preparing, negotiating and concluding contracts;
- (e) implementing and managing projects and programmes; and
- (f) maintaining projects and programmes.

3. Without prejudice to the provisions above, eligible non-State actors may also be responsible for proposing and implementing programmes and projects in areas concerning them.

4. The ACP States and the Community shall be jointly responsible for:

- (a) establishing, within the joint institutions, the guidelines for development finance cooperation;
- (b) adopting the indicative programmes;
- (c) appraising projects and programmes;
- (d) ensuring equality of conditions for participation in invitations to tender and contracts;
- (e) monitoring and evaluating the effects and results of projects and programmes; and
- (f) ensuring the proper, prompt and efficient execution of projects and programmes.

5. The Community shall be responsible for taking financing decisions on projects and programmes.”

2.2.4 The work of HFHI

The EDF targets sectoral reform and the longer-term budget (7 years) allows for better project-based funding. The Cotonou Agreement states that development should happen primarily under the guidance of ACP States, be locally focused and owned, and be adaptive to the local environment, and makes specific reference to the appropriate contribution of non-states actors proposing and implementing development projects. The European Union cooperates with the ACP Group in setting the agenda for the EDF, but is not the primary initiator of projects and programmes, which are chosen by ACP States. Outside of renegotiations of the Cotonou Agreement itself, the [European] Community is responsible only for ‘financing decisions’ with funds coming directly from EU Member States. This means that HFHI advocating for and utilising funding from the EDF for poverty housing projects is in line with the basic structural tenets of the EDF, provided it is done through the government of the country of implementation and helps to achieve the goals of the EDF.

2.3 European Year for Development 2015

“The aim of the ‘European Year for Development 2015’ is to make as many citizens of the EU as possible understand and support the role of Union in addressing global challenges and providing development aid.”²⁵

Launched in the Latvian capital Riga, the designation of 2015 as the European Year for Development (EYD) is an indication of the importance of the year for the future direction of European development funding. Latvia holds the rotating Presidency of the Council of the European Union and the initiative originated in the country. 2015 is the first year designated with such a global theme, on external issues, since European years have been designated thematically (1983).²⁶ “An unprecedented number of

²⁵ “Officials adjust terrorism challenge to European Year for Development.” EurActiv. Accessed on February 16, 2015. <http://www.euractiv.com/sections/development-policy/officials-adjust-terrorism-challenge-european-year-development-311170>

²⁶ “European Year for Development 2015.” CONCORD. Accessed on February 17, 2015. <http://www.concordeurope.org/component/k2/item/393-eyd2015>

events²⁷ will focus on its 12 themes,²⁸ as listed in Figure 5, and its three key objectives (Figure 6). Citizens in all EU countries are expected to get involved with the help of youth and women's organisations, local authorities, and unions, although only around one in ten European citizens were aware of the initiative one year ago.²⁹ Events will be happening around the 12 themes, one example being 'Economic Development: What Everyone Needs to Know', organised in conjunction with the Warsaw office of the World Bank.³⁰ In order to get involved in the EYD 2015 and stay up-to-date with what is going on, stakeholders can visit <http://capacity4dev.ec.europa.eu/eyd2015/>.³¹ Analysis on the 12 themes is available at Devex.com at <https://www.devex.com/news/the-european-year-for-development-85222>.³²

January	Europe in the World
February	Education
March	Women and Girls
April	Health
May	Peace and Security
June	Sustainable Green Growth, Decent Jobs and Businesses
July	Children and Youth
August	Humanitarian Aid
September	Demography and Migration
October	Food Security
November	Sustainable Development and Climate Action
December	Human Rights and Governance

Figure 5: 12 themes of the European Year for Development 2015 (<https://www.devex.com/news/the-european-year-for-development-85222>)

²⁷ "About the Committee." European Economic and Social Committee

²⁸ "Details emerge about the European Year for Development 2015." EurActiv. Accessed on February 16, 2015. <http://www.euractiv.com/sections/development-policy/details-emerge-european-year-development-2015-310719>

²⁹ European Commission. "The European Year for Development – Citizens' Views on Development, Cooperation and Aid." Europa.eu. 2015. Accessed June 6, 2015. http://ec.europa.eu/public_opinion/archives/ebs/ebs_421_en.pdf

³⁰ "Economic Development: What Everyone Needs to Know." Europa.eu. Accessed June 6, 2015. <https://europa.eu/eyd2015/en/poland/events/economic-development-lecture-economic-university-warsaw>

³¹ "Public Group: European Year for Development 2015 Stakeholders." Capacity4dev.eu. Accessed June 7, 2015. <http://capacity4dev.ec.europa.eu/eyd2015/>

³² De Vos, Manola. "The European Year for Development." Devex.com. January 12, 2015. Accessed June 7, 2015. <https://www.devex.com/news/the-european-year-for-development-85222>



Figure 6: Three key goals of European Year for Development 2015 (graphical representation authors' own)

"The European year is an opportunity to have a conversation about development and issues of global justice with a broader public."

– Seamus Jeffreson, CONCORD Director³³

The key calendar event for EYD 2015 was the European Development Days 2015 event held in Brussels at the beginning of June. According to Devex.com, there were three key themes which emerged from the conference. European Commission President Jean-Claude Juncker and European Parliament President Martin Schultz reiterated the importance of the commitment of 0.7% of GDP to aid, Melinda Gates laid out her concerns for the formulation of the SDGs (explained below) and migration was a forefront issue, being a current policy hot topic.³⁴ Devex Associate Editor Richard Jones highlighted a focus on the Financing for Development Conference in Addis Ababa in July, with a focus on “moving beyond official development assistance towards the blending of aid... and the need for more innovative partnerships”.³⁵ Private sector engagement is rising to prominence as a development tool. The growth of the private sector in development aid is forcing a rethink of the role of non-private, non-state actors.

2.4 The Sustainable Development Goals and the EU post-2015 agenda

There is no sustainability without development and there is no development without sustainability.

– Benedek Jávor, MEP for The Greens/European Free Alliance³⁶

³³ “NGOs tell Juncker and Mogherini European Year for Development 2015 is not just about aid.” CONCORD. Accessed February 17, 2015. <http://www.concordeurope.org/news-room/item/397-ngos-tell-juncker-and-mogherini-european-year-for-development-2015-is-not-just-about-aid>

³⁴ Jones, Richard, and Adva Saldinger. "The Buzz from European Development Days 2015." Devex.com. June 4, 2015. Accessed June 7, 2015. <https://www.devex.com/news/the-buzz-from-european-development-days-2015-86298>

³⁵ Ibid.

³⁶ "Committee on Development and Committee on the Environment, Public Health and Food Safety - Meeting 22/06/2015."

The development priorities of the European Union have, for the past 15 years, been based on the Millennium Development Goals (MDGs) formulated by the United Nations. When the so-called Sustainable Development Goals (SDGs) come into effect to replace them from 2016, the EU will continue in this vein, as indicated in the February communication from the European Commission to the Council, European Parliament, EESC and Committee of the Regions.³⁷ Though this is the case, a number of groups try to influence EU thinking and, along with the EYD, encourage the EU to look inwardly at its development policy.

The SDGs are to be “limited in number, aspirational, global in nature and universally applicable to all countries”.³⁸ At European Development Days, Melinda Gates highlighted that finalising the SDGs requires (a) agreeing on the rights targets, (b) ensuring we can finance them, and (c) involving local communities.³⁹ The United Nations has noted as concerns the specific challenges of certain groups which affected their ability to achieve the MDGs, including small island nations, humanitarian emergencies and areas affected by terrorism or foreign occupation, and middle income countries, though the least-developed countries retain a special focus.⁴⁰ In terms of the goals themselves:

*We resolve to target in particular the most off-track Millennium Development Goals and those where progress has stalled, including the Goals relating to poverty and hunger, universal access to primary education, child mortality, universal access to reproductive health, including maternal health, environmental sustainability and access to water and sanitation.*⁴¹

Klaus Rudischhauser, Deputy Director-General Policy and Thematic Coordination at DG DEVCO, announced to the Policy Forum on Development that the EU Member States have endorsed a vision that pursues five generalized goals which, by the 4th EU-Africa Summit in 2014, had become:

1. Peace and Security
2. Democracy, Good Governance and Human Rights
3. Human development
4. Sustainable and inclusive development and growth and continental integration
5. Global and emerging issues

2.4.1 SDG #11

The introduction of SDGs has been planned since the UN ‘Rio+20’ Conference in 2012. 17 key goals/thematic areas have been settled on. Of the most interest to HFHI is SDG #11. There are 10 draft targets for SDG #11 (with final version to be announced around September 2015) as listed in Figure 11.⁴²

³⁷ European Commission. "A Global Partnership for Poverty Eradication and Sustainable Development after 2015."

³⁸ "The Future We Want - Rio 20." Sustainable Development Knowledge Platform. Accessed June 8, 2015. <https://sustainabledevelopment.un.org/index.php?menu=1481>

³⁹ "The Buzz from European Development Days 2015." Devex.com

⁴⁰ *Outcome Document of the Special Event to Follow up Efforts Made towards Achieving the Millennium Development Goals*. United Nations, 2013.

http://www.un.org/ga/search/view_doc.asp?symbol=A/68/L.4&Lang=E

⁴¹ Ibid.

⁴² "Open Working Group proposal for Sustainable Development Goals." Sustainable Development Knowledge Platform. Accessed February 22, 2015. <https://sustainabledevelopment.un.org/focussdgs.html>

“SDG #11: Make cities and human settlements inclusive, safe, resilient and sustainable”⁴³

2.4.2 Integration and coordination key post-2015

In the conversations around the SDGs, integration is the buzzword, going beyond integrated targets and addressing policies, mechanisms and institutions. An interesting analysis of the full range of SDGs was carried out by the UN Division for Sustainable Development. The paper finds, using network analysis, that there is a high level of inter-connectedness between the SDGs and, provided they remain as they are, this paves the way for integrated policies which can be aimed to helping to achieve multiple SDGs at once.⁴⁴ As a whole, the SDGs are expected to “promote peace and security, democratic governance, the rule of law, gender equality and human rights for all”.⁴⁵ The inter-relatedness of the individual targets of each goal is mapped in Figure 12 and the aggregated links between goals in Figure 13 which, at a glance, shows that SDG #11 appears to be highly linked to other goals. After a closer look, one can see that a link is not displayed between SDG #11 and the issues of gender, energy or infrastructure and industrialization.⁴⁶ This would suggest that there are further links which did not appear through the network analysis (which was based on the text of the SDG draft proposal). With this in mind, a strong case is there for poverty housing to be a prominent development tool post-2015 under SDG #11 due to its integrated nature.

11.1	By 2030, ensure access for all to adequate, safe and affordable housing and basic services, and upgrade slums
11.2	By 2030, provide access to safe, affordable, accessible and sustainable transport systems for all, improving road safety, notably by expanding public transport, with special attention to the needs of those in vulnerable situations, women, children, persons with disabilities and older persons
11.3	By 2030 enhance inclusive and sustainable urbanization and capacities for participatory, integrated and sustainable human settlement planning and management in all countries
11.4	Strengthen efforts to protect and safeguard the world’s cultural and natural heritage
11.5	By 2030 significantly reduce the number of deaths and the number of affected people and decrease by y% the economic losses relative to GDP caused by disasters, including water-related disasters, with the focus on protecting the poor and people in vulnerable situations
11.6	By 2030, reduce the adverse per capita environmental impact of cities, including by paying special attention to air quality, municipal and other waste management
11.7	By 2030, provide universal access to safe, inclusive and accessible, green and public spaces, particularly for women and children, older persons and persons with disabilities

⁴³ “Open Working Group proposal for Sustainable Development Goals.” Sustainable Development Knowledge Platform. Accessed February 22, 2015. <https://sustainabledevelopment.un.org/sdgsproposal>

⁴⁴ Le Blanc, David. *Issue 4: Towards Integration at Last? The Sustainable Development Goals as a Network of Targets*. UN Division for Sustainable Development, Rio+20 working papers, 2014. <https://docs.google.com/gview?url=http://sustainabledevelopment.un.org/content/documents/1613SDGs%20as%20a%20network%20of%20targets%20Rio20%20working%20papers%20.pdf&embedded=true>

⁴⁵ Le Blanc. *Issue 4: Towards Integration at Last?*

⁴⁶ Ibid.

11.a	Support positive economic, social and environmental links between urban, peri-urban and rural areas by strengthening national and regional development planning
11.b	By 2020, increase by x% the number of cities and human settlements adopting and implementing integrated policies and plans towards inclusion, resource efficiency, mitigation and adaptation to climate change, resilience to disasters, develop and implement in line with the forthcoming Hyogo Framework holistic disaster risk management at all levels
11.c	Support least developed countries, including through financial and technical assistance, for sustainable and resilient buildings utilizing local materials

Figure 7: Draft targets of proposed SDG #11

Amina J. Mohammed, the UN Secretary-General Special Adviser on Post-2015 Development Planning, reported to the European Committee on Development that the post-2015 agenda was signaling a new approach to development which was challenging the assumptions of the MDGs. She cited infrastructure as an example of an area which was now being considered as a central, measurable development criterion, rather than something peripheral.⁴⁷ Again, the power of infrastructure to have a triumvirate of economic, environmental and social effects was the reason for this thinking. The challenge for negotiators of the SDGs was to rise above simply having shared targets, but also developing integrated regional policies pursuant to the SDGs.⁴⁸ Part of this would include a universally applicable and rigorous review process which will evaluate the effectiveness of development projects in achieving their goals, currently available in working document form.⁴⁹ At the same meeting, Klaus Rudischhauser stressed the aim to include middle- and upper-income nations in SDG provision, rather than simply having a “north paying for the south” archetype.⁵⁰

A useful summary of the meeting between The Development and Environment Committees of the European Parliament can be found on the website of development economist Simon Maxwell, who was present, at: <http://www.simonmaxwell.eu/blog/a-challenge-on-the-sdgs.html>.

⁴⁷ "Committee on Development and Committee on the Environment, Public Health and Food Safety - Meeting 22/06/2015."

⁴⁸ Ibid.

⁴⁹ Council of the European Union. "Launching the EU International Cooperation and Development Results Framework." Europa.eu. March 27, 2015. Accessed June 17, 2015.

<http://data.consilium.europa.eu/doc/document/ST-7604-2015-INIT/en/pdf>

⁵⁰ Ibid.

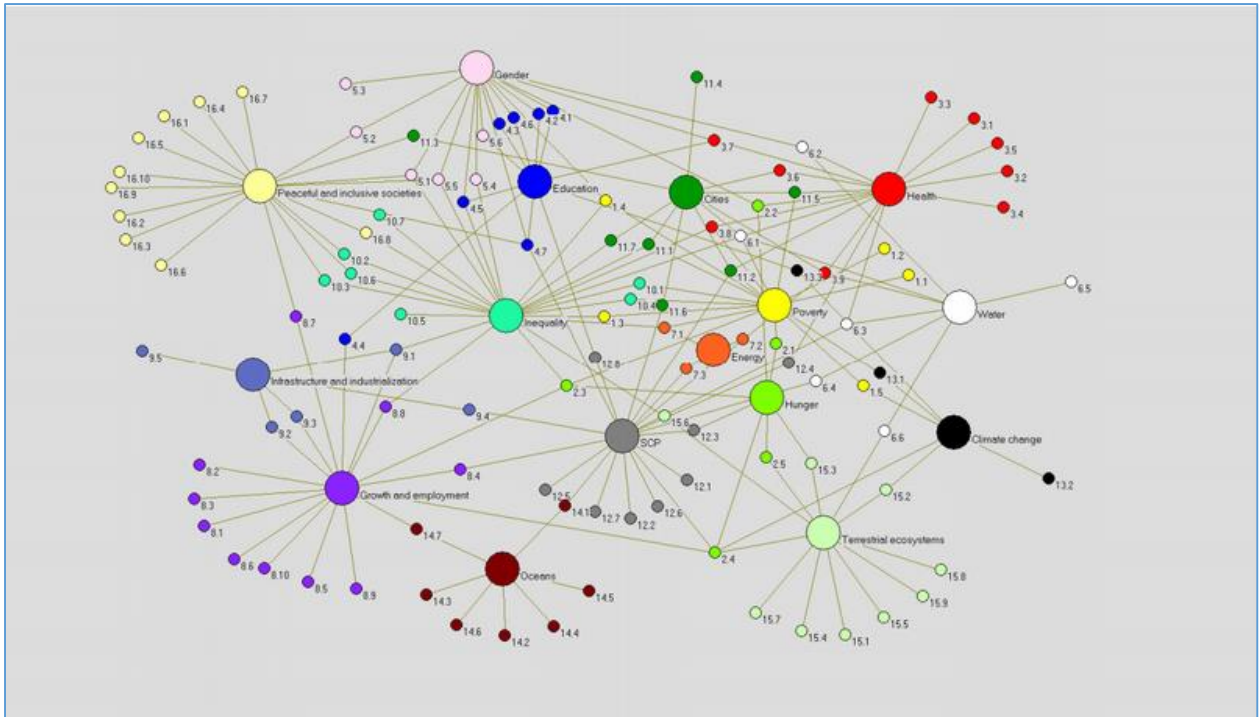


Figure 8: Network visualisation of individual targets of SDGs
<https://docs.google.com/gview?url=http://sustainabledevelopment.un.org/content/documents/1613SDGs%20as%20a%20network%20of%20targets%20Rio%20working%20papers%20.pdf&embedded=true>

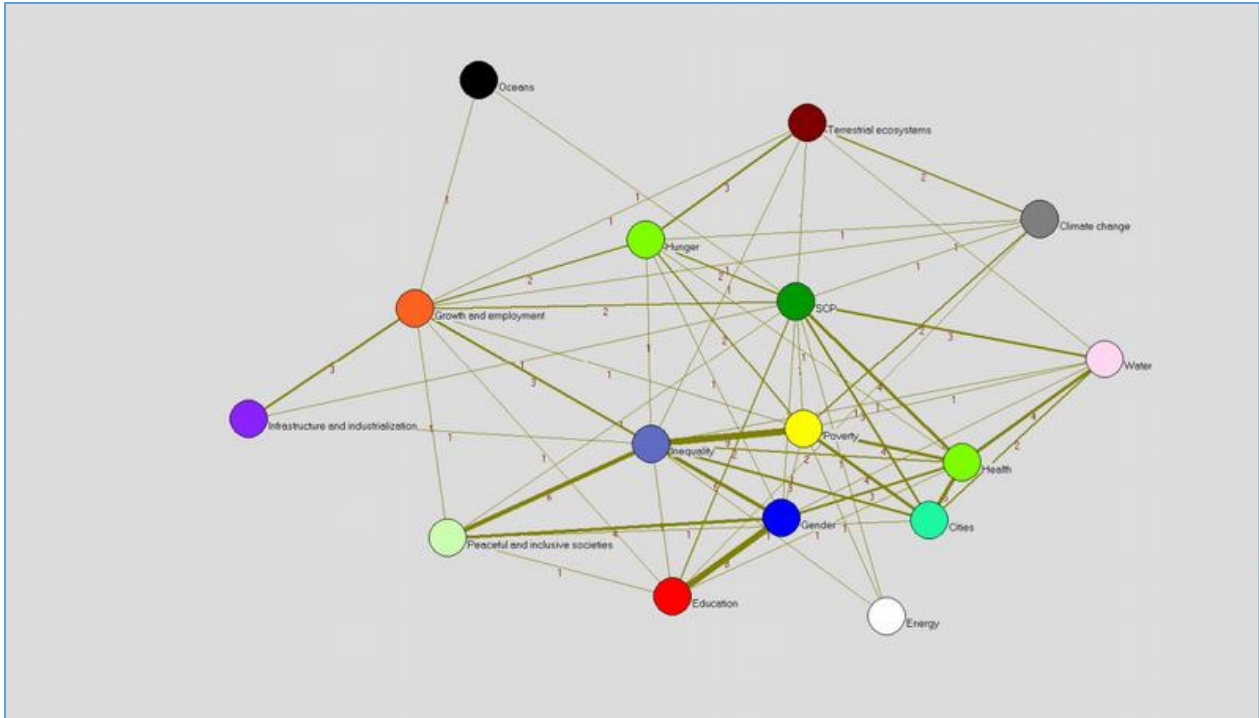


Figure 9: Network visualisation of aggregate links between SDGs
<https://docs.google.com/gview?url=http://sustainabledevelopment.un.org/content/documents/1613SDGs%20as%20a%20network%20of%20targets%20Rio%20working%20papers%20.pdf&embedded=true>

The EESC is “a consultative body that gives representatives of Europe's socio-occupational interest groups and others, a formal platform to express their points of views on EU issues. Its opinions are

forwarded to the Council, the European Commission and the European Parliament.”⁵¹ The External Relations Section works with “economic and social interest groups in a number of non-member countries and groups of countries, including Mediterranean countries, the ACP countries, Eastern Europe, candidate countries, Latin America, India, China, etc.”⁵² The ERS can submit joint proposals with external actors and, as can be found under the tag ‘European Year for Development and Cooperation 2015’ on their website, the EESC is holding a number of consultative initiatives as part of EYD 2015.⁵³ Of note is the ongoing forming of the official EESC opinion, ‘Financing for development – the position of civil society’.⁵⁴ In 2013, the EESC advocated for greater inclusion for civil society in the EYD 2015, giving rise to the idea of multi-stakeholder arrangements which would involve multiple parties as beneficiaries and implementers in designing projects.⁵⁵

The Directorate-General for International Cooperation and Development (DG DEVCO) acts as the captain of the EU’s development ship. It is “responsible for designing European international cooperation and development policy and delivering aid throughout the world,”⁵⁶ including ensuring that aid is implemented effectively and as it was originally intended as per the Directorate-General’s vision. The annual report for 2014 highlighted the importance of 2015, mentioning again the push to involve the private sector in development and better coordinate policies around an over-arching rights-based approach.⁵⁷

⁵¹ “About the Committee.” European Economic and Social Committee. Accessed on February 21, 2015.

<http://www.eesc.europa.eu/?i=portal.en.about-the-committee>

⁵² Ibid.

⁵³ “Tags Page.” European Economic and Social Committee. Accessed June 6, 2015.

<http://www.eesc.europa.eu/?i=portal.en.tags&t=European%Year%for%Development%and%Cooperation%2015>

⁵⁴ “Financing for Development – the Position of Civil Society.” European Economic and Social Committee.

Accessed June 6, 2015. <http://www.eesc.europa.eu/?i=portal.en.rex-opinions.34907>

⁵⁵ *Opinion of the European Economic and Social Committee on the European Year of Development (2015)*. Brussels: European Economic and Social Committee, 2013.

⁵⁶ “About International Cooperation and Development - DG DEVCO.” European Commission. Accessed February 18, 2015. https://ec.europa.eu/europeaid/general_en

⁵⁷ *Annual Report 2014: On the European Union’s Development and External Assistance Policies and Their Implementation in 2013*. Luxembourg: Publications Office of the European Union, 2014.

https://ec.europa.eu/europeaid/sites/devco/files/annual-report-2014-eu-development-external-assistance-policies-implementation-in-2013_en.pdf

2.5 European citizens

A Special Eurobarometer survey commissioned in 2015 by the European Commission and DG DEVCO – EuropeAid reported on the views of European citizens on development aid. A majority of Europeans lack substantive knowledge about EU aid programmes despite numerous sources of information, as Figure 7 and Figure 9 show. Figure 8 shows that water and sanitation is ranked fourth out of 17 priorities with 30% of respondents highlighting the issue and Figure 10 shows that European citizens consider having access to drinking water, sanitation and energy hugely important for leading a life in decent conditions. Only 6% of Europeans know what the MDGs are.^{58 59}

QB11. How much do you feel you know about where EU development aid goes? Would you say that you know...?

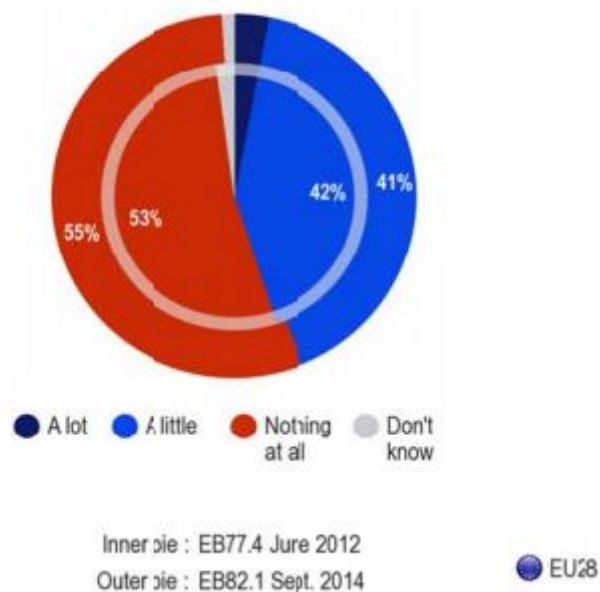
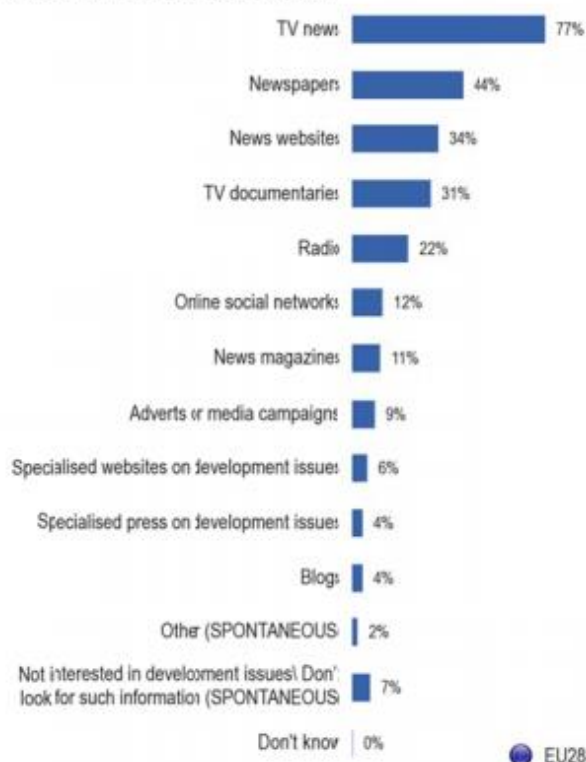


Figure 10: European citizens' awareness of EU development aid (http://ec.europa.eu/public_opinion/archives/ebs/ebs_421_en.pdf)

⁵⁸ "European Year for Development 2015." Europarl. July 18, 2014. Accessed June 7, 2015. <http://www.europarl.europa.eu/document/activities/cont/201407/20140729ATT87382/20140729ATT87382E N.pdf>

⁵⁹ "Resolution on the European Year for Development 2015." European Movement International. December 1, 2014. Accessed June 7, 2015. <http://europeanmovement.eu/wp-content/uploads/2014/12/FA-2014-013---Resolution-on-the-European-Year-of-Development-2015.pdf>

QB12. From which sources do you get information related to development issues? (MULTIPLE ANSWERS POSSIBLE)



QB3. Which of the following challenges do you consider as the most pressing for the future of developing countries? (MAX. 3 ANSWERS)

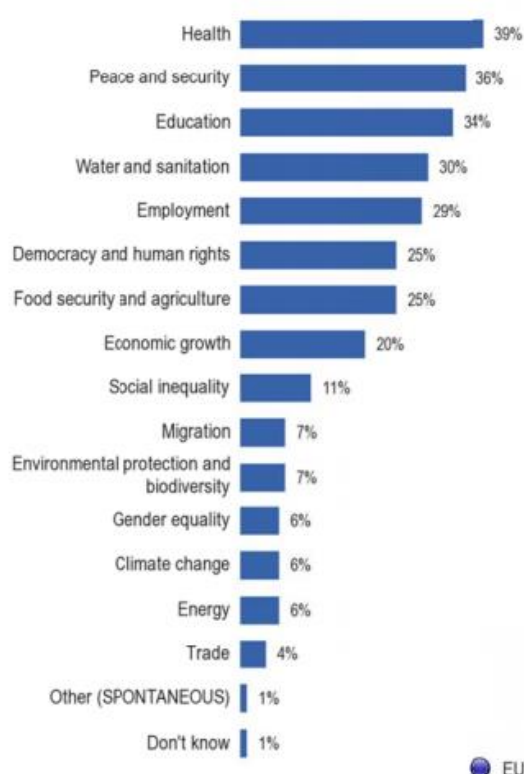


Figure 11: European citizens' information sources regarding EU aid (http://ec.europa.eu/public_opinion/archives/ebs/ebs_421_en.pdf)

Figure 12: European citizens' view on pressing development issues (http://ec.europa.eu/public_opinion/archives/ebs/ebs_421_en.pdf)

QB8. Which of the following elements do you consider to be the most important ones for leading a life in decent conditions? (MAX. 5 ANSWERS)

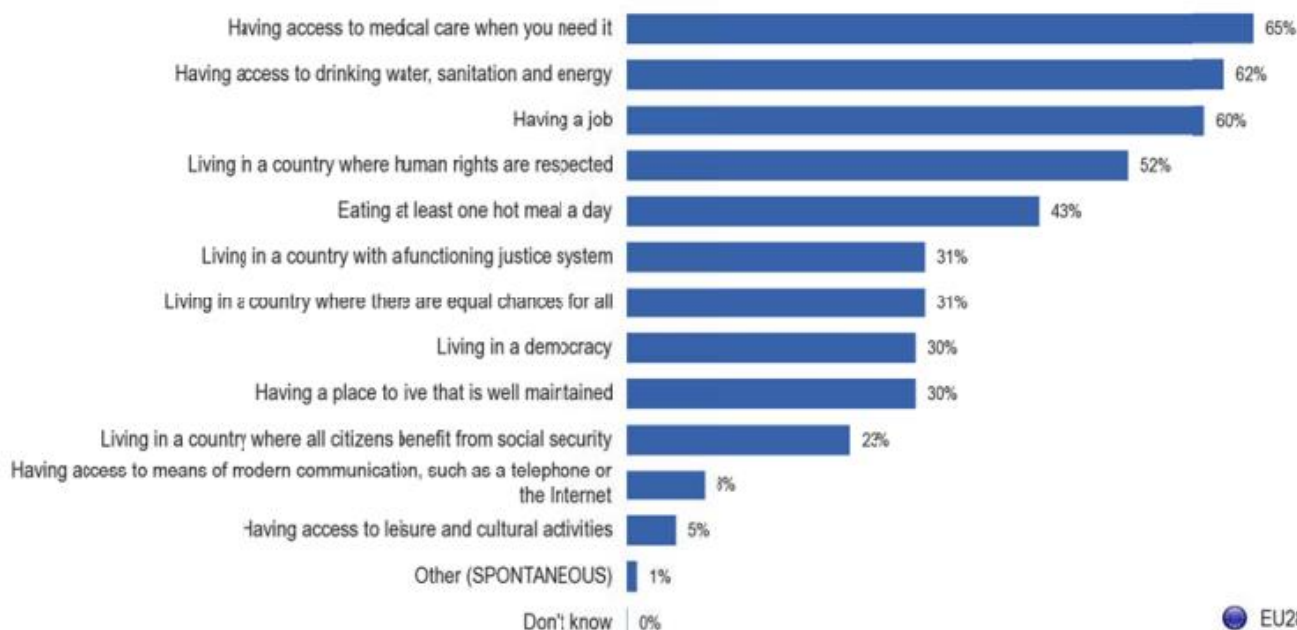


Figure 13: European citizens' opinion on leading a life in decent conditions
(http://ec.europa.eu/public_opinion/archives/ebs/ebs_421_en.pdf)

Strategy implications

The communications of the European Commission set out the post-2015 policy direction of the European Union. A clear hierarchy of responsibility will be pursued, with strong over-arching cooperation on agenda-setting at the highest political levels underpinned by national responsibility for individual states around funding and implementation. A 'global partnership' key focus was something also mentioned by the United Nations regarding their post-2015 development agenda.⁶⁰

The Cotonou Agreement will likely be continued in much the same form post-2020 and the current iteration of the EDF will be mirrored by increasing political cooperation on development issues within ACP Group. The incoming SDGs will fulfill the same role as the MDGs, providing tangible targets for global development.

The EYD 2015 is providing an opportunity for reformulation of development as a concept. Private sector engagement is moving to the forefront of development discussions as 'doing more with less' becomes a focus. In the words of Klaus Rudischhauser, development projects should really provide "seed money to drive processes, to promote reform and to assist the country in implementing those reforms".⁶¹ Currently, there is a debate happening around the allocation of awareness-raising funds available from the European Commission for NGOs from the EU-13 (the European Union's 13 newest member states) who feel they do not get equal access to such funds.⁶²

There are some areas which, from carrying out this research, appear to be conceptually under-developed at the European political level. SDG #11 establishes a strong reference to "cities and human settlements"⁶³ but references to such issues are largely absent from available material from EU institutions and peripheral organisations and reports. Just one example of this happening is the Special Eurobarometer survey by the European Commission and DG DEVCO – EuropeAid, which questions European citizens on 17 development issues, many of which are linked to and can be affected by poverty housing, but none of which is a direct reference. The United Nations report on multi-stakeholder partnerships in development also neglects the issue.⁶⁴ Finally, although civil society input is on the radar of the EESC, what 'civil society' means is ill-defined. Non-state actors often appear to be thought of as "business, etc." or a mix of aid organisations and localized advocacy groups. With the private sector becoming more involved in leading the future of development, it is up to non-state, non-private organisations to restate their mission as distinct and vital. Addressing the Policy Forum on Development, Klaus Rudischhauser of DG DEVCO pointed to civil society's continued importance in holding authorities to account and ensuring the most vulnerable and marginalized are not left behind.

⁶⁰ *Outcome Document of the Special Event to Follow up Efforts Made towards Achieving the Millennium Development Goals*. United Nations

⁶¹ "Klaus Rudischhauser on EU Development Aid: Where to and What For?" YouTube - European Centre for Development Policy Management. May 31, 2013. Accessed June 17, 2015. <https://www.youtube.com/watch?v=5jz302QBPzE>

⁶² Kramers, Diederik. "EU-13 NGOs Want to Raise Awareness, but Struggle with Brussels Financing." Devex.com. February 26, 2015. Accessed June 7, 2015. <https://www.devex.com/news/eu-13-ngos-want-to-raise-awareness-but-struggle-with-brussels-financing-85570>

⁶³ "Open Working Group proposal for Sustainable Development Goals." Sustainable Development Knowledge Platform

⁶⁴ *Sustainable Development in Action: Special Report on Voluntary Multi-Stakeholder Partnerships and Commitments for Sustainable Development*. United Nations Department of Economic and Social Affairs, 2015. <https://docs.google.com/gview?url=http://sustainabledevelopment.un.org/content/documents/1855SD%20in%20Action%20Report%202015.pdf&embedded=true>

He also suggested that civil society organisations will have to work on maintaining and developing transparency in their own operations.⁶⁵

Communication was highlighted by Amina J. Mohammed at the European Committee on Development, with regard to building a notion of what sustainable development is throughout the world and encouraging people to feel a sense of connection to it.⁶⁶ Although enthusiastic about supporting development, what European development aid actually constitutes is essentially unknown to the average European citizen. The European Think Tanks Group points to the need for “groups of policies” which tackle a wide range of issues.⁶⁷ Poverty housing policy has a profound effect on the issues that were mentioned in the group’s report and can be framed as a ‘catch-all’ policy option due to its potential to affect a number of development priorities. With these impediments in mind, one key task for HFHI is likely to be formulating and identifying mission, role and relevance for its message by (a) highlighting the primacy of improving poverty housing as an aid tool, (b) highlighting the, unique and valuable role of HFHI and similar organisations, distinct from business, other aid organisations and local advocacy groups, and (c) promoting the work and message of HFHI to ordinary citizens – most effectively achieved through TV news programmes and other official news outlets.

⁶⁵ Rudischhauser. "Opening Session: Civil Society and Local Authorities in the Post-2015 Framework."

⁶⁶ "Committee on Development and Committee on the Environment, Public Health and Food Safety - Meeting 22/06/2015."

⁶⁷ *Our Collective Interest: Why Europe's Problems Need Global Solutions and Global Problems Need European Action*. European Think Tanks Group, 2014

Conclusion – Enhanced EU support for slum upgrading post-2015

Looking at European policy discussions, it can be seen that policymakers have not yet given slum upgrading proper attention in this regard in the conception of the post-2015 agenda, despite the promising inclusion of urban issues in SDG #11. However, when looking at Sections 1 and 2 of this report together, a clear connection can be seen between the loci of the EU's post-2015 development policy agenda and slum upgrading as a policy tool. The opinion polls of the recent Eurobarometer survey show that the European populace is clearly willing to get behind a robust approach to development, both on a personal level and through national governments acting on their behalf⁶⁸ and there are other encouraging signs that slum upgrading can become a more prominent aspect of development.

Over and above the individual goals of the SDGs, the need for more integrated approach to development is a huge focus of debate at the moment. The specific targets of the SDGs are drawing on the MDGs which came before, but the bigger policy change is coming from the pursuit of a more sophisticated approach to deciding which projects are the most effective and evaluating such projects. Universality and 'doing less with more' means finding projects which engage multiple stakeholders in formulation and work towards multiple targets in implementation, and which are replicable in implementation and evaluation across many contexts. There is an enormously strong case to be made for slum upgrading and land tenure in all of these considerations, especially considering the content of SDG #11.

Despite direct references from policymakers being few and far between, SDG #11 refers directly to slum upgrading in the first of its 10 draft targets and its other targets describe many of the potential benefits of secure land tenure and slum upgrading, in areas such as disease, sanitation, waste management and migration.

Although policymakers behind the SDGs are striving towards a universal and therefore international focus for the SDGs, the existing funding mechanisms of the Cotonou Agreement strongly rely on individual national governments approving development programmes both on the funding and implementation side. As detailed in Section 1, national governments are not always open to programmes of slum upgrading or improved land tenure. This highlights the need for policymakers to work closely with national governments on the issue of poverty housing where such governments are amenable, in order to establish slum upgrading and improved land tenure is legitimate and effectiveness policy tools. Only when this can be established can pressure be brought to bear on governments at an international level for these policies to be pursued.

In summary, the policy direction and priorities post-2015 along with the institutional and financial framework in place point to significant potential for enhanced awareness of slum upgrading and improved tenure among policymakers. In turn, this will lead to greater EU support of related slum-related projects within urban development.

⁶⁸ "The European Year for Development – Citizens' Views on Development, Cooperation and Aid."
http://ec.europa.eu/public_opinion/archives/ebs/ebs_421_en.pdf

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Notable Figures

Name	Position	Notes
Dr. Patrick Ignatius Gomes	Secretary-General of the ACP Group	<ul style="list-style-type: none"> • In position 2015-2020 • From Guyana • Has represented Guyana at the WTO and UNFAO
Henrique Banze	Assistant Secretary General – Macroeconomics, Development Finance and Intra-ACP Programming	<ul style="list-style-type: none"> • From Mozambique • Has contributed to the formulation of the EDF since its 8th iteration
Viwanou Gnassounou	Assistant Secretary General – Sustainable Economic Development and Trade	<ul style="list-style-type: none"> • From Togo • Economist and project manager
Georges Maniuri	Assistant Secretary General – Administration, Finance and Human Resources	<ul style="list-style-type: none"> • From Vanuatu • Held various public roles in economic development, international cooperation and industry
Neven Mimica	European Commissioner for International Cooperation & Development (2014-2019)	Responsibilities include: ⁶⁹ <ul style="list-style-type: none"> • Ensuring the EU delivers on its commitments to the MDGs • Setting out the Commission and EU positions for the negotiations on the post-2015 agenda • Working with national governments to make the EU's aid more effective

⁶⁹ "Neven Mimica." European Commission. Accessed February 19, 2015.
http://ec.europa.eu/commission/2014-2019/mimica_en

		<ul style="list-style-type: none"> • Launching negotiations on a revised Cotonou agreement with the ACP Group
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Klaus Rudischhauser	Deputy Director-General Policy and Thematic Coordination, DG DEVCO	<ul style="list-style-type: none"> • Support to Director-General on overarching policy
Marcus Cornaro	Deputy Director-General Geographic Coordination, DG DEVCO	<ul style="list-style-type: none"> • Support to Director-General on coordination.
Amina J. Mohammed	UN Secretary-General Special Adviser on Post-2015 Development Planning	<ul style="list-style-type: none"> • Reports to Ban Ki-Moon • Oversight of SDG formation
Simon Maxwell	Development Economist	<ul style="list-style-type: none"> • Present at the European Committee on Development meeting

⁷⁰ "European Commission > International Cooperation and Development > Mission statement." European Commission. Accessed February 21, 2015. https://ec.europa.eu/europeaid/mission-statement_en