



THE REPUBLIC OF UGANDA

NATIONAL SLUM UPGRADING STRATEGY AND ACTION PLAN



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THE REPUBLIC OF UGANDA

**A SITUATION ANALYSIS OF SLUMS IN UGANDA
AND
NATIONAL SLUM UPGRADING STRATEGY
AND ACTION PLAN**

**DEPARTMENT OF HUMAN SETTLEMENTS
MINISTRY OF LANDS, HOUSING AND URBAN DEVELOPMENT
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FOREWORD

Uganda with other UN member states adopted the Millennium Development Goals (MDGs) in the year 2000. The MDGs address essential dimensions of poverty and their effects on people's lives; they thus call for coordinated policies and actions related to slum-upgrading; environmental sustainability; eradication of extreme poverty and hunger; achieving universal primary education; promoting gender equity; reduction in child mortality ratio; fight HIV/AIDS, malaria and TB and developing a global partnership for development.

The Millennium Development Goal 7, target 11 articulates the commitment of member states to improve the lives of at least 100 million slum dwellers by the year 2020. It is a response to one of the most pressing challenge of the millennium, dealing with people living in the most depressed physical conditions in the world's urban areas.

Uganda's urban population is estimated at 5 million people (2009) of which 60% live in slums; *Uganda is targeting to uplift the lives of at least one million people by the year 2020 through implementing the developed slum upgrading strategy and action plan.* This localization of the goal is in direct recognition that slums are a development challenge which must be addressed to create harmony in our societies. This therefore calls for coordinated policies and actions related to slum-upgrading, environmental management, infrastructure development, service delivery and poverty-reduction at large.

Uganda's Slum Upgrading Strategy and Action Plan has been developed to provide a framework, direction and plan to all stakeholders including Local Governments, Urban Authorities, NGO's, CBO's etc, so that each stakeholder can individually contribute towards achieving the above national target by participating in developing and implementing activities and initiatives highlighted in this report.

On behalf of the entire staff of the Ministry of Lands, Housing and Urban development, the government of Uganda and on my own behalf, I wish to thank UNDP for funding this initiative and facilitating us to participate in the implementation of MDG's and our UN commitments. In the same manner, I wish to thank the project implementation taskforce, our partners - Ministry of Finance, Planning and Economic development, Ministry of Local Government, and all stakeholders that participated in the generation of vital information that has made the Development of the Slum Upgrading strategy Possible.

I therefore call upon all Ugandans, national and international stakeholders, local governments and donors to actively participate in the implementation of this initiative that will lead to a change in the living conditions and environment of our people.

"For God and My Country"

.....
Hon, Michael Kafabusa Werikhe
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EXECUTIVE SUMMARY

The National Slum Upgrading Strategy is designed as a direct response to Target eleven of MDG 7 which recognizes that slums are a development issue, which needs to be faced and this calls for coordinated policies and actions related to slum-upgrading. First, the growth of slums needs to be slowed down and eventually stopped through legal and land market reforms (in part to provide security of tenure) and revamping planning and zoning regulations and building codes to make housing more affordable. Second, there is need to adopt preventive strategies which are about managing the surge of urbanization and forestalling the challenges of the brutal urban poverty typified in slums.

Uganda is among the top 10 countries with the highest fertility rates and the third highest rate of natural population increase in the world. The number of urban centres in Uganda has increased exponentially over the past three decades. Uganda has one city, 13 municipalities, 95 towns and 76 town boards. The extension of boundaries of existing urban centres and gazettement of new urban centres; especially with the creation of new districts, has led to the high urbanization rate in many of the gazetted urban areas. Approximately 2,921,981 million people (12 percent of the country's 2002 population) live in these centres. The rapid urbanization however, has not been matched with capacity to plan and manage the urban growth. The growth of slums has become a natural indicator of the country's urbanization process.

According to Uganda Bureau of Statistics, a stable macroeconomic environment, sustained high population growth rates and huge dividends from the liberalization policy have translated into impressive poverty reduction during the 1990s and the early 2000s. Income-poverty headcount fell from 56% in 1992/93 to 34% in 1999/2000 and then rose to 38% in 2002/03 but declined again to 31 % in 2005/06. However the incidence of income poverty in urban areas rose from 9.6% in 2000 to 12.2% in 2006, and the poverty levels remained the same over the two survey years at 14% (MFPED 2005, UBoS 2006), and poverty is a major driver of slum development in Uganda.

The population dynamics manifested in urban population growth and rural to urban migration are by far the most significant driving forces of urban expansion. In most Ugandan towns, it was simply not foreseen that migration could result in rapid growth and result in unplanned response to the demand for low cost housing by ordinary people. It is important to focus on what drive the people from the rural areas to urban settlements. Rural urban migration is unstoppable, is not bad and should be well managed. Failure to place emphasis on rural-urban linkages, overlooking the dynamics and importance of the developmental linkages between the two yet they are inter-dependent and should be addressed.

The complexity of land tenure systems in urban areas in Uganda is also problematic. More than 50% of Uganda's urban population lives in informal unplanned settlements on land owned by other people or the government. Not only are tenure systems complicated and multiple where they are formal, but they are also traces of customary ownership, rules and practices in urban. Most of the existing irregular development and poor environmental health is influenced by the land tenure. The land tenure law that vests ownership of land to the citizens of Uganda perpetuates poor urban land

management practices. Proper land use planning, mapping and surveying are made more difficult by the provisions of the national constitution that empower citizen's ownership of land in various forms.

According to the UNHS 2006, nationally more than 70% of the dwelling units are built out of temporary building materials that cannot maintain their stability for more than three years and urban areas account for 27% of these. Most of the slum houses are predominantly single-roomed commonly known as “*muzigo*”, a local description of a tenement. Housing has been left to market forces which don't favour massive investment in affordable shelter. The formal private sector has responded to the needs of the high and middle income earners leaving the low income earners and the poor to be catered for by the informal sector.

In addition, the growth and expansion of urban centres are associated with lack of infrastructure, social services which has led to environmental problems. Other factors driving the growth of slums include; decentralization especially of the function of physical planning which caught the local governments unprepared as such they have failed to cope with the challenges of rapid urbanization basically caused by the rapid population growth and lack of decentralisation of the housing sector. High urbanization is taking place in a haphazard manner with virtually no control to guide and regulate the process.

This National Slum Upgrading Strategy is about taking key steps to manage and guide the process of urbanization so that so many people do not unjustly suffer from inadequacies in the most basic of human requirements – such as water, sanitation, shelter, health and education. The key to reaping from the proposals contained in the strategy is political will to recognize the nature and scale of the challenge, and to firmly commit to justly dealing with the needs of slum residents and this requires a sincere and long term commitment. It is important to remember that slums do not form only due to problems of poverty or affordability on the part of communities or governments; they often form due to lack of political will, bad policy and inadequate planning.

This National Slum Upgrading Strategy's main thrust is turning around the current status quo by ensuring that slum upgrading or improvement efforts are integrated into national policies, legislation, programmes and plans to enable their implementation. Slum Upgrading should be part of the broader national development plans and as such it should be treated as part not “special aspect” (often a poor cousin) of medium term and long-term planning and development goal. It has to be steadily and explicitly integrated into government-oriented programmes on the basis of objectives and principles articulated in this strategy, within the national planning framework of the Poverty Eradication Action Plan (PEAP) and the National Development Plan (NDP).

This Situation Analysis, National Slum Upgrading Strategy and Action Plan is authored by:

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For: Disect Consultancy Limited

1. INTRODUCTION

Uganda is experiencing a high rate of urbanisation exceeding 5% per annum. This is attributed to the high rural urban migration rate, the high natural population growth in urban areas, extension of the boundaries of urban centres and uncontrolled growth and expansion of trading centres over time. Due to inadequacies in planning, management and provision of basic urban infrastructure and services in the face the high urbanisation rates, the urbanisation process is taking place in a haphazard manner with no control and regulation. The growth of slums has become a natural indicator of the process of the country's urbanisation. It is essential that at least 60 percent of the urban population lives in slums.

In view of Governments commitment to upgrading of slums and ensuring the attainment of Millennium Development Goal 7 on environmental sustainability specifically target 11, which is devoted to registering significant improvement in the lives of at least 100 million slum dwellers by 2020, the Ministry of Lands, Housing and Urban Development, commissioned a consultancy to establish the state of slums in 4 selected districts for purpose of informing the process of formulating the National Slum Upgrading Strategy as a necessary framework for improving the living conditions in slums.

The consultant undertook a slum profiling study of 4 selected slum settlements in 4 urban areas of Kampala City, Masaka Municipality, Gulu Municipality and Busia Town and has developed a National slum upgrading strategy and an Action plan for the implementation of the strategy. The study had four distinct, interrelated and interdependent factors

- (a) Review of the global slum situations including global experiences and trends in slum upgrading. The literature review also included past slum upgrading initiatives and experiences in Uganda.
- (b) A slum profiling study of 4 selected slum settlements in Kampala, Gulu, Masaka and Busia to generate baseline information on the status of slums that has generated baseline information on demographic governance, infrastructure and services, socio-economic, land tenure and housing tenure and environment of slum settlements.
- (c) On the basis of outcomes from (a) and (b) above, the consultant has formulated a National Slum Upgrading Strategy.
- (d) Lastly a viable and implementable Action Plan that will be used to mobilize stakeholders and resources for implementation of the strategy has been worked out.

This volume presents the following:-

- Situation Analysis of slums
- National Upgrading Strategy; and,
- Action plan

The detailed profiles of the four slum settlements are presented in a separate volume.

2. SITUATION ANALYSIS

2.1 GLOBAL SITUATION

The UN member states adopted in the year 2000 the Millennium Development Goals (MDGs) which are broader goals for the entire world. The MDGs address essential dimensions of poverty and their effects on people's lives, they thus call for coordinated policies and actions related to slum-upgrading, environmental management, infrastructure. The UN Millennium Declaration articulates the commitment of member states to improve the lives of at least 100 million slum dwellers by the year 2020 (Target 11 of Goal 7). Goal 7 Target 11 comes in response to one of the most pressing challenge of the millennium, dealing with the people living in the most depressed physical conditions in the world's urban areas. Target 11 is a direct recognition that slums are a development issue which needs to be faced. This calls for coordinated policies and actions related to slum-upgrading, environmental management, infrastructure development, service delivery and poverty-reduction at large.

2.1.1 GLOBAL DEFINITION OF SLUMS

According to Geoffrey Payne¹, the first step in solving a problem is to define it correctly, therefore developing an operational definition of the term "slum" is an imperative and a first step to be able to quantify and locate the slum population. 'Slum' at its simplest is 'a heavily populated urban area characterized by substandard housing and squalor'². The term 'slum' is applied to a great variety of settlement types, what these share is an area characterized by social and economic isolation, irregular land ownership and low standard of sanitary and environmental conditions. Slum has come to include also the vast informal settlements which are quickly becoming the most visual expression of urban poverty, including squatter settlements and illegal subdivisions. The quality of dwellings in such settlements which varies from the simplest shack to permanent structures, while access to water, electricity, sanitation, and other basic services and infrastructure tends to be limited.

The term 'slum' is used in the MDGs in general context to describe a wide range of low-income settlements and/or poor human living conditions; these inadequate housing conditions exemplify the variety of manifestations of poverty. Target 11 of the MDGs, describe typical slums in developing countries as 'unplanned informal settlements where access to services is minimal to non-existent and where overcrowding is the norm. Slum conditions results in placing residences at a higher risk of disease, mortality and misfortune'. Informal, settlements, squatters, slums or whatever name we give to human settlements deprived of basic conditions, are just one of the visible signs of poverty and social exclusion that affect the life of nearly one billion of people in today's world population³. According to UN-Habitat, slums and urban poverty are not just a manifestation of a population explosion and demographic change, or even vast impersonal forces of globalization, slums must be seen as a result of the failure of housing policies, laws and delivery of national urban policies.

¹ Getting ahead in the game: 2005

² The Merriam-Webster Dictionary

³ Acioly Claudio, 2007

Experts at a UN-HABITAT meeting held in 2002 agreed on the following definition: “A slum is a contiguous settlement where the inhabitants are characterized as having inadequate housing and basic services. A slum is often not recognized and addressed by the public authorities as an integral part of the city”⁴. That is one of the reasons why little data on slum dwellers can be found. UN-HABITAT therefore developed a household level definition in order to be able to use existing household level surveys and censuses to identify slum dwellers among the urban population. A slum household is a household that lacks any one of the following five elements⁵:

- (a) Access to improved water,
- (b) Access to improved sanitation,
- (c) Security of tenure (the right to effective protection by the state against arbitrary, unlawful eviction),
- (d) Durability of housing (including living in a non-hazardous location) and
- (e) Sufficient living area (no overcrowding).

On the basis of this definition the slum population of the world was estimated by country using a total of around one million records of different household surveys. Many countries in Africa have a very high percentage of urban households living in slum conditions, which is mainly caused by the lack of access to improved water and/or improved sanitation. Sub-Saharan countries face an especially difficult situation as they host some of the fastest growing cities in the world. However, some African countries such as Egypt and South Africa have made progress in reducing the slum population over the period 1990-2001. The term “slum” employed as an administrative classification in Indian municipalities refers to a wide variety of informal housing settlements that have unclear land tenure, limited infrastructure and housing structures that are generally constructed with temporary or non permanent materials.

2.1.2 GLOBAL GROWTH OF SLUMS

It is estimated by UN-HABITAT that nearly 1 billion people live in slums in the cities of the world. That is one-sixth of humanity! Every single second, somewhere around the world, one person moves into a slum or squatter settlement. Most of these slums are in the cities/towns of the developing countries of the world. The annual urban growth rate in Sub-Saharan Africa is almost 5 percent, twice as high as in Latin America and Asia. It has also the world’s largest proportion of urban residents living in slums, which today are a home to 72 percent of urban Africa’s citizens representing a total of some 187 million people. With the adoption of the UN Millennium Development Goals (MDGs) in 2000, the poor living conditions in unplanned urban settlement were placed on the global development agenda. UN statistics indicate that by 2020, more than 1.5 billion people will live in slums and informal settlements without significant intervention to improve access to water, sanitation, secure tenure and adequate housing.

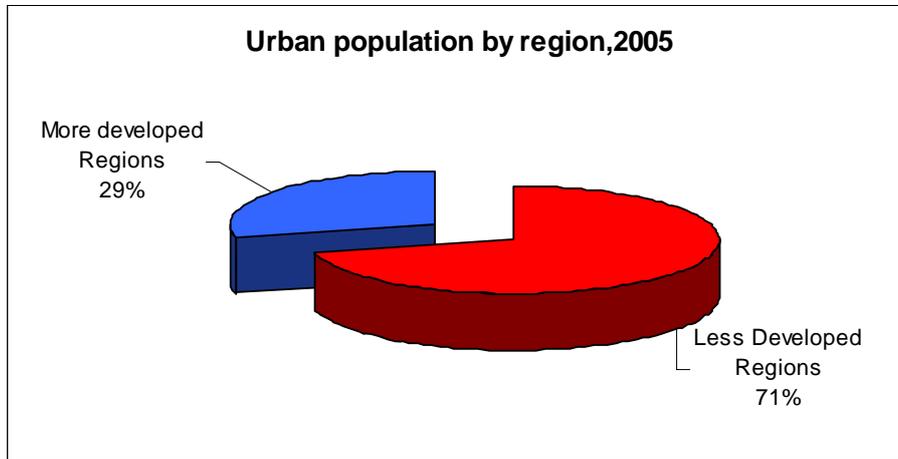
Malfunctioning of the land markets and inadequate land delivery systems for affordable land and housing in urban areas may hinder access and consequently drive poor families to peripheral areas or to completely inadequate sites ending up in informal and often illegal practices as defined by urban plans and policies. In absence of the state and policies to respond to their basic needs, the poor is left with nothing but his creativity,

⁴ UN-HABITAT 2003, p. 6

⁵ UN-HABITAT 2003, p. 7

invention and own labour as his only resource for finding housing in the city. A range of obstacles to access land and housing pushes large numbers of poor families to informal and often illegal housing and land development processes.

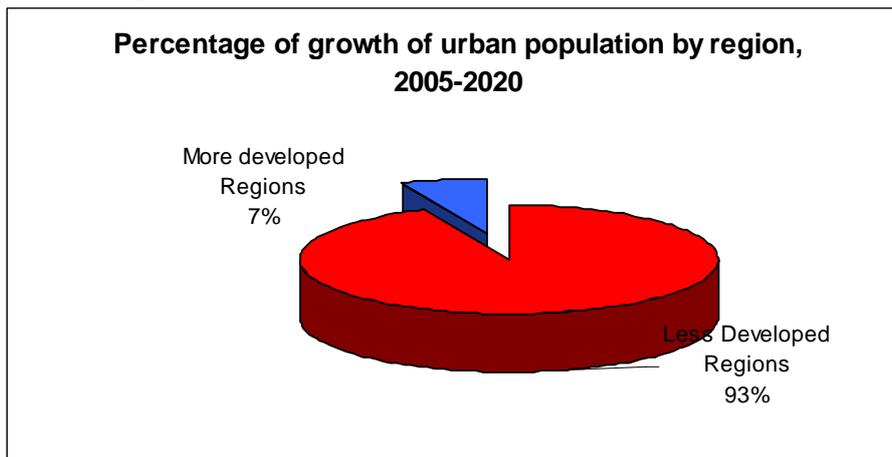
Figure 1: World Urban Population



Source: UN-Habitat, Urban Observatory, 2007

It is important to note that most of this growth will occur in cities of developing countries. Differences in income, living conditions, access to services and opportunities for development are seen as a major source of many conflicts facing today's world and can be observed at the global level (developed / developing countries), within a country (rich and poor regions) but also within cities where the gap between the wealthy living in gated communities and the poor living in intolerable housing conditions is expanding. In many developing countries, lack of employment opportunities in the rural areas contributes to urbanization, which is further accelerated by natural population growth.

Figure 2: World Population Growth



Source: UN-Habitat, Urban Observatory, 2007

Often, however, cities do not offer sufficient employment opportunities for their rapidly increasing population. As a consequence, many cities are characterized by a high incidence of informal employment opportunities, which are unstable and yield only low incomes. The resulting poverty in combination with a lack of affordable housing are driving forces behind the formation of informal settlements commonly know as slums,

which offer only sub-standard living conditions to their inhabitants. The term “urbanization of poverty” describes the process of cities becoming more and more the places where the poor of the world can be found.

Table 1: Slum Growth and Urban Growth

| Region | Urban Growth | Slum Formation Rate |
|--------------------|--------------|---------------------|
| Sub-Saharan Africa | 4.6 | 4.5 |
| Southern Asia | 2.9 | 2.2 |
| Western Asia | 2.9 | 2.7 |

Source: UN-Habitat, Urban Observatory, 2007

Recent research⁶ has shown that 924 million people, or 31.6% of the world’s urban population, are living under unacceptable conditions, and this figure will increase unless development agencies scale up their efforts to improve the living conditions of current and future urban dwellers⁷. The fight against poverty has to take place in both cities and rural areas or it might well be lost. Aggregation of data at the city level hides the stark contrast of income and living conditions between better-off urban citizens and the urban poor by providing just a single figure. Without more in-depth analysis, the problem would seem to be graver in rural areas, while the city is doing not so bad.

Today, rapid urbanisation and informal settlement is a global phenomenon, the aggregate urban population far exceeds the rural population in all continents of the world except Africa, and to the extent rapid urbanisation is a developing countries affair, since more than half of the world’s urban population lives in cities and towns of less than 500,000 people. The tradition of providing urban versus rural estimates has masked the crisis cities are facing. Figures for urban areas average out rich and poor, by providing a single number that overlooks pockets of poverty and destitution in cities. However, analysis of data at the intra-city level is fundamental for accurate policy information.

To be able to take into account the needs and capabilities of a city, local policy makers need to be informed about the consequences of vastly different living conditions. In addition to that, the urban poor have to face a set of challenges, which is different from rural poverty. Urban poverty is characterized by e.g. a high reliance on the cash economy while income from subsistence agriculture is rare; living in overcrowded areas with an insufficient, overused water and sanitation infrastructure; exposure to hazards and crime, as well as social fragmentation.

It is projected by UN-Habitat that in the next 15 years, half of the urban growth will occur in small cities. In some regions, the urban growth rates and slum growth rates are almost identical, but are highest in sub-Saharan Africa. Uganda’s ranking, in terms of slum populations and projections for the future if no government intervention is made will worsen the urban poverty situation. Slums and poverty are closely related and mutually reinforcing, but the relationship is not always direct or simple.

⁶ UN Habitat, 2003

⁷ UN Habitat, 2003

Table 2: Slum Growth in Developing Countries

| Country | Slum annual growth rate % | Slum pop (thousands) | Scenario 2020 with no change |
|---------------|---------------------------|----------------------|------------------------------|
| Angola | 5.28 | 3,918 | 10,677 |
| Kenya | 5.88 | 7,605 | 23,223 |
| Nigeria | 4.96 | 41,595 | 76,749 |
| South Africa | 0.19 | 8,376 | 8,677 |
| Uganda | 5.32 | 3,241 | 8,904 |
| Tanzania | 6.16 | 11,031 | 35,561 |
| Brazil | 0.34 | 51,676 | 55,074 |
| El Salvador | 1.89 | 1,386 | 1,986 |

Source: UN-Habitat, Urban Observatory, 2007

2.1.3 TRENDS IN SLUM UPGRADING

According to Acioly (2007), Slum Upgrading is a process of intervention in the physical, social, economic and juridical structure of an existing human settlement. Cities with Slums Action Plan defines slum upgrading as economic, organizational and environmental improvements undertaken cooperatively and locally among citizens, community groups, businesses and local authorities. Actions typically include: installing or improving basic infrastructure; water reticulation, sanitation/waste collection, rehabilitation of circulation, storm drainage and flood prevention, electricity, security lighting, and public telephones⁸.

Upgrading or slum improvement as it is also called in low income urban communities is many things, but at its simplest it has come to mean a package of basic services: clean water supply and adequate sewage disposal to improve the well being of the community. But fundamental is legalizing and regularizing the properties in situations of insecure or unclear tenure⁹. According to Payne¹⁰, the reasons for informal settlements vary from place to place, but the most critical factors are lack of affordable legal options, poverty, intense demand, inappropriate standards and investment institutions geared to the needs of the poor in urban areas.

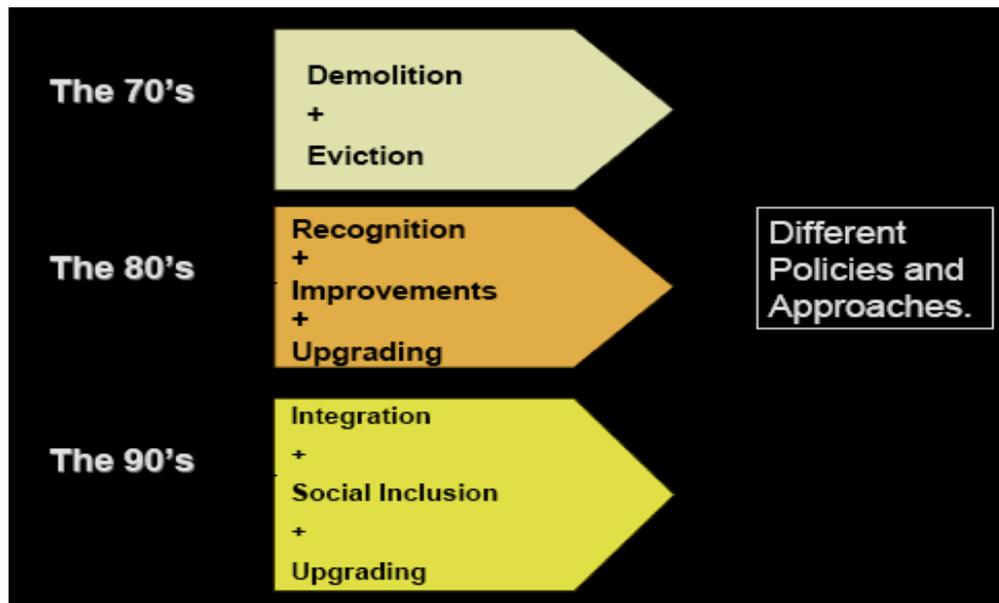
From 40 years of upgrading settlements, it is now known that most cities are growing based on informal logic following a pattern reverse to what most planners are trained to. This has led to shifts in policy doctrine since the 1970's from emphasizing the (RR + EE) i.e. repression, resettlement, eradication and evictions which emphasized land acquisition, land banking and conventional housing projects moving to integration into housing policies in 1980s providing for land tenure regularization + sites and service + housing finance and to the 1990s, that have heralded combined approaches along programme designs endeavouring to deliver infrastructure improvements, services + physical and layout restructuring + legalisation of tenure through integration into programs in citywide policies with local governance and urban management at the forefront.

⁸ Cities Alliances Website

⁹ www.web.mit.edulurbanupgrading

¹⁰ Payne Geoffrey, 1997

Figure 3: Changes in Policy and Upgrading Ideology



Acioly Claudio, 2007

Findings from international research show¹¹ that trends in several countries are now placing;

- (a) More attention to land regularisation and legalization of tenure
- (b) Searching for sustainability and formulas to finance programs and projects
- (c) Mechanisms of “home savings” and schemes of community financing
- (d) Promoting mechanisms to boost real estate market development
- (e) Gradual but continuous process of supplying basic infrastructure
- (f) Integration to housing markets, housing production and land supply
- (g) Strategic Partnerships and articulation among various stakeholders

There is international recognition that effective approaches to slum upgrading must go beyond addressing the specific problems of slums-whether they are inadequate housing, infrastructure or services- and must deal with the underlying causes of urban poverty. Experience has also put across conditions for success in slum upgrading¹² as:

- (i) An empowered local government with a clear policy in place
- (ii) An institutional and organizational basis
- (iii) The participation of residents (slum dwellers)
- (iv) Partnership between public, private and community stakeholders
- (v) Availability of financial resources
- (vi) Implementation and management capacities
- (vii) Coordination, planning and management mechanisms

Countries that have succeeded in reversing slum trends have similar attributes and these include;

- (i) Long-term political commitment to slum upgrading and slum prevention
- (ii) Progressive pro-poor land and housing reforms
- (iii) Used huge domestic resources to scale up slum improvements and prevent future slum growth

¹¹ Acioly Claudio, 2007

¹² Acioly Claudio, 2007

- (iv) Policies emphasized equity in an environment of economic growth.

Such countries have invested in the redefining or re-aligning approaches to informal settlements, to include a combination of programmes on;

- (i) Regularization (legitimization) of tenure and housing rights
- (ii) Upgrading of sites and locations
- (iii) Relocation to new sites with services
- (iv) Resettlement
- (v) Legislative reforms
- (vi) Urbanization policy
- (vii) Up scaling of interventions to match demands other than isolated projects on their own, over the medium and long term period.

This has been in combination with formulation of policy responses that are:

- (i) Enabling to ensure multi-stakeholder participation in the provision of affordable housing for the urban poor
- (ii) Remedial (curative) to tackling the existing situations of already established slums, such planning enables development and does not respond to development
- (iii) Preventive for other establishment or re-emergence of slums by providing alternatives for the poor and ensuring spatial integration and socio-economic inclusion in policy responses for improvement of the quality of life for urban poor.
- (iv) Recognition of the vital roles of land markets and land transactions (economics of supply and demand in the land market) in the supply of affordable serviced housing and land for the urban.
- (v) Institutionalization of responses for sustainable maintenance.

The outcomes of upgrading initiatives have been varied but some common elements have cut across most initiatives in the world these include;

- (a) A few projects or programmes have ended in failure or were partially successful, in the past. One common outcome was the departure of poorer sections of slum dwellers who could not afford price increases created by the improvements by the authorities. In Karachi for instance, rent and house prices doubled after upgrading and Madras it went up by 100% - 150%. In Calcutta, upgrading resulted in rent increases up to fourfold for new residents. There was clear incentive for home owners to force out poor renters and replace them with richer residents who could pay more. In upgraded settlements in Zambia, newly purchasing families were consistently richer than the household they were replacing¹³.
- (b) Another almost universal effect of slum upgrading is densification, which can lead to overcrowding. In Jakarta, where rents increased by 150%-300%, tenants made up for the rent increases by increasing space occupancy by 50%-100% and in Madras, the population increased by 18% after upgrading¹⁴.

¹³ Asthana Sheena, 1994,

¹⁴ Stephens, Carolyn and Harpham Trudy, 1991e

- (c) The most positive impacts on slum upgrading have been on health and safety of slum residents. In El Mazquital, Guatemala for instance, infant mortality rates fell by 90% and crime by 43%¹⁵

It is therefore concluded that for slum upgrading to deliver to its set objectives, it must involve stakeholders from ground zero at the very inception of the concept or the process and continue to be dynamic in responding to the stated needs of slum dwellers or beneficiaries. In addition, heavy investments in infrastructure require a settlement plan defining private and public domain. It is also clear that often slums commence with the occupation of land prior to the existence of a plan, this therefore requires an adjustment of the planning process to one that enlists the advantages of co-management but this conflicts with the technocratic tradition and training routinely offered to planners and city or urban administrators. This adjustment is a necessity because fixed rules of planning and management put residents or intended beneficiaries aside and take away their level of commitment to the post-upgrading period where maintenance becomes crucial and needs their input to succeed. It is thus implicit that reversing the conventional order – of first legalisation then urban regularisation—may eliminate the risk of eviction but it can also make it difficult for infrastructure provision.

2.1.4 TRENDS IN POLICIES AND PROGRAMMES

As UN-Habitat points out, Target 11 is only a piece of the larger development framework – improving the lives of slum dwellers will be achieved by considering the overall picture. However, in order to face the challenge of slums, one needs to consider the other facets of the problem through the other goals and targets. The conditions of slum dwellers will not improve worldwide if no action is taken in order to eradicate poverty and hunger (Goal 1), to reduce child mortality (Goal 4), combat HIV-AIDs (Goal 6) and develop a partnership for official development assistance (Goal 8). The UN-Habitat Global Campaign for Secure Tenure is basically an advocacy instrument designed to promote security of tenure for the poorest urban populations, especially those living in informal settlements and slums. It is a tool for the achievement of the MDG on slums.

Table 3: Fundamental Changes in Urban Policy

| Chronology of Fundamental Changes in Policy | |
|--|--|
| 1. | Enabling Policies: retreat of the State |
| 2. | 1987 Year of Homeless: the Housing Strategies for the Year 2000 |
| 3. | Agenda 21: “think globally act locally” |
| 4. | 1996 Habitat II: the Global Habitat Agenda |
| 5. | Urban Governance: empowering local governments & civil society |
| 6. | “Cities without Slums” – Cities Alliance (21st Century Millennium Targets) |
| 7. | Global Campaigns for “security of tenure” and “good urban governance” |

Studies suggest that even if MDG 7 target 11 is achieved, it may meet only 11% of existing needs and 7% of future estimated needs by 2020. Two challenges are therefore clear; the need to improve the living conditions of more far more than 100 million people living in slums and various types of unauthorised settlements; and an equally urgent need to create conditions in which all sections of urban society, especially the

¹⁵ World Bank Group, 1991

poorest and most vulnerable, can obtain access to legal, affordable and appropriate shelter in ways that prevent the need for future slums and unauthorised settlements. Both these objectives need to be achieved in way that provide for adequate levels of security and access to livelihoods, services and credit. A twin-track approach towards existing and future slums is thus called for.

Table 4: Contemporary Upgrading Policy

| |
|--|
| Remedial Policies |
| <ul style="list-style-type: none"> • Planning for development • Strategies to improve existing situation • Approaches to improve quality of life |
| Preventive Policies |
| <ul style="list-style-type: none"> • Planning BEFORE development • Enabling housing strategies • Approaches to access housing inputs • Resolving the land question • Linking housing and income |

UN-HABITAT promotes implementation strategies that consist of adaptive and preventive elements. Adaptive strategies begin with policy reforms and practical measures to provide security of tenure to the residents as a precondition to in situ upgrading. Where relocation must take place, it is vital to do so through a negotiated approach, favoring community-led initiatives to avoid conflicts, safeguard the livelihood of the poor and ensure sustainability. Preventive action focuses on capacity-building and provision of affordable, serviced land for housing and access to adapted financial resources. UN-Habitat’s comprehensive and participatory approach to slum upgrading is based on the following, Dos and Don’ts of Slum Upgrading;

| DO | | DON'T | |
|-----------|--|--------------|--|
| (i) | Promote good urban governance systems | (i) | Assume that slums will disappear automatically with economic growth |
| (ii) | Establish enabling institutional frameworks involving all partners | (ii) | Underestimate the role of local authorities, landowners, community leaders and residents |
| (iii) | Implement and monitor pro-poor city development strategies | (iii) | Separate upgrading from investment planning and urban management |
| (iv) | Encourage initiatives of slum dwellers and recognize the role of women | (iv) | Ignore the specific needs and contributions of women and vulnerable groups |
| (v) | Ensure secure tenure, consolidate occupancy rights and regularize informal settlements | (v) | Carry out unlawful forced evictions |
| (vi) | Involve tenants and owners in finding solutions prioritizing collective interests | (vi) | Discriminate against rental housing or promote single tenure options |
| (vii) | Adopt an incremental approach to upgrading | (vii) | Impose unrealistic standards and regulations |
| (viii) | Associate municipal finance, cross subsidies and beneficiary contributions to ensure financial viability | (viii) | Rely on government subsidies or on full cost recovery from slum dwellers |
| (ix) | Design and negotiate relocation plans only when absolutely necessary | (ix) | Invest public resources in massive social housing schemes |
| (x) | Combine slum upgrading with employment generation and local economic development | (x) | Consider slum upgrading solely a social issue |
| (xi) | Develop new urban areas by making land and trunk infrastructure available | (xi) | Provide unaffordable infrastructure and services |

2.2 SITUATION IN UGANDA

Uganda's population has been growing at an annual rate of 3.2% to the current 30 million people while the urban areas have registered an annual rate of 5.1%. At this rate, Uganda will have a population of about 68 millions by 2035, 30% of which will be in the urban areas. Uganda is among the top 10 countries with the highest fertility rates and the third highest rate of natural population increase in the world¹⁶. A stable macroeconomic environment, sustained high population growth rates and huge dividends from the liberalization policy translated into impressive poverty reduction during the 1990s and the early 2000s, income-poverty headcount fell from 56% in 1992/93 to 34% in 1999/2000 and then rose to 38% in 2002/03 but declined again to 31% in 2005/06, however the incidence of income poverty in urban areas rose from 9.6% in 2000 to 12.2% in 2006 (MFPED 2005, UBoS 2006). The poverty levels in the urban areas have remained the same over the two survey years at 14% (2002 and 2006).

2.2.1 DEFINITION OF SLUMS

As Payne (2005), points out, the first step in solving a problem is to define it correctly so as to be able to quantify, locate, plan and take actions as necessary. The Merriam-Webster Dictionary defines a slum as “often attributive noun” describing “a densely populated usually urban area marked by crowding, dirty run-down housing, poverty, and social disorganization”. On the other hand, the Oxford Dictionary defines it as “a squalid and overcrowded urban area inhabited by very poor people” or “a house or building unfit for human habitation”.

The Wikipedia Encyclopedia (2008), says that a Slum, as defined by the United Nations Agency the UN-Habitat, is “a run-down area of a city characterized by substandard housing and squalor and lacking in tenure security”. The term has traditionally referred to housing areas that were once respectable but which deteriorated as the original dwellers moved on to newer and better parts of the city, but has come to include the “vast informal settlements found in cities in the developing world”. Although their characteristics vary between geographic regions, they are usually inhabited by the very poor or socially disadvantaged. Slum buildings vary from simple shacks to permanent and well-maintained structures. Most slums lack clean water, electricity, sanitation and other basic services.

In 2001, based on the UN-Habitat criteria and definition of slums¹⁷, the Population, Health and Human Well-being Indicators showed that 93% of Uganda's urban population was living in slums. Many Slum dwellers (including those in Uganda) vigorously oppose the description of their communities as “slums” arguing that this results in them being pathologised and then, often, subject to threats of evictions. Many academics have vigorously criticized UN-Habitat and the World Bank arguing that

¹⁶ The 2006 Human Development Report showed Uganda has 7.1 births per woman, the second highest population growth in the world. Only Niger is higher at 7.9 births per woman. Between 2004 and 2050, Uganda's population will have grown by 375.7%, according to Simon Omoding, the communications analyst at United Nations Development Programme in Kampala.

¹⁷ By the World Resources Institute on Earth Trends, available on earthtrends.wri.org/searchable_db/index.php?theme=4&variable_ID=1310&action=select_countries

their “Cities without Slums” Campaign has led directly to a massive increase in forced evictions.

The current urban population in Uganda is about 3.23 million people. Applying some of the UN-Habitat slum definition attributes to results and findings of empirical studies, or surveys shows that the number of slum residents is 49% to 64% of the total urban population, which gives a total of 1.58 million people to 2.1 million people as slum residents in Uganda. All estimates fall within this range of slum populations, for instance, using the state of housing as a defining attribute, results from the 2005/06 National Household Survey indicates that tenements (“muzigo” which is the typical housing structure for slum area) accounted for 64.3% of the dwelling units in Kampala. Taking the attribute of living space, the survey further shows that the percentage of overcrowded dwellings in Uganda (i.e. with more than 2 persons per room) is 49% in the urban compared to 56% in the rural. According to Action Aid International, over 1.5 million people out of Kampala's 1.8 million populations live in slums, out of these; 1.2 million do not have access to latrines (for human excreta disposal)¹⁸ which is one of the attributes for defining slums. Slums in most urban areas in Uganda are not only for the poor, but for the rich as well, as characterized with unplanned and un-serviced areas. In most urban centres including Kampala, wealth and poverty coexist in close proximity.

2.2.2 SITUATION OF SLUMS

In this section, the aggregate situation of slum settlements in Uganda is described, on the basis of review of; the National Housing and Population census results, 2002, Uganda National Household Survey results 2004 and 2006, the results of profiling four sampled slum settlements in Uganda 2008 and other empirical studies on the status of slums in Uganda. The findings presented here serve to give a holistic picture on the state of slums in Uganda and to provide a basis for efforts to move towards slum upgrading.

(i) **Housing:**

Currently, it is estimated that Uganda has approximately 6 million households living in 4.5 million housing units. At national level, there is a backlog of about 1.6 million units of which 211,000 units are in the urban areas. The biggest problem is that the growth of housing has been left to market forces which don't favor massive investment in affordable shelter. As a result, the formal private sector has responded to the needs of the high and middle income earners, leaving the low income earners and the poor to be catered for by the informal sector. This has partly contributed to the spontaneous growth of informal settlements.

¹⁸ New Vision Newspaper 14th July, 2008

According to the Uganda Population and Housing Census (2002), the housing conditions were generally substandard: nationally more than 70% of the dwelling units were built out of temporary building materials that cannot maintain their stability for more than three years, urban areas account for 27% of these while 60% are built of permanent materials. Overall, 48.8% of the dwelling units are overcrowded, more than 56% of the dwelling units were occupied by tenants compared to about 30% which were owner occupiers. Results from the slum profiling study (2008), that informed this situation analysis, it was found that



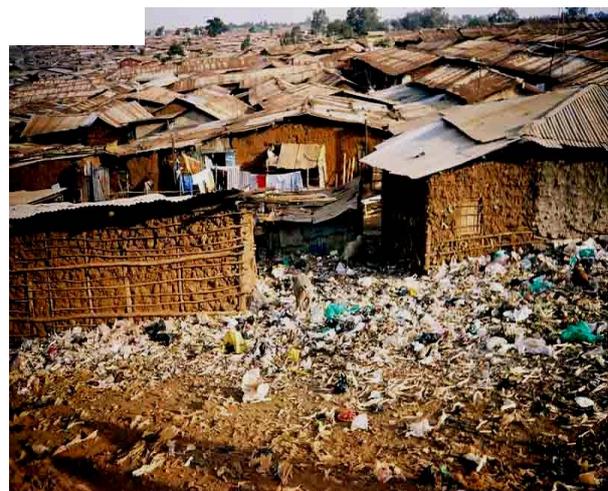
Picture 2: Typical building materials in a Kalerwe slum.



Picture 1: Kisenyi Slum in Kampala and below Kibera in Nairobi

in all the four sampled slums, 39.9% of the houses were permanent, 31.6% were semi permanent while 28.5% were temporary. Owner occupiers accounted for 22% (only 64% of these owned the land on which the house was situated), while rentals were 75% as the form of accessing housing. The cost of rental per unit (size 3feet x 4 feet) varied between Uganda shillings 15,000/= to 30,000/= per month.

Most of the slum houses are predominantly single-room commonly known as “*muzigo*”, a local description of a tenement. These structures are built in such a way that there is virtually no space between them. Clusters of shelters are just separated by a corridor or verandah. In this type of housing, a single room acts as a bedroom, sitting room, store and so on. Pathetically, four people and in some circumstances more than four may share a single room. Where some houses have some space, which passes for a compound, in the strict sense of the term they are actually more of public paths and mini playgrounds than compounds. The foundation of the dwelling units is poor, leading to many houses assuming slanting postures, without ventilators and characterized by breaking walls and wearing away.



(ii) Land Tenure:

There are four types of land tenure systems in Uganda; customary, mailo, freehold and leasehold. In most urban areas, there is a mix of tenure systems. For example in the city of Kampala, there are three main land tenure categories, namely, public land that falls under the jurisdiction of the Uganda Land commission, mailo (private) land where KCC has no powers to grant leases, and freehold land held by institutions like churches, mosques, schools and other NGOs usually for a period of 99 years. Within the above categories, there exist other subsystems of land tenure such as customary tenure on mailo land and customary tenure under public land where the tenant enjoys some rights. About 55 % of all the land within Kampala City Council boundary is public land. The rest of the land, 45 %, is private mailo and freehold land (Nostrand, 1992). In the slum settlements sampled, on average 57.1% households claimed they own and had bought the land they were living on. This ranking was followed by those who claimed they had just settled (25%), and those who claimed to have inherited (17.5%). Amongst those who owned the land most (66.2%) had a purchase agreement as the evidence to ownership while 18.3% had no documentary evidence to ownership of the land they were occupying.

(iii) Education and Health Services:

On average slums have reasonable coverage by both private health service providers and government health facilities; these are essentially small clinics, although the general proximity of the slums affords them access to better well equipped health facilities because of their location with urban areas to both government and private in the main town centers. The average distances from household to nearest health facility is less than a kilometer for both private and government health services. The average cost of obtaining health services from common ailments such as malaria in private facilities was 8,000/= per visit, while government health services were generally free except under exceptional circumstances when corrupt tendencies creep in. In relation to *Education*, more than half of the slum households 55.3% reported that all school going age persons within their household were attending school. The comparison by gender shows a higher enrollment rate for females 51: to 49 males. The distance to education facilities, whether government is closer to households generally within walking distances of less than a kilometer.

(iv) Sources of Energy:

The results of the 2002 Population and Housing Census and the UNHS 2005/06 showed that 1 out of every 2 households in the urban areas used paraffin as their main source of energy for lighting. Electricity is used by 4 out of every 10 households in urban areas, 90 % of the households in urban areas depended on wood fuel as source of energy for cooking. The percentage of households using electricity for cooking is still relatively low at 4.3% in urban areas. In the slum settlements sampled, it was found that nearly all households (84.2%) use charcoal to cook; only 12.1% used fuel wood. Only 35.8% of the households surveyed had access to electricity. Kerosene is not widely used in cooking but is relevant as an energy source for lightning. Most homes use kerosene for lighting, mostly in simple wick lamps or lanterns. Access to grid electricity is still restricted.

(v) **Water:**

There is an impressive distribution of water in the major urban areas in Uganda (MoE, 2006, UNDP, 2006). However, sometimes the amounts needed are compromised due to the problem of affordability of the water tariff. As a result, people resort to springs and wells, which constitute high risk sources of contamination. The composite sanitation gap of 36.6% exists between the expected standards and the current reality. The relationship between urban



Picture 3: Water pipe going through contaminated water

environmental conditions and health is well established. Infectious diseases especially water-related and air-borne are prevalent in many of the neighborhoods of Kampala while outbreaks of cholera have been recorded in 1997 and reoccurring in 1999. Over 50% of household occupants in Kampala are hospitalized in every three months due to malaria while contamination of water by prevalence of micro-organisms is evident in the water sources of the city. Results from the slum settlements sampled show that only 13.9% of the households have access to piped water. In spite of this low access to piped water, 84.5% of the households claimed that they have reasonably good access to public water points. Most public water points are privately owned and access to public water points is paid for (82.3%). The other source of water in the slums is boreholes (13.2%), open wells (50.9%) and protected springs (36%).

(vi) **Solid Waste Disposal:**

According to UNICEF (2006), poor rubbish disposal is a national problem. Approximately 13% of the urban population disposes solid waste in gardens, 19% in pits and 32% just heap the waste yet pits and heap disposal are less hygienic in areas with high population concentration (UBoS, 2006). The poor disposal of refuse is evident from studies done (Mwesigwa 1993), which indicate that the majority just dump litter anyhow some houses are just located amidst a continuous sea of refuse/



Picture 4: Waste disposal in Kawempe - Kampala

litter. This has resulted in the choking of water drains which results in blockage of channels, in such a situation floods are inevitable because it complicates the flow of storm water. In the slum settlements sampled, only 36.7% of the households had access

to designated waste dumping areas, 19 % said they access to waste collection and disposal services; 14% claimed the household had to pay to access these services and only 28.2% felt that payment limited access to these services. In some slums wastage disposal is poorly done, since they are located in marginal lands such as swamps the major water sources of most urban areas¹⁹ ended up contaminated.

(vii) Drainage:

Most of the urban enclaves where slums are located have poor drainage systems because this is where land is cheap and does not have value and relevance for the affluent. . Most slum settlements are located in flood plains, with big parts of the area under swamps and wetlands while most of the built up tracts are soggy. Persistent stagnant storm water and silage around homes characterize housing accommodation, a condition that provides an excellent habitat for disease vectors. There seems to be a significant relationship between sanitation and spread of disease in slums.



Picture 5: Poor drainage as seen in Katanga – Kampala.

For Kampala, because it is built on a series of hills which have steep slopes separated by valleys of varying gradients which are an essential natural drain for the city, drainage is of significance. However, of recent years the city has experienced flooding especially in the low-lying areas, storm channels and surrounding area are submerged and houses destroyed by pools of water.

(viii) Human Waste Disposal:

In the entire country, national latrine ownership in urban areas is estimated at 71.3%, with wide variation in quality. Out of these, 19.7% are unsanitary open pits (UBOS, 2005). Kalanzi (2002) found that 32% of the households in the Mulago slum area in Kampala City did not have a private pit latrine. In Kifumbira slum, which is located in Kamwokya, North of Kampala City, another study (Kanya 2001) found that some people ease themselves in nearby bushes



Picture 6: Pit latrine in Mbale town, it serves over 15 households.

¹⁹ Locations such as Masaka, the United Nations Human Settlements Programme (UN-HABITAT) has warned that petroleum and vehicle garage wastes pour into Nakayiba and Nabajuzi wetlands, the major sources of water for the town inhabitants. The need for “proper treatment of the water from these wetlands” to make sure that local people do not consume contaminated water from these wetlands”, several people close to these wetlands

or banana plantations. Human waste is a problem to reckon with in these areas and many households lack a urinal, bathroom and/or kitchen. Though most, if not all households (claim to) have toilets, a single toilet can be shared by up to four households. This trend cuts across all other urban areas in Uganda.

The widespread use of pit latrines has a bearing on the contamination of the underground water sources. It is not surprising that virtually all springs and wells in Kampala are contaminated. Efforts of Government and other organizations through ecological sanitation toilets has increased urban toilet coverage to 71.1% with private and shared toilets (UBOS, 2005). The percentage of households using flush toilets actually reduced from 2% in 1992 to 1.1% in 2005. Currently the coverage of the main sewer network is only 8% in the towns that are served by the NWSC. The rest of the areas are not accessible to the main sewer. In the slum settlements sampled, it was found that 62.6% households had access to toilet facilities mainly as latrines. In most the slums public toilet facilities do exist and 38.8% of the household surveyed said that they had to pay to access them, 42.7% claimed that this payment limits access to these toilet facilities.

(ix) **Urban Economy and Incomes**

The urban informal sector in Uganda consists of all economic activities outside the formal institutional framework. Trade is by far the most important activity with 72% of the informal sector employment, manufacturing 23% and services 6%. In the slum settlements sampled, (12.6%) of all the households could not specify the means by which they sustain themselves, this can be taken as a proxy indicator of the level of unemployment of household heads and spouses to household heads but not the general slum populace.



Picture 7: Survival mechanisms as seen in Kisenyi - Kampala.

Amongst those who clearly stated their means of sustenance, various forms of trading business including kiosks, vending, shop and salon operation were the leading mentions rated at a level of 50.6%. The average monthly income (mean) in the slums was 70,000/=. It is important to note that Kampala has the highest unemployment rate of 8%, followed by the North with 3%; while the eastern and western regions had the least with 1%, each.

(x) **Urban-rural linkages and Social Networks**

By maintaining rural linkages, peri-urban people persistently reproduce rural life which is 'urbanized'. Examples of urbanized rural life is manifest in the nature of urban farming and other natural resource based forms of livelihood such as brick making and quarry mining. The consequence has been increased vulnerability to shocks that emanate from urban life driven forces such as inflation, limited jobs due to

retrenchment and public policy for housing (Lwasa 2002). To provide mechanisms of absorbing the shocks of urban life, sets of linkages between individuals and families have emerged in form of social networks. These social networks have become significant for the urban people in the quest to improve their livelihoods.

(xi) **HIV/AIDS**

Data also show that people who reside in the urban areas have a significantly higher risk of HIV infection (10 percent) than rural residents (5.7 percent). This disparity is true for both males and females, though the urban-rural difference is stronger for women than men. Rapidly increasing urbanization associated with poverty, rapidly changing lifestyles and lack of effective programmes targeting high risk and vulnerable urban populations are some of the reasons for the persistently high HIV prevalence in urban settings.

Most, if not all slum dwellings have poor housing types and sizes and have an effect on HIV/AIDS. Shared rooms expose children to sexual activity at a very early age. Overcrowding results into cross-infections and provides opportunity for opportunistic infections. The housing units in slums are poorly planned, overcrowded and with no light, exposing young people to sexual abuse like rape and defilement, which has implications for HIV/AIDS, early teenage pregnancies and other STDs. The rampant teenage pregnancy is an indication that people do not use condoms. More so, since people in slums are known to each other, there are social challenges that hinder them from accessing condoms.

(xii) **Housing Finance**

Uganda's housing finance sector has substantially grown from one government owned institute to 4 commercial banks and 1 Micro-finance Deposit taking Institution. The sector is however small in relation to the housing needs of the country and it has principally been serving the middle and higher income earners. The average mortgage loan size issued by commercial banks is between UShs 60 (US \$ 34,000) and 80 million (US \$ 46,000), an amount too high for the low income earners.²⁰ Habitat for Humanity-Uganda is one of the NGOs that has been at the forefront of providing low-cost houses for the rural poor. It has built 4,500 houses in the last 2 decades through its 43 grass root affiliates in 19 districts. Through initiatives pioneered by Stromme Foundation and Habitat for Humanity Uganda, Micro Finance Institutions are to start a housing micro-finance product in which they will lend to low income earners up to UShs 8 million (US \$ 4,600), payable between 2 to 5 years (2007)²¹.

²⁰ Dr William S Kalema and Duncan Kayiira, 2008 UMACIS Consulting, Overview of the housing finance sector in Uganda, commissioned by the FinMark Trust with support from ACCESS to housing finance in Africa Kampala, Uganda June 2008

²¹ *ibid*

2.2.3 WHY SLUMS HAVE GROWN IN UGANDA

The causes of slums in Uganda are many and varied; and many factors are responsible for their continued growth.

(i) High Urbanization Rate

Although Uganda has a relatively low level of urbanisation, the high urbanisation growth rate of over 5% is worrying.

Table 5: Uganda's Urbanization Trends

| Index | 1969 | 1980 | 1991 | 2002 |
|-----------------------|---------|---------|-----------|-----------|
| Number of towns | 58 | 96 | 150 | 74 |
| Urban population | 634,952 | 938,287 | 1,889,622 | 2,921,981 |
| Proportion urban % | 6.6 | 7.4 | 11.3 | 12.2 |
| Urban growth rate % | 8.17 | 3.93 | 6.35 | 3.73 |
| % in capital city | 53.9 | 47.9 | 41.0 | 40.7 |
| % in 20 largest towns | 87.4 | 80.4 | 74.4 | 76.6 |

The roots of urbanization in Uganda can be traced to the 1890s when the European footprint in the country started to be felt – a period that defined Uganda's spatial and urban development pattern. Particularly in Kampala, urbanization started as an indigenous process, making Kampala an indigenous city. A similar trend has continued to date with exceptions relating to creation of new districts as driven by political overtures or as is the case in northern Uganda, the impact of over 20 years of internally displaced populations relocating to urban areas for protection, which has led to the increased urbanization rate. The 2002 census clearly indicated that Kampala is 100 percent urban with a population of 1.2 million and is the largest urban centre, followed by Gulu Municipality with a population of only 0.1 million.

Uganda has one city, 13 municipalities, 95 towns and 76 town boards which make up the urban centres in the country. Approximately 2,921,981 million people (12 percent of the country's 2002 population) live in these centres (2002 Population and Housing Census). The population dynamics manifested in urban population growth and rural to urban migration are by far the most significant driving forces of urban expansion²². But, the growth and expansion are associated with lack of infrastructure, social services and pose planning and environment problems. For example the urban sprawl in the larger Kampala City has made the boundary of the city blurred as it moves into hitherto rural areas engulfing formerly satellite towns within a radius of 32 kilometres.

(ii) Urban Poverty

The incidence of income poverty fell from 56% of the population living below the poverty line in 1992 to 34% in 2000 and further to 31% in 2006. The incidence of income poverty in urban areas rose from 9.6% in 2000 to 12.2% in 2006 (MFPED 2005, UBoS 2006). However, poverty levels in the urban areas have remained the same over the two survey years at 14% (2002 and 2006), with a slight increase in the

²² Through natural increase (due to high fertility rate 7.1 decline in mortality, internal migration and international migration)(Nyakaana, Sengendo et al. 2004)

absolute number of the poor from 0.5 million to 0.6 million, the number of the urban poor people has not significantly decreased.

Similarly, the poverty gap which relates to the cost of reducing urban poverty using transfers has marginally reduced from 3.9 to 3.5 percent. Most of the urban population lack skills and are either unemployed or engaged in the informal sector. Whereas it is assumed that most of the urban dwellers are not poor, it is not the cases as the biggest number of people only survive in slums in urban centres and most do not have any stable source of income. It is important to focus on the drivers of people from the rural areas to urban settlements. Rural urban migration is unstoppable, is not bad and should be well managed. In essence focus should be on poverty strategies that transform society. Poverty is a major driver of slum development in Uganda. Slums are the most conspicuous manifestation of urban poverty.

(iii) **Lack of Urban Planning and Development Control**

By 1964, the Town and Country Planning Act was put in place to further augment Uganda's 1960's deliberate policy on industrialization at regional level with the aim of developing urban areas, creating employment opportunities to absorb the in-migration from rural areas and also empowering them economically. Most of the urban centres that developed during this era did so without proper planning. Failure to progressively planned urban land development, poor coordination, corruption, mixing of urban management with politics and the laxity in enforcement mechanisms, largely account for the growth of slums in Uganda²³. Implementation of spatial plans has largely failed due to institutional weaknesses, financial constraints, political interference and lack of appreciation of planning by society, what is under practice is piece-meal planning.

High urbanization is taking place in a haphazard manner with virtually no control to guide and regulate the process. The number of urban centres in Uganda has increased exponentially over the past three decades. With inadequate capacity to plan, guide and enforce development control, besides managing the present levels of urban growth, it is envisaged that the informal settlements will become more densely populated and new squatter settlements will mushroom on marginal lands such as wetlands, hill slopes and forest reserves.

In most Ugandan towns, it is simply not foreseen that migration can result in rapid growth and result in unplanned response to the demand for low cost housing by ordinary people. The Central region has more than half of the total urban population (54 percent) while the other regions follow with 17 percent, 14 percent, and 13 percent for Northern Western and Eastern regions respectively. In the Central region, 25 percent of the population resides in the urban areas; this high level of urbanization is due to Kampala City being the prime urban area. When Kampala is excluded from the Central region, the level of urbanization of the region falls from 25 percent to 9 percent.

The level of urbanization rose substantially in the Northern region (from 5% to 9%) between 1991 and 2002 but declined in the Central and Eastern regions (UBOS 2002).

²³ For example, the physical expansion of Kampala has been "guided" by different physical planning schemes. The first one was produced in 1912 and others were produced in 1919, 1930, 1972 and 1994 when a structural plan was made. Despite these planning schemes, developments in Kampala especially housing have continued to be haphazard, unplanned and located outside planned area. This is blamed on KCC's failure to implement/enforce the planning schemes, continued political interference, conflicting land use policies, uncoordinated instructions between KCC and Ministry of Local Government and at times State House.

The percentage of the population in urban areas as enumerated in 2002 showed that 8 districts (Kampala, Luwero, Mukono, Busia, Jinja, Gulu, Kitgum and Nebbi) had urbanization rates above the national level (12.3%) (UBoS, 2002). The rapid urbanization however, has not been matched with capacity to plan and manage the urban growth. The growth of slums/informal settlements has become a natural indicator of the process of the country's urbanization. The role of local urban authorities needs to be changed from just development control to include the role of guidance, so that effective urban planning basing on the needs of the urban population and adapts to new challenges²⁴.

Lastly, what passes for planning in most local governments is a rudimentary form of land-use zoning usually unrelated to any socio-economic framework, divorced from infrastructural engineering considerations and lacking any implementation mechanisms for meeting its goals. As a result, planning has been largely dismissed as a futile exercise, irrelevant to the practical needs of settlements management this has led to difficulties in service delivery. In many areas physical planning, is interpreted to mean land grabbing by government and the subsequent demolition of structures.

(iv) **Complex Urban Land Tenure Systems**

The complexity of land tenure systems in urban areas in Uganda is endemic. Not only are tenure systems complicated and multiple where they are formal, but they are also traces of customary ownership, rules and practices in urban areas. These tenures have influenced the growth of towns and urban centres with certain types supporting planned development on land while others work to the detriment of orderly growth. Most of the existing irregular development and poor environmental health is influenced by the land tenure. The land tenure law that vests ownership of land to the citizens of Uganda perpetuates poor urban land management practices. The pattern of land ownership makes planning, enforcement and implantation of any development very intricate. The pattern also inhibits enforcement of planning standards and development control.

For instance mailoland and freehold has to be acquired land through purchase, which requires substantive financial resources. More than 50% of Uganda's urban population lives in informal unplanned settlements on land owned by other people or the government. Without security of tenure, they cannot access credit from the formal financial institutions and therefore lack the basic means of production. The tenure system constrains physical planning and development control. For example, there tend to be more informal settlements on mailo land than other types of tenure. However, the difficulty with mailo and freehold tenure system is that the owners of titles to particular land parcels may not have enough resources to develop their land resources. Because the landowner has security of tenure and there is no effective design, zoning, land use or infrastructure requirement legislation, the urban authorities seem to be unable to enforce planned development control in these areas.

Proper land use planning and development control are made more difficult by the provisions of the national constitution that empower citizen's ownership of land in various forms. On private land orderly development of the city has not been possible. This has impacted on planning for the urban lands because landowners could subdivide their land without giving due consideration for urban-based infrastructure and services

²⁴ as defined by the 1964 Urban Authorities Act, refined by the 1997 Local Government Act

like water pipelines, power lines, access roads, and underground communication cables. With the continuous rural urban migration and the complexity of property ownership, squatter problems may even be worse, which urban authorities are finding difficult to pull down. When authority for land matters rests on other agencies, a serious drawback falls on the capacity of the urban authorities to undertake various programs efficiently and effectively

Urban development has been further adversely affected by the land tenure reforms, which removed the ownership of public land from urban councils. Initially, most urban land was entrusted to the Urban Councils and these had powers to plan, lease and control development on it; but the land reforms in the 1995 Constitution vested this land in the people. Since the abolition of statutory leases by the 1995 Constitution, urban centres lost their 99 year leases; the land reverted to customary owners or tenants who do not feel obliged to adhere to planning conditions. This has greatly affected the implementation of planned developments, hence the sprouting of slums. Any development necessitates compensating the customary owners yet urban authorities are financially constrained to provide for urban-based infrastructure and amenities. This has resulted in the growth of squatter settlements and shanty towns²⁵.

The informal land market which is prevalent in most urban areas is also responsible for the mushrooming of slums. The speculation in the formal market has priced land out of reach of many urban poor. The multiple layers of land rights in the mailo areas cause land use planning problems, adversely affect development control and fuel slum development.

(v) **The Effect of Decentralization and Poor Urban Governance**

The advent of decentralisation in 1993 automatically meant the Government also decentralized the planning function and the delivery of services. It is clearly evident today that decentralization paved the way for haphazard growth of urban areas, since the central government acts as if it has absconded from duty and the local governments barely have the capacity to take on roles, affecting orderly urban development. There is inadequate funding in urban infrastructure and services, knowledge levels and capacity of urban authorities and local governments to undertake planning in urban areas or ably respond to rapid urbanization. The level and quality of services do not match the needs of the population in many urban areas. The decentralisation of services has not been matched with adequate resources from the centre.

This is because decentralization of the function of physical planning caught the local governments unprepared as such they have failed to cope with the challenges of rapid urbanization basically caused by the rapid population growth. If the present rate of urban population growth continues unabated, the demand for housing and other urban-based social services and utilities will proliferate and cause financial difficulties for districts and urban local governments. The urban system is not only failing to meet the demands of the rapid population growth within the context of poverty and marginalization, but its own basis for sustainability is also largely wanting in many

²⁵ The State of Uganda's Population Report, 2007

ways such as support supervision, availability of personnel to plan based on statistics and ability to provide quality services²⁶.

Conflicts of interests between politicians and bureaucrats in urban authorities make the efficient running of urban affairs difficult. The incomplete separation of powers at all levels of government creates bureaucratic delays in the approval, implementation and re-development of projects in urban areas²⁷. In the face of central government resource constraints there has been a declining involvement of the central government in economic and urban development with an increasing role of the private sector, non-governmental organizations in areas of services delivery, infrastructure development and property development.

(vi) **Poor Management of Privatised Urban Services**

The increasing role of the private sector has been accompanied by a corresponding decentralization of urban management shifting planning and decision making from the central government to the local government. Now that local authorities have failed to deliver; new delivery systems have been adopted in the country. Privatisation is now a buzzword in Uganda. The process of privatization has affected the means through which urban councils acquire resources and run their affairs. This has affected the mode through which their constituents can expect to receive the services traditionally provided by the local councils. Although there is no distinct policy on privatization of municipal services in Uganda, the privatization process for municipal services has borrowed from the existing parastatal privatization policies and Acts. Municipal councils are considering comprehensive privatization programmes as a means to reinforce and enhance the ability to govern and increase the level and quality of services to their constituents.

In the first place, privatization is a new concept and not well understood, some conceptual confusion and ambivalence about what privatization actually involves still exists. Some understand it as contracting or leasing out tasks and responsibilities to private sector firms, while local (municipal) government retains overall supervisory and regulatory control; some understand it as total and complete transfer of responsibilities for providing the service to private sector firms who set their own prices; some understand it as commercialization of services by municipal governments or parastatals, etc. The privatisation of urban service delivery is good as a principle but the management and supervision are still lacking. However, the danger lies in urban authorities not being able to supervise the service delivery for those that they privatise, as this will effectively lock out the slum dwellers and the urban poor.

(vii) **Extension of boundaries of Urban Centres**

The remarkable economic growth and political stability over the last decade have led to the expansion of existing urban centres, and the growing of hundreds of small trading centres in the countryside, particularly along highways and major road junctions. The extensions are encroaching on rural farming areas and urban authorities have no capacity to do land use planning, to provide infrastructure and to control development which is a recipe for slum formation.

²⁶ The State of Uganda's Population Report, 2007

²⁷ A case in point is the tension between different levels of government over the redevelopment of the old minibuss terminal in the Kampala city at the end of the day the most affected are those who depend on public transport system.

2.3 GLOBAL RESPONSE TO SLUM GROWTH

Slum Upgrading is part of the broader national development plans and as such should be treated as part not “special aspect” (often a poor cousin) of medium term and long-term planning and development goal. It has to be steadily and explicitly integrated into government-oriented programmes on the basis of objectives and principles articulated in this strategy. First, the growth of slums needs to be slowed down and eventually stopped through legal and land market reforms (in part to provide security of tenure) and revamping, planning and zoning regulations and building codes to make housing more affordable. Improved access to credit for housing construction and increased public sector infrastructure investments are essential elements in this strategy to prevent and upgrade slums. Broadly speaking, adaptive approaches involve upgrading the level of urban services in slums: physical, social, and economic as well as pragmatic solutions for dealing with the tricky issue of land tenure. Such approaches have been proven to increase the well-being of slum dwellers while simultaneously strengthening urban and national economies.

Second, preventive strategies are about managing the surge of urbanization and the simultaneous growth and forestalling the challenges of the brutal urban poverty typified in slums by stalling the emergence of new slums. This essentially means taking key steps to manage and guide the process of urbanization so that so many people do not unjustly suffer from inadequacies in the most basic of human requirements – such as water, sanitation, shelter, health and education (World Bank, 2006). The key issue that drives preventive approaches is political will: to recognize the nature and scale of the challenge, and to firmly commit to justly dealing with the needs of slum dwellers. These challenges require a sincere and long term commitment. It is important to remember that slums do not form only due to problems of poverty or affordability on the part of communities or governments; they often form due to problems of political will, bad policy and inadequate planning

2.3.1 MODEL RESPONSES

According to the World Bank, 2006, there are four typical responses to slums in urban areas:

- (i) **Forced Evictions**, whose basic ideology is slum clearance enforced through violent forced evictions and large scale slum demolition, without the offering of any alternative or choice to the populations displaced, has been a widespread practice. Forced demolition of urban slums does not reduce poverty, it creates poverty; it does not reduce slums, it simply means new slum formation elsewhere. In many cases forced evictions are disguised as clearance and relocation schemes.
- (ii) **Clearance and Relocation**: this involves the removal of slum residents from the central city to resettlement sites that are usually miles outside urban areas. Once the slum dwellers have been cleared out, the land they lived on is slated for

redevelopment to high value uses. There are circumstances when clearance and relocation might be appropriate – for example, when slums are built in environmentally hazardous zones or along public rights of way (like roads or railway lines).

- (iii) **Clearance and on-site redevelopment:** this involves temporarily moving the slum residents, then clearing the land, and finally building new housing for them on the same site. Building multi-story housing is sometimes justified when commercial uses on the same site can subsidize the costs of residential space.
- (iv) **Comprehensive Upgrading in place:** is often preferred and consists of improving the existing infrastructure and facilities up to a satisfactory standard, and often addressing issues of tenure. An important advantage of this method of upgrading is that it minimizes the disturbance to the social and economic life of the community. It is the approach that most strongly guarantees that the intended beneficiaries remain the actual beneficiaries of what could be very costly interventions.

In the four typical responses, the upgrading programmes take one of the three types;

- (i) **Provision of basic infrastructure to the community;** This is applicable where the environmental conditions and physical infrastructure are poor, but tenure is relatively secure. In this case, the upgrading comprises mainly of physical improvements such as footpaths, sanitation, water supply, drainage, and often some community facilities.
- (ii) **Tenure security;** Efforts in slum upgrading the world over have appreciated the tenure security as a key incentive and critical precursor for settlement and housing improvement. It has to do with the incremental build-up of tenure security. In these circumstances, lack of tenure is a threat to the security of livelihoods, and a significant barrier to households investing in upgrading their own homes. The threat of forced evictions also looms over such settlements. An incremental approach based on a ‘continuum of land rights’²⁸ and flexible tenure arrangements must be adopted.
- (iii) **Comprehensive upgrading;** – a mixture of the previous two – combines both provision of basic infrastructure and tenure security. It is appropriate where environmental conditions and physical infrastructure is poor, where population densities are high, and where tenure is insecure. The comprehensive upgrading program is relatively complex and time-consuming because it has more administrative requirements, implicates more stakeholders, and depends on greater community involvement. It is important to have an accurate knowledge of land ownership patterns and existing tenure conditions of possible beneficiaries. This is because improvements to the tenure security of beneficiaries is typically restricted by, and predicated on, existing public, private, and informal claims on the various plots of land that make up the project site. Beyond tenure, upgrading projects usually require a range of physical and social services to improve poor

²⁸ Temporary occupancy rights, lease agreements, community land trusts, adverse possession rights, anti-eviction rights are among flexible and effective tenure systems, when and where it becomes appropriate and affordable titling through the sale or allotment of land should be considered as a way of providing the strongest form of tenure security

environmental conditions at an affordable cost to residents. Physical services can include site reclamation, landfill activities, and infrastructure: such as roads, drainage, sanitation facilities and water connections.

In the case of Uganda, the appropriateness of any of the above approaches needs to be driven by the status of environmental conditions and physical infrastructure, and tenure. However the ideal is comprehensive upgrading. Depending on the location of the slum to be upgraded and the peculiar context issues, the preferred option is to have infrastructure lead and let land tenure follow because investments in infrastructure provide defacto tenure security which improves living conditions and welfare faster than land tenure regularization which provides de jure tenure security.

2.3.2 UGANDA'S POLICY RESPONSES

In the past there has been inadequate human settlement planning both in the rural and urban areas which has resulted not only in haphazard development in urban areas, but also wasteful and inappropriate settlement systems and patterns. Since the 1960s, four major policies have been pursued by succeeding governments that are of relevance to slum upgrading. The land tenure system and the constitutional legal framework of the 1960s were among the first regulations made to address urban growth and increasing housing demand (including that for the urban poor) in the country.

The military control in 1971 disregarded physical planning and urban development as priorities, leading to the deterioration of towns, followed by the abolishment of freehold land tenure in 1975 under the Land Reform Law. The state assumed the title to all land nationwide, and self appointed administrative functions to facilitate the use of land for economic and social development. Since that period, the development framework for planning policies and building regulations stalled. Due to economic, political and administrative instability that characterized the 1970s, very little was done to implement the proposed policies. There was an attempt to draft a comprehensive national housing policy around 1978 but the process stalled due to the instability in the country at that time.

The 1978 Housing Policy was never adopted by the Government that came into power in 1979 mainly for political reasons. The National Human Settlement Policy was the second policy pursued by government to further improve on the social economic status of its citizens. It was drafted in 1979 to improve on access to infrastructure and services and to provide adequate residential land and plots in urban areas. It emphasis was the provision of housing to the low-income people and the amelioration of the housing conditions in the slum areas. The policy was implemented through two projects; the upgrading of Namuwongo low-cost housing in Kampala and the Masese Women's Self-Help housing projects in Jinja. Unfortunately, efforts of this policy were not long-lived as the land tenure system and the subsequent fall of the economy in the 1970s and 1980s marked a decline in government's central role in the provision of decent housing and promoting housing investment till the 1990s.

After 1986, as a response to the appalling housing situation in the country, the Government outlined a National Human Settlement Policy which aimed at among other things:

- (i) to improve access to infrastructure and services at affordable standards, such as sites and services and upgrading schemes for spontaneous settlements.
- (ii) to provide sufficient residential land and plots in urban areas.

As a way of implementing the National Human Settlement Policy, government started embarking on 2 housing projects: Namuwongo Upgrading and Low Cost Housing Pilot Project (Kampala) and Masese Self-Help Women's Project (Jinja)

After the resolution of the UN General Assembly No. 41/190 of December 1987 on the International Year of Shelter for the Homeless, Government initiated the National Shelter Strategy. In 1992, government adopted the National Shelter Strategy (NSS) which comprised of the National Housing Policy and a program for the improvement of housing conditions to ensure adequate shelter for all by 2000. Through the NSS, government attempted to identify and removed stumbling blocks that hindered housing development through encouraging private sector participation in the development of the housing industry (Kalema and Kayiira, 2008).

Government initiated the National Shelter Strategy (NSS) with two major objectives as follows:

- (i) to formulate viable shelter strategies which are conducive to full mobilization of local resources and which are implementable so as to improve the living conditions of the poor
- (ii) to strengthen the policy making and housing programming capacities of the key actors in housing delivery at all levels of administration.

The NSS adopted the "Enabling Approach" as its major policy under which Government would be a facilitator to individual households and private suppliers to play a prominent role in the development of housing of all quality. This meant that Government would have to shoulder the responsibility of creating an enabling environment in which households, private firms, NGOs and community groups (both formal and informal) can operate effectively and efficiently and thus be in position to provide decent, affordable shelter as well as promoting social development and improving the quality of life. In comparison to the two previous policies, the NSS was more specific to the housing needs of the country. Under this policy, Government was able to put in place a legal and regulatory framework addressing the land tenure (and security of the tenure); encourage the acquisition of private home ownership and improve access to housing on a self-financing recovery basis. Efforts of this policy were further boosted by the enactment of the 1998 Land Act, the Condominium Act and in the promotion of Housing Finance.

Notwithstanding the above, the NSS did not address the housing needs of the urban poor sufficiently. Only two income groups were strongly advantaged; the affluent and the middle income earners who have gradually put pressure on urban shelter through privatization. Through the Condominium Act, these two groups were able to buy a pool of houses in areas of Kololo, Naguru, Bugolobi, and Nakasero at exorbitant costs that the urban poor could not afford. Also, the Strategy's main focus was for government to dissociate itself from its earlier commitment of providing housing to civil servants, which it did. This meant that civil servants would meet their housing needs through the

private sector and individual home ownership. Government did not however assess their (civil servants) readiness and ability (Kalema and Kayiira, 2008).

In 2005, the NSS was reviewed and a draft National Housing Policy was prepared. Unlike the NSS, this policy specifically ensures that all Ugandans own and have access to affordable decent housing with secure tenure in sustainable human settlements. It addresses issues that were not tackled by previous policies, where affordable housing needs for low income earners, especially those in informal settlements are catered for. Its major attributes include; slum upgrading, the private nature of housing, enforcement of minimum standards that will prevent overcrowding and the improvement of standards of living of the urban poor. The policy also recognizes the role of the private sector in the provision of housing on a commercial basis.

Progress in the development of this new policy is yet to be evaluated. The principles and proposals of the National Housing policy are expected to tremendously transform the country's current and future housing needs and they strongly reflect government's desire to create an enabling environment that would enhance the capacity of the private sector to deliver quality affordable housing. Once it is adopted as a policy, it will be important that legislation, regulation and guidelines for housing are amended to incorporate changes it will have introduced.

Uganda has, and continues, to struggle in turning the land and housing sector into a real development tool. Shifting development patterns are a reflection from past eras of power. After independence in 1962, though the publicly announced policy was that of 'Shelter' with emphasis on low-income groups, there was no major effort to think through housing policy instruments and programmes to implement the policy. The importance of housing is not adequately addressed in the Poverty Eradication Action Plan (PEAP) and this has denied the sector the necessary resources required by Government to enable other actors to participate actively.

Within the last two years, priorities have been realigned in synchronization with the development of the Ministry of Lands, Housing and Urban Development. Yet at present, Parliament continues to be in the process of reviewing the most recent Housing Policy draft, in conjunction with the mortgage bill before actually passing it into law. While these policies and those still in formulation are yet to adequately cater for the needs of the urban poor and respond to the deteriorating situation in slums or even remarkable stem their endemic growth, they have provided valuable lessons in policy;

- (i) The biggest issue is that very little effort has been put into integrating slum upgrading or improvement efforts into national policies, legislation, programmes and plans to enable their implementation.
- (ii) The absence of an urbanization policy has resulted into mushrooming of new unplanned urban centres and expansion of existing ones. This has led to urban sprawl and gradual transformation of agricultural land into urban areas.
- (iii) Failure to place emphasis on rural-urban linkages²⁹, overlooking the dynamics and importance of the developmental linkages between the two yet they are inter-dependent, the focus should aim at improving the urban ones, while extending adequate infrastructure, public services and employment opportunities to rural areas in order to enhance their attractiveness can be

²⁹ Rural-urban linkages generally refer to the growing flow of public and private capital, people and goods between urban and rural areas. It is important to add to these, the flow of ideas, information and innovation.

fatal. The discrete consideration of rural development as completely distinct from urban development is no longer valid. A new perspective, referred to as the rural-urban linkage development approach is increasingly becoming the accepted approach. There is need to gain better understanding of the relationships between urban and rural areas and the variety in the nature of these linkages.

In designing, the National Slum Upgrading Strategy it is important that the following reforms and initiatives are recognized;

- (i) Constitutional reforms on ownership, tenure and management of land
- (ii) Decentralization and devolution of power, functions and resources from the centre to the lower tiers of local government
- (iii) Liberalization of the housing financial sector and the mortgage sector
- (iv) Effective macro-economic policies, which have liberalized the economy, introduced privatization and divesture
- (v) An increased role of the private sector in overall housing and human settlements development
- (vi) Poverty Eradication Action Plan as the planning framework for the country's development.
- (vii) The global campaign for secure tenure and the global campaign on good urban governance.

2.3.3 UGANDA'S SLUM UPGRADING PROGRAMMES AND PROJECTS

There are many initiatives and interventions in the urban sector by different actors/stakeholders e.g. government agencies at both national level and local government level; development agencies, donors, NGOs, CSOs, CBOs and the Private Sector which impact on slum/informal settlement issues. Through Public Private Partnerships, government with support from donors and the private sector has undertaken the following housing projects to meet the housing needs of the urban poor:

- I. Under the DANIDA-Masese Women's Self Help Project, 400 houses have been constructed out of the planned 700 for residents in Jinja;
- II. A total of 460 houses have been constructed, out of the planned 484, for residents in Mbale under the Malukhu slum-upgrading Project;
- III. Under the Oli Housing Project of Arua, a total of 156 houses have been constructed;
- IV. The UN-Habitat-Mpumudde Housing Project constructed for women in Mpumudde Division in Jinja Municipality.
- V. Namuwongo slum upgrading and low-cost housing project in Kampala.

These projects have benefited about 2000 households of whom 30-37% are female households³⁰.

The general pattern has been to plan the settlements for redevelopment and service these settlements with roads, piped water, electricity, sanitation facilities and social services like healthy facilities and schools. The beneficiaries are allocated land with

³⁰ Ministry of Works, Housing and Communications (2003)

title deeds and given loans to construct their houses. Many are trained in skills of production of building materials, house construction and loan management. They are mobilized at community level to ensure full community participation in planning, implementation and management of the project activities.

According to the Ministry of Works, Housing and Communications³¹, the implementation of the upgrading projects has resulted in the following benefits:

- (i) improved housing conditions, improved access to services;
- (ii) increased opportunities for income generation;
- (iii) increased employment opportunities;
- (iv) increased security of tenure;
- (v) increased stability of the population and social cohesion;
- (vi) increased sense of belonging, dignity and assertiveness;
- (vii) increased propensity to save and invest;
- (viii) reduced morbidity and mortality rates;
- (ix) improved quality of the urban environment;
- (x) increased values of land;
- (xi) higher development potential as more developers are attracted to the settlements; and
- (xii) Increased market for various products.

The Housing and Urban Indicators Programme, which has been running through the Department of Human Settlements for now over 10 years should be having useful information on housing conditions, urban conditions, access to basic urban infrastructure and services which is critical in designing strategies for slum/informal upgrading and monitoring the progress in implementing these strategies. The newly created Department of Urban Development has embarked on an urban sector profiling exercise, compiling information about the urban situation throughout the country. The end product will be a national urban development bank which can be used to plan strategies for slum upgrading.

In addition to the above, Government, through the Department of Human Settlements, in collaboration with Slum Dwellers International (SDI), started in 2003 a Slum Upgrading Program (SUP) in 3 parishes in the Central Division of Kampala City (Kisenyi I, Kisenyi II and Kisenyi III) and 6 other slums in Jinja Municipality. The SUP is comprised of the following major components:-

- (a) Slum profiling and household baseline survey (i.e. collecting data pertaining to slums)
- (b) Conducting housing demonstrations
- (c) Carrying out exchange programs
- (d) Mobilizing slum dwellers communities into saving and loans schemes
- (e) Conducting sensitization exercises
- (f) Infrastructure development

In the three parishes of Kisenyi I, Kisenyi II and Kisenyi III of Kampala, the project conducted slum profiling and household baseline survey, which is the basic first level approach for a holistic view to slum upgrading, it is therefore one of the most

³¹ Ministry of Works, Housing and Communications (2003)

comprehensive housing and socio-economic study ever undertaken in this area. It has also resulted in a sanitation unit being constructed, savings and loans groups formed.

In other efforts, Actogether, an independent Uganda support NGO, affiliated to SDI was established in September 2006 is now working with the slum dwellers communities together with the National Slum Dwellers Federation of Uganda in the following core areas:-

- (a) Support to community-led savings and loan groups
- (b) Community exchanges
- (c) House model exhibitions
- (d) Slum upgrading pilot projects, and
- (e) Advocating for the rights and voice of the urban poor

A number of lessons emerge with regard to slum upgrading;

- (a) There is an indicative understanding of why slums have grown in Uganda, but better situated empirical evidence is still needed, in order to have an in-depth understanding of the underlying and deep rooted causes of slums in Uganda, specifically giving an exploratory and explanatory understanding of cause-effect analysis on different aspects of welfare and well-being.
- (b) Urban poverty is a major issue which requires specific but integrated approaches within the design and implementation of slum upgrading initiatives, addressing various dimensions of urban poverty including employment and incomes, health, education, shelter and access to basic services and infrastructure will be important for all upgrading initiatives.
- (c) The slum upgrading pilot projects so far exhibit very low sustainability. For example Namuwongo was intended to be replicated at both city-wide level and national level, this has not been possible. Hence a need to innovatively work at intervention strategies and approaches to be used in scale up and replication at city and national level. Such approaches need to be inclusive and responsive to local conditions, while involving considerable energy of slum dwellers and their representative organizations. On the other hand, while piloting is important, a strategic focus on how to go beyond piloting to citywide programmes and national level scale action as an absolute essential
- (d) There is need to innovatively assess basic access to legal and appropriate land and shelter, which is affordable and accessible to the majority of the urban poor, otherwise the growth of slums will continue unabated. This may well require going beyond dealing with the existing stock of slums but looking more at the prevention of further growth by readily availing affordable land and shelter.
- (e) In most projects in Uganda, there has been down-raiding by higher income groups displacing targeted beneficiaries. A few projects or programmes have ended in failure or were partially successful, in the past. One common outcome was the departure of poorer sections of slum dwellers who could not afford price increases created by the upgrading improvements.
- (f) Finally without appropriate institutional capacity and coordination with central government, it is virtually not feasible to expect successful slum upgrading undertakings, it there is therefore need to strengthen the capacity of urban authorities / local governments to carry out their responsibilities for

equitable provision of services for all urban residents while planning for future growth.

It is noted that Slum Upgrading is not the only approach for dealing with the issue of low-income housing and service delivery; it is certainly one of the most important options particularly useful for dealing with the existing “stock” of slum settlements but needs to be complemented with preventive actions that stall the emergence of new slums. It is essential that an integrated approach to slum upgrading is designed, because the issue of slums is very complex yet slums are an integral part of urban areas and contribute significantly to the urban economy both through their labour market contributions and informal production activities

The conclusion therefore is that in the case of Uganda, a national strategy for slum upgrading is a direct response to the following gaps and considerations;

- (a) Lack of reliable data/information on extent of slums, characteristics of slums, their causes (how and why slums develop) and how they function.
- (b) The urgent need to quantify the magnitude and characteristics of slum as a necessary first step to formulating necessary interventions and programmes
- (c) The need for a twin-track approach towards existing and potential future slums (slum upgrading and slum prevention)
- (d) The need to improve the living conditions of people living in slums and various types of unauthorized settlements
- (e) The need to create conditions in which all sections of urban society, especially the poorest and most vulnerable, can obtain access to legal, affordable and appropriate shelter in ways that prevent the need for future slums and unauthorized settlements
- (f) The regularization of existing slums will not take care of the additional demand of the additional poor expected to live in the urban areas. Planning for future urban (new) settlement is less expensive than upgrading consolidated informal settlements.

3. PROPOSED NATIONAL SLUM UPGRADING STRATEGY

3.1 RATIONALE FOR SLUM UPGRADING

The development of the National Slum Upgrading Strategy in Uganda is primarily driven by recognition that actions related to slum-upgrading, environmental management, infrastructure development, service delivery and poverty-reduction at large cannot be achieved unless there is a direct recognition that slums are a development issue, which needs to be faced. This is a direct response to;

- (i) All policies are geared towards achieving poverty reduction and contributing to the Millennium Development Goals (MDG). Uganda committed to the Millennium Development Goals (MDGs) which address essential dimensions of poverty and their effects on people's lives, specifically;
 - (a) Goal 7 "Ensure Environmental Sustainability", Target 11 which comes in response to one of the most pressing challenge of the millennium and articulates the commitment of "member states to improve the lives of at least 100 million slum dwellers by the year 2020"; and Target 10, about ensuring sustainable access to drinking water.
 - (b) Goal 2 that articulates the commitment to "Eradicate Extreme Poverty and Hunger", by "Halving, between 1990 and 2015, the proportion of people whose income is less than 1\$ a day", for the urban areas through: major improvements in urban health care and schools, water and sanitation, and in urban measures to improve maternal and child health; an understanding of how much the scale and depth of urban poverty is understated by the dollar-a-day poverty line and more effective community-level responses to HIV/AIDS.
- (ii) One of the major policy commitments under the Habitat Agenda 1996 (The UN Conference on Human Settlement). Paragraph 47 of the Habitat Agenda commits member states to: "... strengthening existing financial mechanisms and, where appropriate, developing innovative approaches for financing the implementation of the Habitat Agenda, which will mobilize additional resources from various sources of finance – public, private, multilateral and bilateral – at the international, regional, national and local levels, and which will promote the efficient, effective and accountable allocation and management of resources, recognizing that local institutions involved in micro-credit may hold the most potential for housing the poor."
- (iii) Poverty Eradication Action Plan as the planning framework for the country's development does not adequately address slums, yet it influences resource allocation and mobilization, this has denied the housing and urban development sectors the necessary resources required by Government to turn slums into a development tool. Thus, the overall policy and legislative environment at national level is reactive to slum situations instead of being

pro-active and anticipating the future in respects of slum up-grading issues, the result is laxity of implementation and inadequacy in enforcement of existing laws. It is also evident that institutional capacity, gaps and legal bottlenecks combined with resource constraint are a constraining factor.

- (iv) A stable macroeconomic environment, sustained high growth rates and huge dividends from the liberalization policy translated into impressive poverty reduction during the 1990s and the early 2000s. Precisely, income-poverty headcount fell from 56% in 1992/93 to 34% in 1999/2000 and then rose to 38% in 2002/03 but declined again to 31 % in 2005/06, however the incidence of income poverty in urban areas rose from 9.6% in 2000 to 12.2% in 2006 (MFPED 2005, UBoS 2006). The poverty levels in the urban areas have remained the same over the two survey years at 14% (2002 and 2006), the number of the urban poor people has not significantly decreased. Slums are the most conspicuous manifestation of urban poverty and it is no longer deniable poverty is a major driver of slum development in Uganda.
- (v) Related policy reforms and initiatives;
 - (a) Constitutional land reforms on ownership, tenure and management of land and the importance of a decent living environment is recognized in Article 39: which emphasis that every Ugandan has a right to a *clean and healthy environment*
 - (b) Decentralization and devolution of power, functions and resources from the centre to the lower tiers of local government
 - (c) Liberalization of the housing finance sector and the mortgage sector
 - (d) Effective macro-economic policies, which have liberalized the economy, introduced privatization and divesture
 - (e) The Global Campaign for secure tenure and the Global Campaign on good urban governance.
 - (f) The National Land Use Policy
 - (g) The national Development Plan (under formulation)

3.2 DEFINITION OF SLUMS IN UGANDA

For this National Slum Upgrading Strategy, the definition of slums in Uganda combines two aspects: the operational definition of slums as given by UN-HABITAT and localized to reflect the Ugandan situation.

- (a) UN-HABITAT gives the operational definition of a slum as an area that combines to various extents the following characteristics:
 - (i) Inadequate access to safe water,
 - (ii) Inadequate access to sanitation and other infrastructure,
 - (iii) Insecure residential status
 - (iv) Poor structural quality of housing
 - (v) Overcrowding
- (b) For Uganda, in combination with one or more of the following attributes;

- (i) an area that attracts a high density of low income earners and or unemployed persons, with low levels of literacy
- (ii) An area with high rates / levels of noise, crime, drug abuse, immorality (pornography and prostitution) and alcoholism and high HIV/AIDS prevalence.
- (iii) An area where houses are in environmentally fragile lands e.g wetlands

3.3 GOAL OF SLUM UPGRADING

The goal of slum upgrading is to improve the living conditions of slum residents living in the most depressed physical conditions in Uganda's urban areas on a sustainable basis and to prevent future slum growth.

3.4 OBJECTIVES OF SLUM UPGRADING

The objectives of slum upgrading in Uganda are;

- (i) To develop affordable and participatory measures for upgrading housing conditions and related support infrastructure in slum areas
- (ii) To plan and implement in collaboration with stakeholders programmes and pilot projects to minimize, eliminate and curtail the growth of slums.
- (iii) To harness central government's and urban authority (ties)'s resources in enhancing the contribution of slums to the urban economy.
- (iv) To ensure an appropriate institutional framework and mechanisms for effective implementation of slum upgrading programmes by different stakeholders.

3.5 PRINCIPLES GUIDING SLUM UPGRADING

The National Slum Upgrading Strategy is guided by the following principles and considerations;

- (i) Provision of land tenure security and housing tenure security to enhance investments in slum areas
- (ii) Flexible legal and institutional framework that allows local initiatives in Slum upgrading
- (iii) Availability of appropriate urban planning framework that recognises slums and slum dwellers / residents as resources.
- (iv) It is essential that an integrated approach to slum upgrading is designed.

- (v) Mobilisation and coordination of stakeholders and resources for slum upgrading initiatives locally, nationally and internationally
- (vi) Slum upgrading needs to be complemented with preventive actions that stall the emergence of new slums. Hence the need for a twin track approach towards existing and potential future slums.
- (vii) Gender sensitivity and responsiveness

3.6 STRATEGIES FOR SLUM UPGRADING

3.6.1 Strategies for Tenure Regularization and Affordable Land

Issue One:

The aim of regularising tenure in slum areas is to confer de jure security of tenure for land owners and de facto security of tenure for occupants and tenants. While recognizing the complexity of land relations within slum settlements and in order to mobilize these hidden resources, effort will be made to achieve sufficient tenure security (real and perceived) through sustainable, practical and socially progressive ways of improving tenure security and rights. In dealing with land tenure, this Strategy will emphasize three aspects which are key in upgrading;

- (a) Beneficiary identification; with accurate knowledge of land ownership patterns and existing tenure conditions of possible beneficiaries. Good processes of land ownership analysis, beneficiary selection and subsequent tenure arrangements must prevent local speculators, wealthy landlords and non-residents from surreptitiously taking undue advantage of slum development and diverting limited resources away from the intended beneficiaries.
- (b) Establishing the Legal status; who owns the land? Is it owned by the local government, or a government agency, or a traditional authority? Is it in the absolute ownership of a few absentee landlords? Has it been leased to private landlords by a public agency, and is it now informally squatted upon by the slum dwellers? If informal land markets exist, how do they work? Is some of the land under customary or traditional administrative structures? Does all the land fall under a single ownership pattern? If not, what are the different patterns?
- (c) Cost of the land for accommodating tenure for slum dwellers on private land is much higher than it is on public lands. One method of easing this burden is to average out the effective costs of public and privately-owned squatted land – either on a site-by-site basis or lowering official valuations of squatted land, or conversely, allowing private owners to transfer development rights

to other properties. To the extent possible efforts will be made to control land markets and to curb resident displacement or rising rents.

The strategies include;

1. Participatory land ownership and tenure analysis and beneficiary selection that is participatory and transparent and allowing communities to be consulted to verify 'official' census data. The beneficiary selection process may also include an assessment of beneficiaries' willingness and ability to pay for better tenure and upgraded services.
2. Participatory Poverty mapping exercises, environmental and infrastructural assessments, and socio-economic surveys result in an updated census enlisting those households and individuals who are the intended beneficiaries of the comprehensive upgrading project.
3. Offering recognizable rights to land and housing; where possible ensure legalization of tenure in accordance with existing land laws of Uganda.
 - (a) where a slum is situate on privately owned land, compensation, land sharing and readjustment or land swaps will be encouraged
 - (b) where a slum is situate on customary land, efforts will be made to identify the various levels of claims and interests ranging form ownership, use and allocative rights of customary holders and adapting them (with their attendant customary rules) to embracing upgrading initiatives by innovatively supporting the creation of occupancy interests in the form of urban access and urban use rights
 - (c) Offer slum residents priority for relocation to sites that offer employment opportunities and access to urban services
 - (d) Allow for direct tenure transfer where beneficiaries negotiate with the landowner and procure their tenure rights individually and directly. In such cases the upgrading agency or the local government or urban authority should act as a legal broker and guarantor between the two parties. This option is ideal when tenure transfer happens after upgrading is completed.
4. Simplifying land tenure regimes using intermediate forms of legal recognition in accordance with existing land titling laws of Uganda, this include but are not limited to;
 - (a) Community ownership of the entire project site by the community or group title administered through project specific land committees as a buffer against premature sale of titles in order to cash in on property, this ideal when land is privately owned, and when individual beneficiaries' ability to negotiate with landlords is weak.

- (b) Arranging for staged process of legislation with initial recognition granted to an upgrading site and individual titles or parcel will be completed later.
 - (c) Freehold and outright sale of land with or without a mortgage especially in areas where the land costs are very low, and the beneficiaries' ability and willingness to pay is high.
 - (d) Leasehold agreement, granting beneficiaries a long-term rental of the land and services at affordable prices. This might include an option to purchase the land within a specific period of time of continued and uninterrupted occupancy.
5. Upgrading in some instances will inevitably require Government to purchase land for upgrading and resettlement purposes. Land banking is a possibility even though it is costly and administratively difficult.
 6. Providing assurance on investments made on land or housing against confiscation or demolition or eviction.
 7. Slum upgrading should consider environmentally sensitive areas and discourage relocation of settlements in ecologically sensitive areas.

Issue Two:

Regulatory frameworks³² directly affect the ability of poor households to access land and housing through legal channels. High planning and building standards have both direct and indirect impacts on development costs. Often, the poor and sometimes even middle-income households cannot afford to conform to official standards.

Strategy

The key strategy here is to review of the regulatory framework, which is the single most effective tool for reducing future slums and unauthorized settlements. It is essential to make sure that the regulatory framework does not impose unrealistic or unachievable requirements, making access to legal housing cheaper and easier by;

1. Relating plot sizes to those found within unauthorized settlements will be a basis for revising minimum planning standards with the involvement of communities who live in these settlements.
2. Reducing road reservations to the minimum consistent with safe circulation.
3. Permitting the most efficient use of available land, by relaxing constraints on the forms of development and uses to which people can put their plots.
4. Simplifying planning procedures so that conformity is easy and affordable. Such as basic standards for all, in ways that can be upgraded later, are preferable to high standards now for a minority.

³² The regulatory framework in urban development consists of three main elements; planning and building standards, planning and building regulations and Administrative procedures.

5. Identifying specific factors impeding legal and affordable access to land and housing, so that revisions can be made when and as required.

Issue Three:

Increasing the supply of affordable land for the Urban Poor is important to stem the growth of new slums. Such pro-active response will require the preparation of a Site Development Briefs for local governments or urban authorities to initiate proposals without having to seek recourse to unpopular, time consuming and inefficient land acquisition and development procedures.

This strategy envisages the following techniques;

1. Urban Land pooling³³ and Land Readjustment³⁴ for managing and financing urban land development. Local or central governments undertake projects to assemble and convert the rural land parcels in selected urban-fringe areas into planned layouts of roads, public utility lines, public open spaces and serviced building plots. Some of the plots are sold for project cost recovery and other plots are distributed to the landowners in exchange for their rural land parcels.
2. Public-Private Partnerships or more comprehensive Multi-Stakeholder Partnerships under such arrangement are best introduced through pilot projects, as an opportunity for all stakeholders to experiment with and learn from new approaches.
3. Local Development Plans (for Local governments and Urban Authorities) provide a coherent framework within which land-owners can subdivide their parcels and make a reasonable profit. In areas where customary systems of land management ownership exist, it is advisable to incorporate the traditional leaders into the planning and decision-making process to ensure social legitimacy to proposals.
4. Creating an efficient land use plan within new urban developments, and keeping in mind the existing land use patterns and transportation networks. It is better to integrate the new development into the existing urban fabric.
5. Tenure policy also exerts a major influence on access to land and housing. Measures include;
 - a. Encouraging a range of tenure options so that all sections of demand can be matched with appropriate supply options.
 - b. Private rental housing is often a vital option for very poor households and provides valuable rental income for households

³³ Land Pooling the land is legally consolidated by the transfer of the ownership of the separate land parcels to the Land pooling agency with the later transfer of ownership of most of the new building plots back to the landowners

³⁴ In Land Readjustment the land parcels are only notionally consolidated with the land readjustment agency having the right to design service and subdivide them on a unified basis. The landowners exchange their land parcel title documents for those of their new building plots

3.6.2 Strategies for Supply of Affordable Housing

Issue:

In the past there has been inadequate human settlement planning both in the rural and urban areas which has resulted not only in haphazard development in urban areas, but also wasteful and inappropriate settlement systems and patterns. The biggest problem is that the growth of housing has been left to market forces which don't favor massive investment in affordable shelter. Policies in place and those still in formulation are yet to adequately cater for the needs of the urban poor and respond to the deteriorating situation in slums or even remarkably stem their endemic growth. It is therefore important that;

- (a) The strategy creates conditions in which all sections of urban society, especially the poorest and most vulnerable, can obtain access to legal, affordable and appropriate shelter in ways that prevent the need for future slums and unauthorized settlements
- (b) The regularization of existing slums takes care of the additional demand of the additional poor expected to live in the urban areas. Planning for future urban (new) settlement is less expensive than upgrading consolidated informal settlements.

Strategy:

This strategy lays emphasis on governments, local governments and urban authorities, puts in place a framework of planning and urban management that creates pluralistic systems of supply (housing and infrastructure) which can respond to a range of, and to variations in, demand and needs. The role of the Government in this context will be to create and maintain a 'level playing field' in which different suppliers of housing, services, credit and building components can compete on equitable terms and to extent possible encourage investment in affordable housing for the urban poor and in the slum areas. Accordingly, it implies the following;

1. Revisiting and enforcing standards and administrative procedures to reduce entry costs and accelerate the supply of new legal development.
2. Making sure land and housing prices are within the ability of all sections of society to pay for them, by balancing supply to demand, and for subsidies to be carefully considered and targeted, this can be achieved through preparation of a land budget, to assess how much land will need to be urbanized over a 10 and 15 year period, based on population growth estimates and other trends such as employment and transportation in all urban areas.
3. In preparing a land budget and assessing the amount of land required 7 inputs or key considerations are factored;
 - (a) The projected demand for commercial and industrial land and the demand for land for new housing development.
 - (b) Density levels for specified types of housing and other land uses - based on minimum official plot sizes, occupancy levels, and road widths.
 - (c) Requirements for communal facilities such as schools, clinics, religious sites, public open spaces, etc, at central and neighborhood levels.

- (d) Topography and ground conditions: these include consideration of issues such as steep slopes, load-bearing capacity, and vulnerability to flooding.
 - (e) Accessibility of available land.
 - (f) Public transportation networks, location of economic activities, and
 - (g) access to physical and social infrastructure.
4. A major component of the land budget will be to understand the need for new housing. This involves preparing a Housing Needs Assessment. This needs to be prepared for the same time periods as the Land Budget, say for 10 and 15 years
- a. The replacement of existing units which will have fully depreciated during the plan period, estimates need to be made over a reasonable period.
 - b. The upgrading and replacement of deficient units whose upgrading are not economically feasible; a large proportion of substandard housing can usually be improved, providing the owners feel secure and have access to credit.
 - c. Estimating the proportion of the existing housing stock which can be upgraded where this is economically feasible.
 - d. Estimating the nature of housing needs because not all households want, or can afford, the same type of housing. Affordability will be largely determined by incomes, though savings may also be relevant.
 - e. Additional housing expected to be provided on newly urbanized land in the urban periphery.

3.6.3 Strategies for Urban Infrastructure and Basic Services

Issue:

The rapid urbanization however, has not been matched with capacity to plan and manage the urban growth. With inadequate capacity to plan, guide and enforce development control, besides managing the present levels of urban growth, it is envisaged that the informal settlements will become more densely populated and new squatter settlements will mushroom on marginal lands such as wetlands, hill slopes and forest reserves. The growth and expansion are associated with lack of infrastructure, social services and pose planning and environment problems. In general, the present condition of urban infrastructure is poor, the services provided are inferior and the financing systems for infrastructure and services are inadequate.

Strategy:

This strategy is premised on the thinking that slum residents are willing to pay for the services they value most, this is a proxy indicator for demand. Therefore;

1. Urban infrastructure and services will be designed to allow for incremental upgrading as poor communities improve their incomes and capacity to pay for services increases.

2. In the event of resources constraints, single-sector interventions in services will be encouraged as opposed to a full range of services (i.e. roads, water, sanitation, drainage, solid waste, electricity etc)
3. Assessment of willingness to contribute to infrastructure services and costs by slum residents, provided they are availed adequate information regarding trade-offs will be a key ingredient of slum upgrading interventions.
4. Partial recovery of costs in infrastructure services intervention is critical. Beneficiaries and targeted users will explicit within planning and execution of upgrading schemes to sustain basic operations and for maintenance, not exceeding 10% of total infrastructure costs.
 - (a) These costs need not be made up-front payments but rather introduced in an incremental manner.
 - (b) Government, Local Governments and Urban Authorities will provide the necessary political will to support cost recovery initiatives in upgrading areas
5. Mainstreaming the delivery and maintenance of upgrading services for slums in urban authorities and local governments' plans, departments and resources.
6. Community led and demand led approaches should be used to prioritize and influence the content of initiatives and to weigh on standards and services options to ensure acceptability and enhanced demand responsiveness.
7. Government and Urban Authorities support initiatives by slum organisations by adopting a more 'enabling' approach to the delivery of basic services accessible to the poor through the more effective mobilisation of community resources and skills to complement public resource allocations.

3.6.4 Strategies for Slum-Sensitive Urban Planning Framework

Issue:

The Urban Planning and Development framework is exclusive of slums and informal settlements. It views slums as “problem areas” requiring corrective action. The legal framework is a colonial legacy, whose survival and relevance in the current socioeconomic context is questionable thus a need for modifications and progressive change. Failure to progressively plan urban land development, poor coordination, corruption, mixing of urban management with politics and the laxity in enforcement mechanisms, largely account for the growth of slums in Uganda. One of the major gaps as far as slums are concerned is up to date, comprehensive and sufficiently detailed information, both spatial and socio-economic rather than the current official aggregation data which makes it difficult to make inquiries into conditions at the neighbourhood level.

Strategy

This strategy therefore proposes that;

1. Planning is supported with accurate and up-date information, with complete facts. Considerable slum settlement profiling and information is a pre-requisite to any development interventions.
2. The role of local urban authorities is changed from just development control to include the role of guidance, so that effective urban planning is based on the needs of the urban population and adapts to the new challenge of slums
3. The local governments and urban authorities' planning agencies or departments cease to treat slum residents as statistical icons or objects of research numerations in the planning process but as partners, so as to present accurate and representative information that is crucial for resource allocation, distribution of services and facilities etc.
4. Urban Authorities working in collaboration with all other stakeholders build the capacities of the poor and empowering them to improve their own living conditions. Urban management systems need to be improved in three critical areas: i) resource allocation and use; ii) service delivery; and iii) urban governance which is democratic, efficient, transparent and gender sensitive.
5. Revise the existing planning framework in order to integrate slums and informal settlements into the wider urban area and enable slum dwellers the voice to influence urban decision making processes.

3.6.5 Strategies for Financing Slum Upgrading

Issues:

The financing needs for addressing the slum problem are massive and external financing from donors and private investors and lenders can play only a minor role, thus, the bulk of the financing has to be mobilized locally. However it is also noted that improvements in income do not necessarily result in improvements in housing condition which is a key feature of slum upgrading, this is because housing improvement may be necessary but not necessarily the priority of slum dwellers. It is important that such a strategy links with other aspects of living such as income poverty which is one of the drivers of slum growth and innovative mobilisation of savings by slum residents.

Strategy

This strategy proposes;

1. Encouraging the build up of savings, allowing for pooling to take place, in various ways to linking upwards to formal sector finance. This would not only provide an additional flow of funds for shelter and infrastructure but would also have the additional benefit of ensuring greater ownership, sustainability and effectiveness of targeted interventions.

2. Support for establishing grassroots group financial discipline and group capacity building through savings and credit organisations, as a way of encouraging collective decisions by slum residents about how to use that money, acquiring the management experience and negotiating skills to tackle larger development issues
3. Boosting savings and credit on a large scale through community-based savings mechanisms and support self-help construction activities, to boost the basic mechanism by which poor people begin to deal collectively on issues such as searching for land, securing subsidies and infrastructure development.
4. Encourage Micro-finance institutions should to increase the menu of options for incoming generation and standards of living by provision of loans, on the basis of social systems as collateral rather than housing and land to improve the credit worthiness of slum residents in formal financing schemes.
5. Encourage the use of savings as a strategy, promoted by civil society organisations for re-development and provision of basic infrastructure services.
6. Central Government, in collaboration with Urban Authorities and local governments' sources for finances through bi-lateral and multilateral financing arrangements guarantees, monitoring and evaluation are centrally undertaken.
7. Partnerships should further be explored with Donors and international financial institutions to implement innovative financial mechanisms for enabling slum upgrading.

3.6.6 Strategies for Inclusion and participation of Slum Residents

Issue:

One of the key actors in the slum upgrading process is the slum resident who represents an extremely important element of the urban labour force and contributes substantially to total productivity and labour market competitiveness. Wide-ranging improvements in the lives of slum residents cannot be fully realised without their active participation as initiators, partners and as resources on which to build. It is essential to understand and value the contributions of the urban poor as part of participatory urban governance. Social capital is the most essential asset of the poor. It is important to assist the capacity development of community groups for without their community support and initiative upgrading is impossible.

Strategy

It is proposed that;

1. Upgrading interventions endeavour to reap the immense benefits that accrue from treating slum dwellers as partners rather than beneficiaries.
2. Ensure that all interventions have the political or social leadership represented both at district and sub county/ division as this would give the much needed political and social backing to slum upgrading processes as persons who lead the implementation of slum improvements.
3. Measures are put in place to support the work of slum dwellers organisations, especially as regards the development of capacity for collective social action.
4. Support interaction through networking to create a far-flung solidarity (trans-national) and to enable a rapid transfer of development knowledge, organisational skills and people's own resources from one context of urban poverty to another by way of sharing problems and experiences.

3.6.7 Strategies for cost allocation, cost recovery and affordability

Issue

Cost categories associated with upgrading projects include the cost of land or tenure, off-site infrastructure, on-site infrastructure, on-plot development, community facilities, the design and supervision costs of civil works, and loans for home materials or small businesses. The costs of an upgrading project are usually allocated across beneficiaries, local governments and line agency.

Strategy

1. **Cost Allocation:** The following is proposed for cost allocation;
 - (a) Project beneficiaries are charged for components that benefit them directly, such as land, on-site infrastructure, on-plot development, and the design and supervision of civil works.
 - (b) Loans for home materials or small businesses should be repaid by the households and businesses that chose to obtain them.
 - (c) If the civil works are carried out by the community, then the value of this effort should be credited towards the communities' required cash contributions in the project.
 - (d) The local governments and urban authorities will be charged for off-site infrastructure such as urban roads and related drainage facilities, and for some community facilities such as local health centres, public toilets, and markets.
 - (e) Where funding is available, local governments and urban authorities may also assist beneficiaries pay for tenure and services through targeted subsidies.
 - (f) Line agencies or Ministries are charged for services that are normally funded through budgetary allocations. These include off site infrastructure and services, such as the extension of water and sanitation networks, national roads, schools, health facilities, and infrastructure that is shared by the city or urban centre at large.

2. **Cost Recovery** is vital for Upgrading intervention to be replicable and scalable, in this sense recovering the costs of the upgrading is essential, therefore;
 - (i) When full cost recovery is not possible, targeted subsidies through donor grants might be considered as an available option.
 - (ii) Costs can be recovered either directly or indirectly.
 - (a) Costs can be recovered directly from project beneficiaries through outright sale or a long term mortgage. This is appropriate where the control and benefit of an asset is transferred to private individuals.
 - (b) Where mortgages are applied, they may also include the household's share of collective on-site infrastructure costs.
 - (c) Other ways to recover costs directly are user charges for water supply or electricity consumption and through the repayment of building materials or small business loans.
 - (iii) Some of the costs can be recovered indirectly. This method is appropriate for shared public facilities such as roads, street lighting or drainage through;
 - (a) Increases in property and business taxes collected by local and national governments.
 - (b) Profits on the sale of land developed for commercial purposes.
3. Beneficiaries' payment for their share of the Upgrading investment should be affordable to the lowest 10th and 20th percentile of project beneficiaries without the requirement of subsidy. Depending on the proportion of infrastructure included in the project, 60% to 90% of costs can be recovered from beneficiaries.
4. The costs borne by beneficiary households are the payments for physical infrastructure and loans for building materials, these costs can be minimized by adjusting within reasonable measure, the service standards, engineering standards, and building construction standards³⁵. However, negotiations to increase affordability should always be well within the boundaries of providing the most vital services effectively and sustainably.
5. The consideration for conditional grants in effecting enforcement which may be necessary to address issues such as compensation as an alternative strategy for areas already encumbered by unplanned settlements is an option that needs to be investigated

3.6.8 Strategies for Stakeholder/ Actors Participation and Coordination

Issue:

1. There are multi-sectoral stakeholders to slum upgrading at central government level, within urban authorities and within the beneficiary communities. For any Upgrading to succeed there is need to innovatively define, coordinate and monitor the activities

³⁵ For example, a minimum level of service may include a footpath network and public standpipes for water. A higher level of service would include road access and individual piped water connection

of all the actors. Stakeholders include: residents of the informal settlements, and their organizations, the local authority, relevant central government agencies, NGO's, professional associations, the formal private sector, international development co-operation agencies.

2. The urban system on its own basis is largely wanting in many ways such as support supervision, availability of personnel to plan based on statistics and ability to provide quality services.
3. Initiatives of slum upgrading will need and have to be a sector wide given the diversity and multiplicity of issues that affect slum dwellers.
4. It is crucial to underscore the central role of local governments and their leadership in the process. At Ministerial level, the Government holds the central portfolio to slum upgrading and the experience it has acquired in the various housing upgrading schemes, either internally initiated and those it has participated in has created a wealth of information and experience on technical aspects of housing, communication and transport options.

Strategy:

By creating and maintaining an institutional and regulatory environment based on the changing needs and resources available, Government can stimulate other stakeholders, including both private sector groups and the poor themselves, to supply land, buildings, credit and services at the scale required.

1. It is important to identify the existing and potential roles of other key stakeholders – the poor themselves, central and local governments, civil society groups, the private sector, and other development partners.
2. Central Government
 - (a) Government is the enabler, co-coordinator and regulator of all the stakeholders by providing the right legal, fiscal and regulatory framework required to mobilize the energies and resources while playing a facilitating role.
 - (b) Government will remove policy, institutional, legal and regulatory obstacles that hamper efficient slum upgrading initiatives by streamlining legislation.
 - (c) Government will guide development, research and the deployment of the public sector resources to planning, provision of infrastructure and human resource development.
 - (d) Government will strengthen urban authorities by improving their capabilities to employ and retain trained personnel to efficiently manage their resources and infrastructure, and as such enforce planning schemes and ensure provision off the entire essential infrastructure available under decentralization.
3. Government is the enabler
 - a. Local governments and urban authorities should assume primary responsible for upgrading activities and all other stakeholders should orient around this central co-ordination and implementation role.
 - b. Ensuring provision of infrastructure, social services, health and education facilities as demanded by residents the specific upgrading on an affordable and low cost basis;

- c. Providing open, accountable and effective local leadership that brings people together into the on going development;
 - d. Providing a conducive environment for civic engagement and popular participation in decision making;
 - e. Empowering and building capacities of the local people in special skills i.e. participatory informal housing provision, poverty reduction and income generating programmes.
4. It is important to assess ways in which the relative strengths of each stakeholder group can be combined to maximize synergies between their contributions.
 5. Urban upgrading cannot be achieved through government intervention alone. Accordingly, the forging of public-private and community partnerships is critical in encouraging private and households' investment. Partnerships which balance the respective strengths of all stakeholders are the best way forward.
 6. Strengthening community participation in the formulation as well as implementation of upgrading interventions
 7. Government will encourage and support initiatives by other actors geared at improvement of slums (e.g. land banking or consolidation and sites and service schemes).

4. PROPOSED ACTION PLAN

| | Recommended Action | Activities | Output | Performance indicators | Actors | Time frame | COST (shillings in billions) |
|----|---|---|--|---|--|------------|------------------------------|
| 1. | Undertake further slum settlements profiling in all urban areas | 1.1 Document and Quantify the magnitude and characteristics of slums. 1.2 Assess the political, social, physical, economic and institutional factors impacting on slum settlements 1.3 Work out innovative and sustainable upgrading intervention strategies and approaches. 1.4 Set national slum targets taking into account urbanization trends and the MDG slum target. 1.5 Pilot in Kampala and scale up to cover entire city (city-wide upgrading). 1.6 Integrate slum upgrading /slum prevention into national development planning. 1.7 Integrate slum upgrading into urban development strategies | Formation of task forces Data base on slum settlements Slum upgrading integrated into the National Development Plan National slum targets set Innovative and sustainable upgrading approaches | Total no of slum settlements profiled Total no of slum dwellers lives improved | Govt & National Planning Authority CSO & NGOs Urban Councils Donors Slum Dwellers Associations | Immediate | 2.5 |
| 2 | Undertake slum upgrading that promotes adequate housing and improves the lives of people living in them. | Develop a comprehensive slum upgrading program that addresses; 2.1 The identification of beneficiaries 2.1 Target population for upgrading (consideration of gender issues) 2.2 Agree on which kind of upgrading should be undertaken (holistic but phased out upgrading) 2.3 Organize slum dwellers into saving groups and housing associations or cooperatives 2.4 Identification of housing finance and resource mobilisation 2.5 Building technology and labour 2.6 Infrastructure development especially water, sanitation road networks, school facilities and energy 2.7 Establish the legal status of their occupancy or rights on land 2.8 Undertake negotiations with major land owners, local authorities, opinion leaders, cultural and religious leaders, landlords and tenants. 2.9 Involve stakeholders – NGO's and CBOs, and Government Ministries 2.10 Identify best practices in slum upgrading and prevention. 2.11 Undertake slum upgrading on incremental basis 2.12 Replicate slum upgrading initiatives | Slum Upgrading programs and Projects Slum upgrading development plans by local governments Sensitization and Mobilization of slum dwellers Development of Associations Saving and credit groups formed | No of Slum Dwellers Associations formed Number of housing cooperatives registered No. of slums upgraded. Number of people with improved housing conditions | Government, Local Authorities Civic organizations Government Local Governments | Immediate | 15 |

| | | | | | | | |
|-------|---|---|---|--|---|--|------------|
| 3.(a) | Fix the Regulatory Framework to create conditions in which the poor can obtain access to legal, affordable and appropriate housing | <p>3.1 Implement the National Land Use Policy</p> <p>3.2 Fast track the formulation of the Physical Planning law.</p> <p>3.3 Reform the regulatory frameworks as with regard to: planning and building regulations and administrative procedures.</p> <p>3.4 Speed up the enactment of the Building Control Bill</p> <p>3.5 Relax overly restrictive land development regulations and building codes to facilitate investment in housing construction and improvement</p> <p>3.6 Apply appropriate fiscal instruments, including land taxation to promote adequate supply of land and housing and to foster orderly urban development.</p> <p>3.7 Promote research, production and use of local construction technologies and building materials.</p> <p>3.8 Introduce fiscal incentives for real estate developers in the form of tax reductions or exemptions to provide affordable housing</p> <p>3.9 Promote land re-adjustment as a policy of securing serviced land from the private land markets for housing the urban poor.</p> <p>3.10 Introduce a proactive policy of land banking to set aside for future development of affordable housing for the low-income households.</p> <p>3.11 Introduce well-targeted and transparent subsidy schemes-targeting subsidies to poor people for housing and basic services</p> | <p>Regulatory audit done</p> <p>Flexible regulatory framework in place</p> <p>Building control Bill enacted</p> | <p>No. of slum dwellers lives improved</p> <p>Planning and urban management framework improved</p> | <p>Parliament</p> <p>Private Sector</p> <p>Government</p> | <p>Immediate - Medium</p> | 0.2 |
| 3.(b) | Improve access by the urban poor to adequate and affordable land, housing and basic services | <p>3.6 Apply appropriate fiscal instruments, including land taxation to promote adequate supply of land and housing and to foster orderly urban development.</p> <p>3.7 Promote research, production and use of local construction technologies and building materials.</p> <p>3.8 Introduce fiscal incentives for real estate developers in the form of tax reductions or exemptions to provide affordable housing</p> <p>3.9 Promote land re-adjustment as a policy of securing serviced land from the private land markets for housing the urban poor.</p> <p>3.10 Introduce a proactive policy of land banking to set aside for future development of affordable housing for the low-income households.</p> <p>3.11 Introduce well-targeted and transparent subsidy schemes-targeting subsidies to poor people for housing and basic services</p> | <p>Support to financial institutions</p> <p>Tax relief on mortgages</p> <p>Policy changes</p> <p>Purchase land by Local Governments</p> | <p>Affordability levels improved</p> <p>Increased awareness</p> <p>Reduction in construction costs</p> | <p>CSO</p> <p>Urban Authorities</p> <p>Government</p> <p>Government</p> | <p>Medium</p> <p>Immediate</p> | 4 |
| 3.(c) | Improving infrastructure in slum settlements. | <p>3.12 Promote public-private partnerships for financing and developing infrastructure and affordable housing.</p> <p>3.13 Fast track the development of a National Housing Policy</p> <p>3.14 Provide sanitation facilities</p> <p>3.15 Provide safe water</p> <p>3.16 Improve the drainage channels</p> <p>3.17 Provide for improved garbage disposal</p> <p>Upgrade the existing road networks</p> | <p>Subsidy schemes in place</p> <p>Fiscal incentives to Private Sector</p> <p>Public-private partnership National Housing Policy</p> | <p>Increased access to shelter</p> <p>Increase people access to urban land</p> <p>The amount of land banked per year</p> | <p>Urban Councils</p> <p>Private sector</p> <p>SCO</p> | | 20 |
| 4 | Managing urbanization and tackling urban poverty | <p>4.1 Profile urban poverty in Uganda in order to know the extent</p> <p>4.2 Place urban sector issues, human settlements issues and urban poverty on the national development agenda</p> <p>4.3 Develop urban poverty alleviation strategies and measures</p> <p>4.4 Promote local economic development programme (LED) in all urban areas and develop local action plans</p> <p>4.5 Promote balanced and sustainable urbanization</p> <p>4.6 Encourage the development of growth centers in order to decongest the city.</p> <p>4.7 Enhance local authority revenue generation for financial urban development and housing</p> | <p>Urbanisation Policy formulated</p> <p>Local action plans put in place</p> <p>Local revenue enhanced</p> | <p>Increased private sector participation</p> <p>Bylaws enacted</p> | <p>Government</p> <p>Local governments</p> <p>Urban authorities</p> | <p>Immediate</p> <p>Immediate Long term</p> <p>Medium</p> <p>Immediate</p> | 10 |

| | | | | | | | |
|--------------|---|--|---------------------------------------|--|---------------------------------|------------------------|-----------------------------|
| 6.(a) | Promoting partnerships and Re-defining roles of stakeholders | 6.1 Recognize the urban poor as a resource and genuine development partners and forge partnerships with them and empower them to solve their own problems. | Programs in place | Increased confidence among the poor | Government | Immediate | 0.2 |
| | | 6.2 Ensure community involvement in the provision of infrastructure and services, particularly in the areas of the management of local water supply, sanitation, drainage and solid waste management. | Programs to empower the community | Increased level of involvement and participation | Urban Councils | Immediate to long term | |
| 6.(b) | Institutional capacity and co-ordination | 6.3 The central government to promote enabling strategies (in resource allocation, policy initiative, legislative, regulatory and administrative measures). | Review the relevant laws and policies | | SCO | | 0.5 |
| | | 6.4 Promote public private partnerships for financing and developing infrastructure and affordable housing. | Design specific projects | The no of strategies put in place | Govt | | |
| | | 6.5 Promote partnerships with donors and international financial institutions to provide innovative financing for low-income housing and community improvement, including through loan guarantees and seed capital for revolving funds. | Design the program with donors | Projects implemented | Slum Dwellers Association | | |
| | | 6.6 Put in place institutionalized sectoral coordination with key line ministries, urban authorities and | | No of people who have been financed | Government Urban Councils | | |
| | | 6.7 Put in place regular and institutionalized stakeholder participation and involvement forums | | | Donors Development partners | | |
| | | 6.8 Support the work of slum dwellers organizations, especially as regards the development of capacity for collective social action | | | | | |
| | | 6.9 Empower and build capacity of the slum dwellers in special skills i.e. participatory informal housing provision, poverty reduction and income generating programmes | | | | | |
| 7 | Launch the Strategy and Publicise the National Action Plan | 7.1 Organise a national launch of the Slum Upgrading Strategy 7.2 Publicise the National Slum Upgrading Strategy and Action Plan | Organise the launch | Have this national event | MoLHUD UNDP UN-Habitat | Immediate | 0.05 |
| 8 | Implementation, Monitoring and Evaluation | 8.1 The Director of Housing will take the lead in co-ordinating the implementation of the Action Plan 8.2 Linking the Strategy with the Urban Indicators Programme 8.3 A well defined monitoring and evaluation framework will be developed by utilising different performance indicators to evaluate and assess the changes that take place as a result of implementing the Action Plan. 8.4 Monitoring systems will be put in place to provide feed back for further developing and improving the strategy 8.5 Participatory monitoring will be initiated by including community representatives in the monitoring team, and regular surveys among the slum residents to assess the general satisfaction with the interventions. | | | MLHUD UNDP UN-Habitat | Immediate | 0.5 |
| TOTAL | | | | | | | 53.45 Billion UG.SHs |

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Figure 4: Map of Uganda

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