

3 UPGRADING EXISTING AREAS

SUMMARY:

- The objective of upgrading is to improve the physical, social and economic conditions for the benefit of local residents.
- In selecting areas for upgrading, priority should be given to lower-income areas, where conditions are worst and needs are greatest.
- There are two types of settlement covered by upgrading, both with degraded or unimproved services:
 - Formal or planned areas
 - Informal or unplanned areas
- Three basic rules apply to the upgrading process:
 - Minimise displacement;
 - Involve the local community fully in planning and implementation;
 - Plan for incremental delivery of infrastructure & services to match local affordability.
- An upgrading package will comprise a mix of initiatives to improve the development layout and delivery of services; it may also include support to community development.
- Different solutions are required for different areas, with upgrading packages tailored to suit local conditions and local needs.

1 INTRODUCTION

Objectives of upgrading

- 1.1 The basic objective of upgrading is to improve the physical environment of an existing settlement or area of the town for the benefit of the people who live there. The priority will be on low-income areas where conditions are usually worst - but the principles of upgrading can also be applied to higher income areas.
- 1.2 The upgrading of existing areas of the town is one of the two main components of town planning, the other being the planning of new development areas (or expansion areas) to accommodate urban growth.

➔ 2 - Planning New Development Areas.

- 1.3 There are two types of area covered by upgrading:
 - **Formal or planned areas**, with degraded or unimproved services, but some security of land tenure (see Section 2 below);
 - **Informal or unplanned areas** (e.g. squatters or IDPs) with few or no services, with little or no security of land tenure (see Section 3 below).

Three basic rules

1.4 There are three basic rules that apply to all upgrading:

- **Minimise displacement:** It will sometimes be necessary to displace some households - but this must be kept to a minimum and used only as a last resort.
- **Involve the community:** The local community must be fully involved in the upgrading exercise, from planning through to implementation, to ensure that:
 - proposals reflect local needs and aspirations;
 - proposals are affordable by local households;
 - the local community buys in to the upgrading process.
- **Incremental infrastructure delivery:** Plan for the gradual (incremental) improvement of infrastructure and services over time - it will not be possible to provide a high standard of provision from the start.

Different solutions for different areas

1.5 Upgrading is best carried out on an area-by-area basis, rather than trying to tackle the whole town in one.

1.6 Priorities will vary from area to area, depending on the existing conditions and the preferences of the local community. Different solutions will be required for different areas - initiatives need to be tailored to suit the individual area.

A mix of components

1.7 An upgrading programme typically comprises a mix of components, including some or all of the following (see Fig X):

- Regularisation of layout
- Roads/footpaths
- Water supply
- Sanitation
- Electricity supply
- Street lighting
- Solid waste management
- Community facilities
- Support with housing construction
- Secure land tenure

1.8 The chosen mix of components can be combined with other developments that deliver benefits to wider areas, e.g. network infrastructure such as water supply or roads. And these may be supplemented with activities to support community development and stimulate local economic activity.

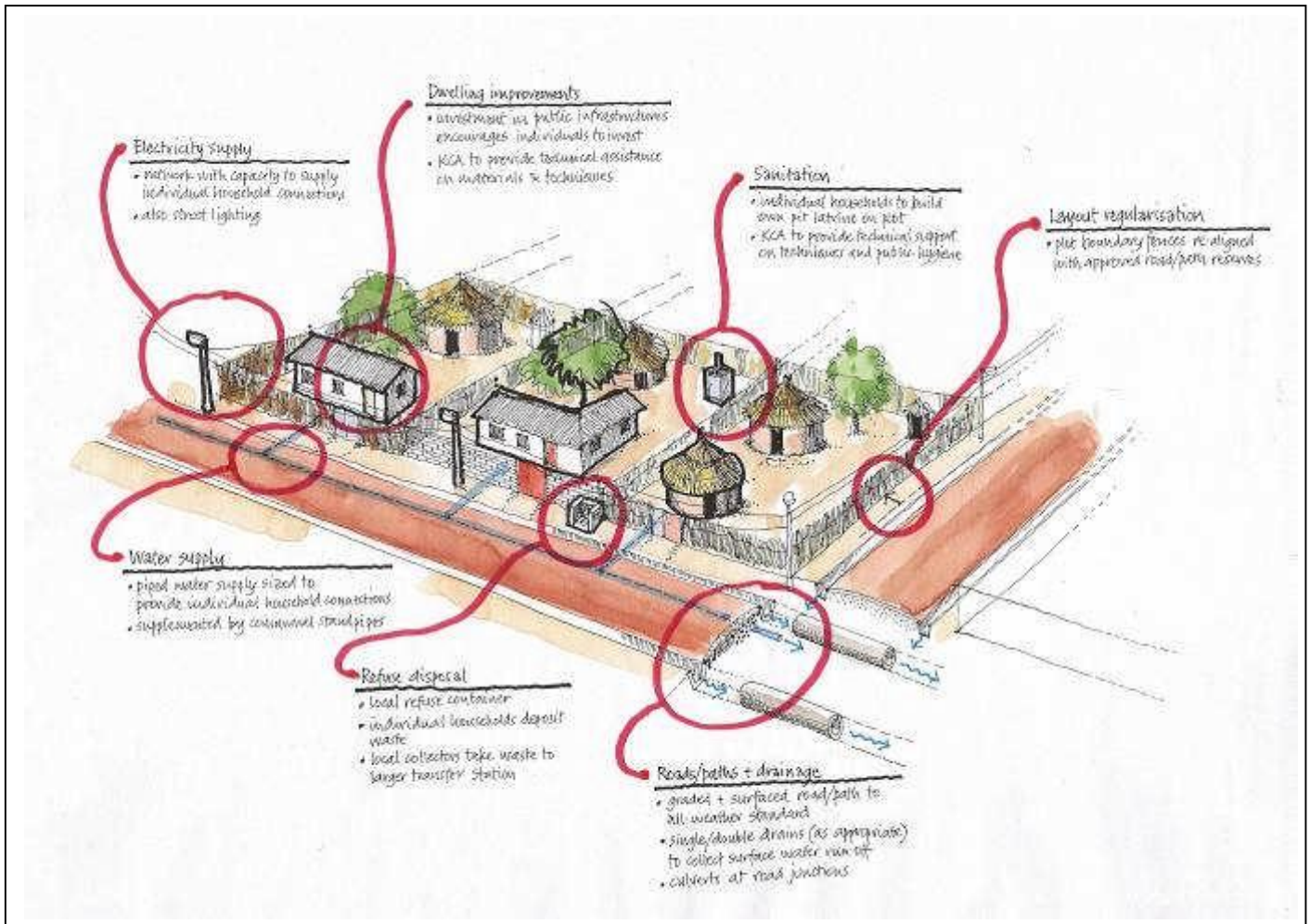
'Painting the whole wall' - an approach to the incremental delivery of services

When painting a wall, you do not paint a small section of the wall with undercoat, second coat and top coat; and then move onto another section; and then to another section.

You paint the whole wall with undercoat; then the whole wall with a second coat; and finally the whole wall with a top coat.

The delivery of services should adopt the 'whole wall' approach – deliver a basic level of services (= undercoat) equally and evenly to all households throughout the town, before providing areas with a higher level of services.

This is a more efficient and more equitable allocation of resources.



2 UPGRADING FORMAL OR PLANNED AREAS

2.1 Formal or planned areas in need of upgrading are typically existing 3rd or 4th Class areas. Plots will have been developed in accordance with an approved layout; but they display some or all of the following characteristics:

- un-surfaced roads/footpaths in degraded condition;
- seriously degraded or lack of public utilities - water supply, sanitation, electricity etc.
- overcrowded living conditions resulting from plot sub-division;
- encroachment of plot development onto road/footpath reserves and open space;
- shortage of local community facilities e.g. schools, clinics.

2.2 Table 1 summarises the issues and actions required to address typical components for upgrading of a formal settlement.

Regularisation of layout

2.3 Development in planned areas may not be strictly in accordance with the original plot demarcation set out by the surveyors. In many cases this will not matter - minor variations that cause no major obstruction or inconvenience can be ignored, as long as the local community accepts them.

- 2.4 But where there is major encroachment onto road/footpath reserves or sites designated for public use (e.g. school, open space), then action will be required.
- 2.5 The regularisation of layout should be carried out sensitively: the aim is to achieve an ordered form of development that restores the basic characteristics of the original plan, while minimising disruption to residents. It is not necessary to impose a precise or rigid 'order'.

Infill development

- 2.6 There may be pieces of land in the town that are unused or under-used. For example: plots allocated to Government departments that are far larger than they need; or plots that have been allocated but never developed; or land they may never have been allocated. This land can be put to good use.
- 2.7 The term ***infill development*** describes the development of unused or under-used land within the existing town structure. This may involve re-drawing the boundary of large underused plots so as to create a new block of 'vacant' land on which additional plots can be set out.

3 UPGRADING INFORMAL/UNPLANNED AREAS

What are informal areas?

- 3.1 Informal or unplanned areas are settlements within the town that have grown spontaneously through the actions of a community or individuals, but are not approved by the statutory planning system.
- 3.2 Residents of informal areas are often migrants or IDPs, usually from lower-income groups, who have been unable to get a formal housing plot and have used their own initiative to house themselves. Some will be recent arrivals; but some will be long-established communities. These are sometimes referred to as squatters (see box).

Upgrade or relocate?

- 3.3 The first issue to be addressed is whether the settlement is to be allowed to remain or is to be relocated.
- 3.4 An informal settlement should not be displaced simply because it is informal or unplanned - this is an important principle. A settlement should remain in place ***unless there is a pressing reason for its removal*** (e.g. site required for a hospital/school, main road etc). So there must be additional factors to justify displacing the settlement - it is not sufficient to say "it is informal so it must be removed."
- 3.5 This leads to two alternative courses of action:
 - ***If the settlement is to remain:*** households are given security of tenure and an upgrading plan is prepared.

- ***If the settlement is to be removed:*** alternative plots must be provided to relocate displaced households.

3.6 The upgrading of informal areas adopts a similar process to that used in formal areas. There are three aspects which require special attention:

- ***Land tenure:*** Residents in informal settlements will usually have no formal land tenure - providing security of tenure is crucial to the success of upgrading an informal settlement.
- ***Community participation:*** Involving the community in the entire planning process will be a major factor in assuring the success of the upgrading programme.

Definitions

Squatter settlement: an area of housing built on land without the agreement – legal or otherwise – of the landowner. Usually low quality housing – but a wealthy house-occupier can also be a squatter.

Slum: An area of housing that was once in good condition, but has deteriorated through lack of investment or subdivision, resulting in crowded accommodation rented out to low-income groups.

Irregular subdivision: Land sub-divided by the legal owner into plots for sale or rent, without following the relevant planning and building laws. Often developed to sub-standard level to cram in more households and maximise the owner's profit.

- ***Regularisation of layout:*** This can be complicated because informal areas often have a very irregular pattern of plot development. The regularisation exercise should aim for a pattern of development which suits the local community and allows the insertion of essential services - but it need not try to convert an irregular pattern into a regular grid.
- Table 2 summarises the issues and actions required to address typical components for upgrading of an informal settlement.

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Table 1: Summary of Upgrading Components - FORMAL/PLANNED AREAS

		FORMAL/PLANNED AREAS	
		ISSUES	ACTIONS
1	Regularisation of Layout	<ul style="list-style-type: none"> - Development may not be strictly in accordance with approved layout plan or demarcated plot boundaries. - Regularisation should be sensitive to achieve ordered development - but should not aim to impose a precise rigid 'order'. 	<ul style="list-style-type: none"> • Minor variations may be ignored if they cause no major inconvenience to public space or adjacent plots. • Action is required where there is major encroachment onto road/footpath reserves, or sites designated for public use (e.g. schools, open space).
2	Roads/Footpaths	<ul style="list-style-type: none"> - Inefficient circulation due to: <ul style="list-style-type: none"> ▪ Degraded condition caused by un-surfaced treatment and poor drainage. ▪ Encroachment of development on reserves. 	<ul style="list-style-type: none"> • Re-establish reserves - sufficient to permit efficient circulation. • Provide appropriate surface treatment and drainage (good drainage is more important than permanent surface). • Street lighting on main roads (see 7 below).
3	Drainage	<ul style="list-style-type: none"> - Lack of effective drainage causes deterioration of road/footpath surface. - Good drainage is more effective for maintaining road/path surface condition than providing a permanent surface. 	<ul style="list-style-type: none"> • Provide drainage along road/path, linked to area/district drainage network.
4	Water Supply	<ul style="list-style-type: none"> - Poor water supply is a major public health hazard and imposes disproportionate high costs on low-income households. - Plan proposed service level to match local affordability, with user charges levied for cost-recovery. - ⌘ Urban Water Corporation 	<ul style="list-style-type: none"> • Tanker supply > communal stand-pipe > grouped stand-pipe > individual household supply. ➔ XX - Water Supply
5	Sanitation	<ul style="list-style-type: none"> - Poor sanitation is a major public health hazard. - Proposed service level will depend on local affordability. - Note: water-borne sanitation (piped sewerage) is a very expensive option that will not meet local affordability levels. ⌘ Public Health Office 	<ul style="list-style-type: none"> • Communal latrines > shared/individual pit latrine > shared/individual septic tank. • Focus on 'on-plot' systems. • Pit latrines are the preferred low-cost option - but only viable where ground conditions are suitable. ➔ XX - Sanitation
6	Electricity Supply	<ul style="list-style-type: none"> - Poor electricity supply impacts on the quality and economic value of evening/night time, especially for low income households. - Also important to support economic activity. - The simplest utility to provide because it is installed above ground and so is relatively cheap and 'mobile'. - Proposed service level will depend on local affordability. 	<ul style="list-style-type: none"> • Individual supply on demand. • Street lighting (see 7 below). ➔ XX - Electricity Supply

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Table 5A.1 continued

		ISSUES	ACTIONS
7	Street Lighting	<ul style="list-style-type: none"> - Relatively low-cost installation with significant social and economic benefits. - Highly valued by local communities. <p>⌘ Electricity Corporation</p>	<ul style="list-style-type: none"> • Priority given to public activity nodes, and main pedestrian routes and roads. <p>⇒ XX - Electricity Supply</p>
8	Solid Waste Management	<ul style="list-style-type: none"> - Domestic and industrial waste is a potential serious health hazard, encouraging vermin, blocking drains etc. - Complete chain needs to be created from household collection to safe disposal. - Offers potential to create local employment - refuse collectors, manufacture of collection bins, handcarts etc). <p>⌘ Public Health Office, Ministry of Health</p>	<ul style="list-style-type: none"> • Create collection/disposal chain: household collection > local transfer station > district transfer station > sanitary landfill. • Engage CBOs and NGOs to operate lower chain activities (household collection > local transfer station > district transfer station).
9	Community facilities	<ul style="list-style-type: none"> - Plan sites for local schools, clinics, shops, markets, playing areas etc appropriate for the local population. <p>⌘ Ministry of Education ⌘ Ministry of Health ⌘ Ministry of Trade & Commerce</p>	<ul style="list-style-type: none"> • Supply in accordance with relevant planning standards. <p>⇒ XX - Social Infrastructure</p>
10	Housing	<ul style="list-style-type: none"> - Virtually all housing is private - so the State role is to provide conditions that encourage individuals to build/improve their own housing. - Combination of legal and technical initiatives. 	<ul style="list-style-type: none"> • Provide security of tenure - this is the major incentive for encouraging self-improvement of dwellings (see 11 below). • Supply building materials at cost price (no profit). • TA in building techniques that are durable and cost-effective.
11	Land Tenure	<ul style="list-style-type: none"> - Most properties will be subject to some formal tenure - but not necessarily sufficient security of tenure. - Old 3rd/4th class housing designation gave short leases that provided a disincentive to invest in housing improvement. <p>⌘ Land Commission</p>	<ul style="list-style-type: none"> • Modified tenure conditions with longer leases will encourage householders to invest in their property. • In parallel need to institute sensible land tax as contribution towards upgraded services.

Table 2: Summary of Upgrading Components - INFORMAL/UNPLANNED AREAS

		INFORMAL/UNPLANNED AREAS	
		ISSUES	ACTIONS
1	Regularisation of Layout	<ul style="list-style-type: none"> - Irregular development pattern needs to be regularised so as to define plot boundaries (for land tenure) and insert public utilities. - Regularisation should be sensitive to achieve ordered development - but should not aim to impose a precise rigid 'order'. 	<ul style="list-style-type: none"> • Layout regularisation should be just sufficient to allow provision of basic infrastructure components (see below) • Community will participate in regularisation planning, to indicate what degree of change they are willing to accommodate.
2	Roads/Footpaths	<ul style="list-style-type: none"> - Inefficient circulation due to: <ul style="list-style-type: none"> ▪ Lack of clear road & footpath network ▪ Degraded condition caused by un-surfaced treatment and poor drainage. 	<ul style="list-style-type: none"> • Discuss circulation requirement with local community, and propose alternative networks. • Propose alternative networks that improve circulation but minimise displacement. • Street lighting on main routes (see 7 below).
3	Drainage	<ul style="list-style-type: none"> - Lack of effective drainage causes deterioration of road/footpath surfaces and affects individual housing plots. - Good drainage is more effective for maintaining road/path surface condition than providing a permanent surface. 	<ul style="list-style-type: none"> • Provide drainage along road/path network, linked to area/district drainage network.
4	Water Supply	<ul style="list-style-type: none"> - Poor water supply is a major public health hazard and imposes disproportionate high costs on low-income households. - Proposed service level to be matched to local affordability, with user charges levied for cost-recovery. <p>⌘ Urban Water Corporation</p>	<ul style="list-style-type: none"> • Tanker supply > communal stand-pipe > grouped stand-pipe > individual household supply. <p>⇒ XX - Water Supply</p>
5	Sanitation	<ul style="list-style-type: none"> - Poor sanitation is a major public health hazard. - Proposed service level and type will depend on local affordability. <p>⌘ Public Health Office, Ministry of Health</p>	<ul style="list-style-type: none"> • Communal latrines > shared/individual pit latrines > shared/individual septic tank. • Focus on 'on-plot' systems - • Pit latrines are the preferred low-cost option - but only viable where ground conditions are suitable. • Location of communal facilities to be agreed with local community. <p>⇒ XX - Sanitation</p>
6	Electricity Supply	<ul style="list-style-type: none"> - Poor electricity supply impacts on the quality and economic value of evening/night time, especially for low-income households. - The simplest utility to provide because it is installed above ground and so is relatively cheap and 'mobile'. - Proposed service level will depend on local affordability. <p>⌘ Electricity Corporation</p>	<ul style="list-style-type: none"> • Individual supply on demand. • Street lighting (see 7 below). <p>⇒ XX - Electricity Supply</p>

Table 5A.2 continued

		ISSUES	ACTIONS
6	Electricity Supply	<ul style="list-style-type: none"> - Poor electricity supply impacts on the quality and economic value of evening/night time, especially for low-income households. - Also important to support economic activity. - The simplest utility to provide because it is installed above ground and so is relatively cheap and 'mobile'. - Proposed service level will depend on local affordability. <p>⌘ Electricity Corporation</p>	<ul style="list-style-type: none"> • Individual supply on demand. • Street lighting (see 7 below). <p>⇒ XX - Electricity Supply</p>
7	Street Lighting	<ul style="list-style-type: none"> - Relatively low-cost installation with significant social and economic benefits. - Highly valued by local communities. <p>⌘ Electricity Corporation</p>	<ul style="list-style-type: none"> • Priority given to public activity nodes, and main pedestrian routes and roads. <p>⇒ XX - Electricity Supply</p>
8	Solid Waste Management	<ul style="list-style-type: none"> - Domestic and industrial waste is a potential serious health hazard, encouraging vermin, blocking drains etc. - Complete chain needs to be created from household collection to safe disposal. - Offers potential to create local employment - refuse collectors, manufacture of collection bins, handcarts etc). <p>⌘ Public Health Office, Ministry of Health</p>	<ul style="list-style-type: none"> • Create collection/disposal chain: household collection > local transfer station > district transfer station > sanitary landfill. • Engage CBOs and NGOs to operate lower chain activities (household collection > local transfer station > district transfer station).
9	Community facilities	<ul style="list-style-type: none"> - Plan sites for local schools, clinics, shops, markets, playing areas etc appropriate for the local population. <p>⌘ Ministry of Education ⌘ Ministry of Health ⌘ Ministry of Trade & Commerce</p>	<ul style="list-style-type: none"> • Supply in accordance with relevant planning standards. • Agree location and sites with local community. <p>⇒ XX - Social Infrastructure</p>
10	Housing	<ul style="list-style-type: none"> - Secure land tenure will be the critical incentive to housing improvement (see 11 below). 	<ul style="list-style-type: none"> • Provide security of tenure - this is the major incentive for encouraging self-improvement of dwellings (see 11 below). • Supply building materials at cost price (no profit). • TA in building techniques that are durable and cost-effective. <p>⇒ 8 - Housing</p>
11	Land Tenure	<ul style="list-style-type: none"> - All/most properties will have no formal secure tenure. <p>⌘ Land Commission</p>	<ul style="list-style-type: none"> • Modified tenure conditions with long leases will encourage residents to invest in their property. • In parallel, need to institute affordable land tax as contribution towards upgraded services. <p>⇒ 9 - Land Management</p>