

Participatory Slum Upgrading Index



Participatory slum upgrading index (PSUIv1): A conceptual framework and tool

UN-Habitat Participatory Slum Upgrading Programme (PSUP) Team 2021

and

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Participatory Slum Upgrading Index



A Brief Summary of the PSU

Slum households \neq slum areas (*City Slum Index*)

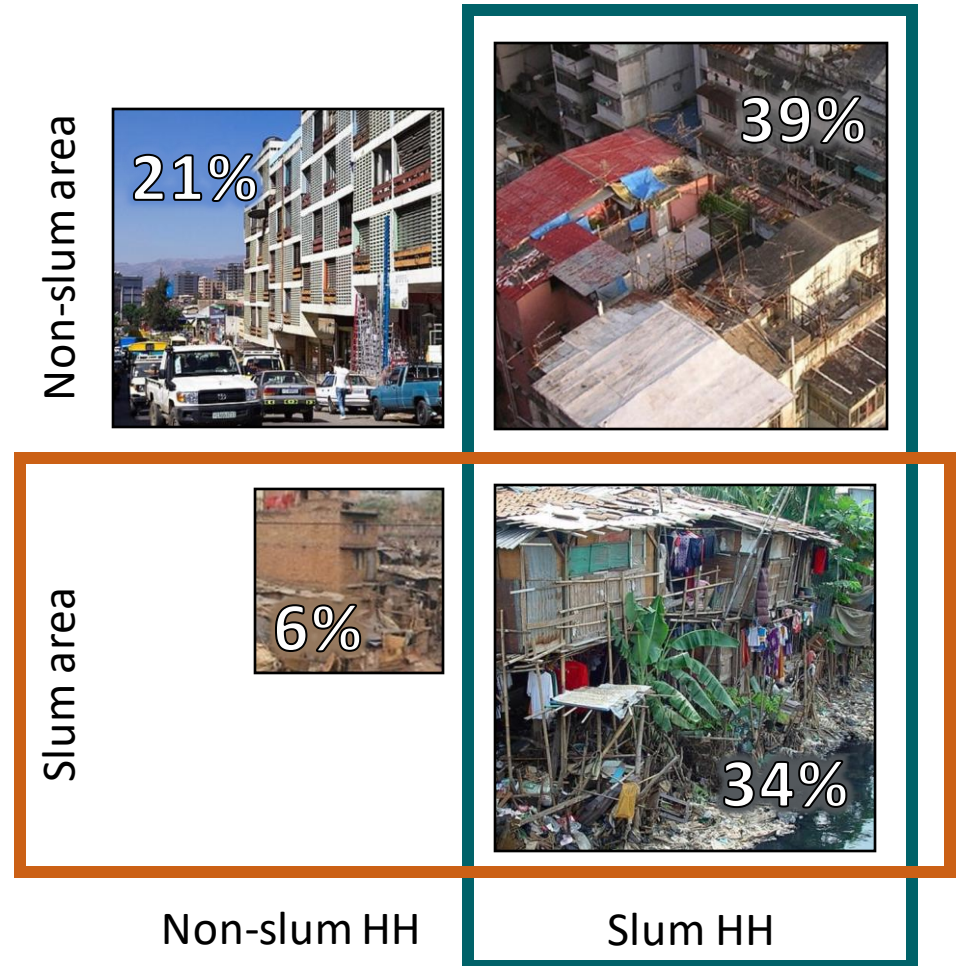
- Slum households (green)

- Unimproved water
- Unimproved toilet
- Overcrowding
- Non-durable housing
- *Insecure tenure (rarely measured)*

- Slum areas (orange)

- Social risk – e.g. crime
- Environmental risk – e.g. flooding
- Lack facilities – e.g. schools
- Lack infrastructure – e.g. roads, bus
- Unplanned high-dense buildings
- Contamination – e.g. trash, sewer, air
- Land rights – e.g. zoning, ownership

Chennai, India (2005 NFHS)



City Slum Improvement Index (CSII) and City Slum Index

- CSII is comprised of the larger context in which the city is situated (light blue circle), **enabling factors** (medium blue circle), and **strategies** (dark blue circle).
- CSI has two main components;
 - ❑ summary scores for each domain, classified by quintile
 - ❑ overall city score normalized to the scale 0-100, where 100 is the best performing city measured.

City Slum Improvement Index
 External context
 Enabling factor (how)
 Strategy (what)



City Slum Index
 Poverty & Housing Distribution
 City Indicators





Motivation: Why a PSUI?

- **Qualities**

- **Statement:** Underscores and measures important values embedded in practices of *insitu* participatory slum upgrading
- **Practical:** Targets the interface of what the public needs/wants, and what local governments/actors can actually provide

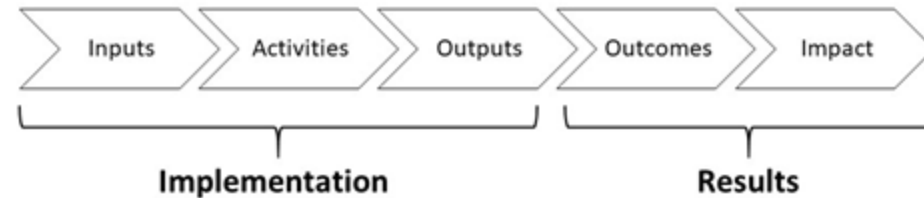
- **Use**

- **Policy and decision-support tool:** Generates ideas about slum upgrading programme/policy/practice improvements & investments (**primarily LG**)
- **Evaluation:** Enables monitoring of *insitu* participatory slum upgrading within a city over time, or comparisons of approach/progress across cities



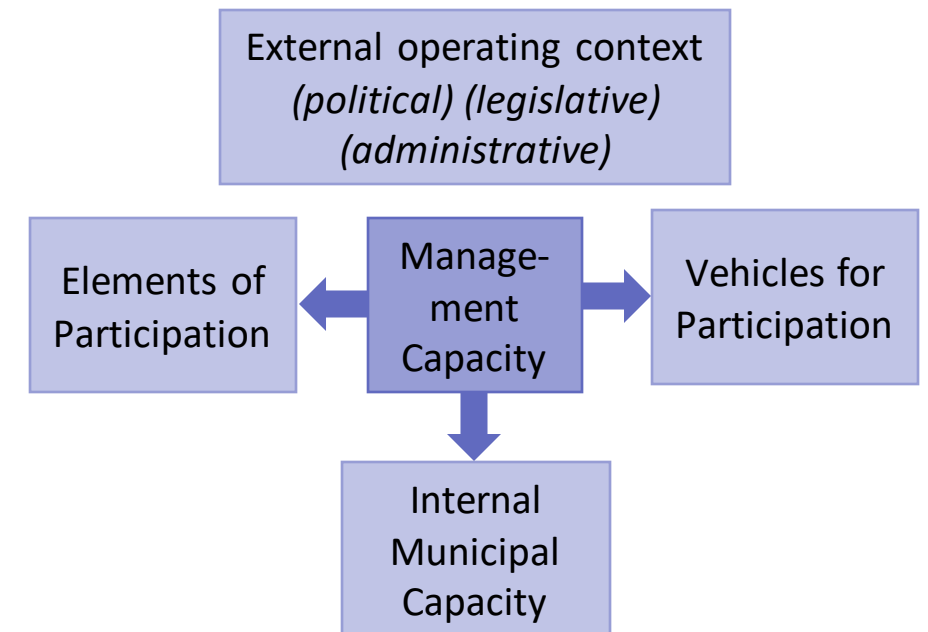
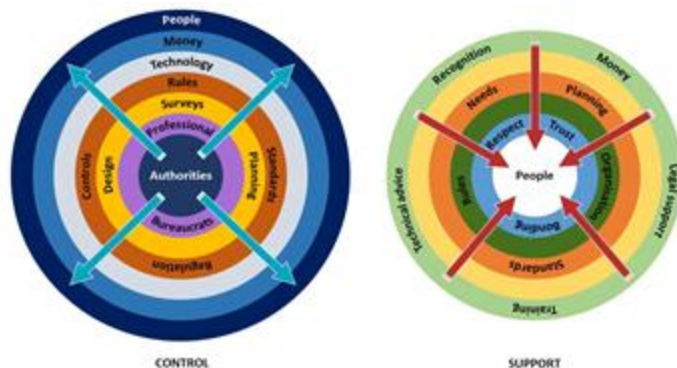
Inspiration for PSU Framework

- Concept of causality: Theory of Change Results Framework



- Enabling environment / context components: Plummer (2000)

- Activity and output components:
(PSUP City Profiling Questionnaire)



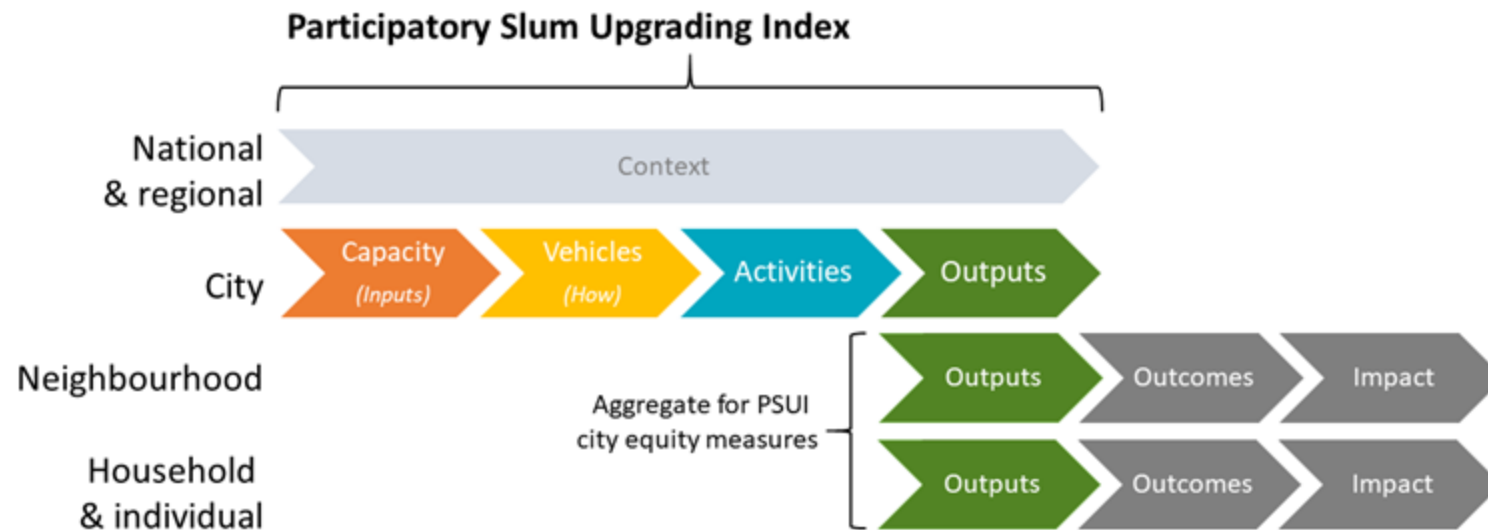


PSUI Framework characteristics

- Distinguish slum upgrading from slum prevalence



- Measure PSUI at the city scale



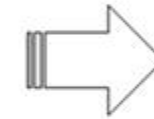
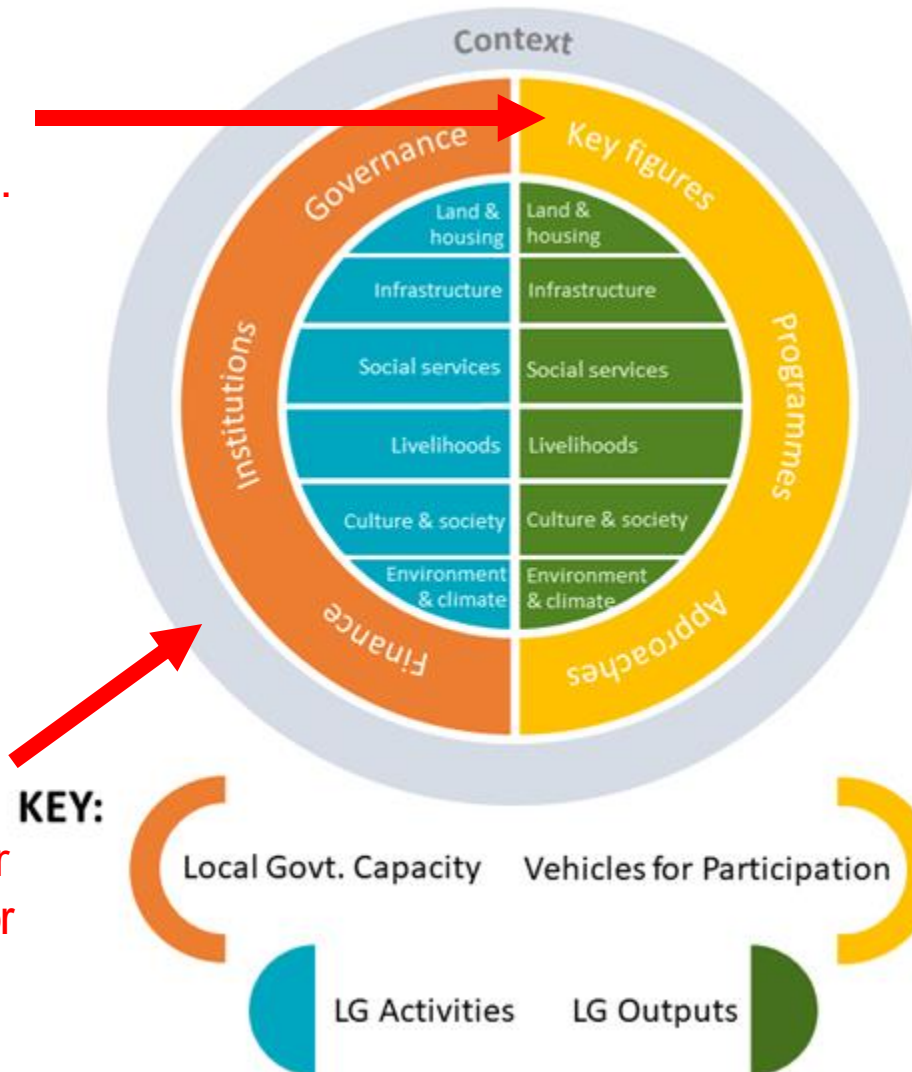


PSUI Framework characteristics

In data-driven frameworks, a concept like “vehicles for participation” is rather unique.

Many frameworks include “participation” generically without measuring the type & quality of participation (e.g., manipulative, consultive, a partnership, or full citizen control.)

Context is conceptualised as a “modifier”, and important for tailoring the index itself and/or interpretations of the index and sub-indices.



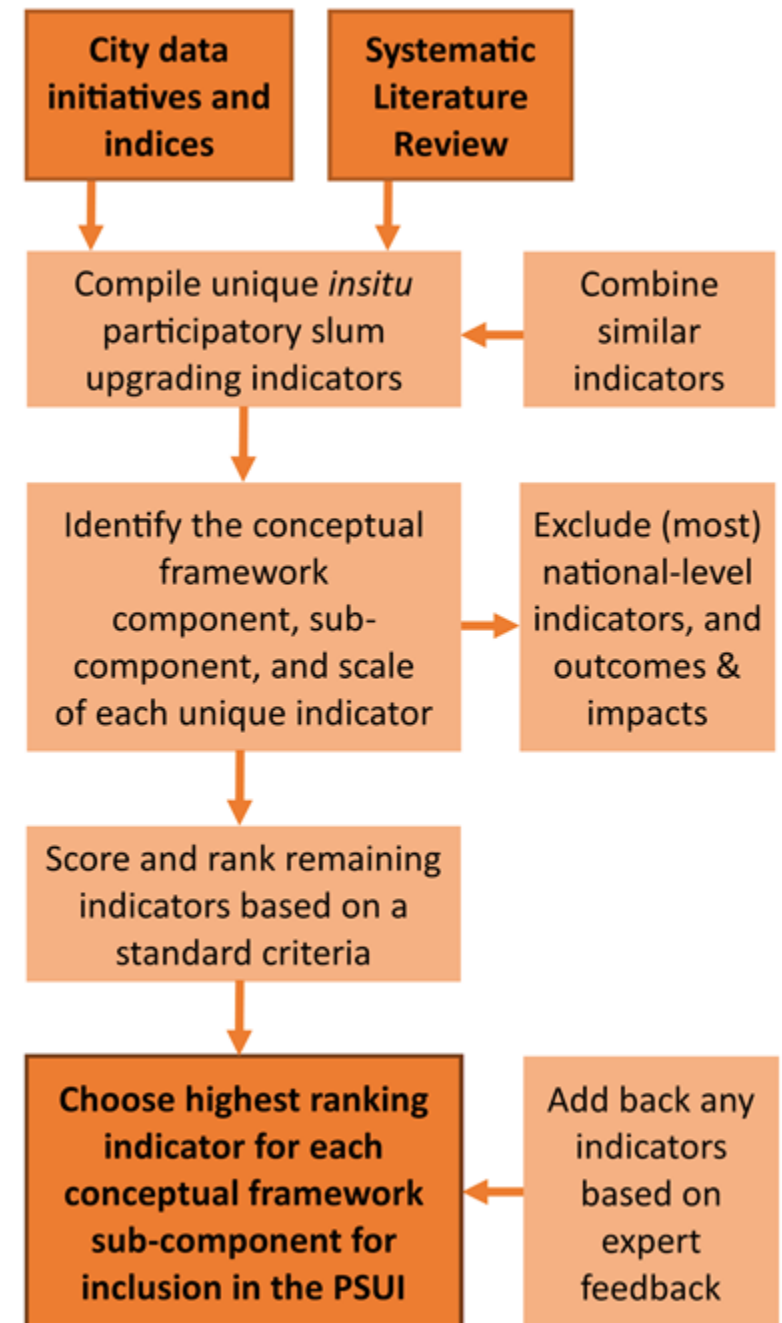
Major reduction in slums
Moderate reduction in slums
No change in slums
Moderate increase in slums
Major increase in slums



Not currently measurable in an accurate & comparable way across cities. Current PSUIv1, avoids use of this as a metric of successful slum upgrading.

Indicator definition & selection

- Applied mixed-methods would be ideal
- Without research budget & COVID limits, settled on a systematic approach drawing on:
 - Practitioner (“grey”) & researcher (“scientific”)
 - Qualitative (descriptive) & quantitative (numeric)
- Open to encouraging consensus-based local indicator development in addition to, or instead of, prescriptive indicators



PSUI indicators (Proposed)



Context [Prepopulated]

Used later to tailor interpretations / guidance

LG Capacity Indicators

Finance	Public-private-partnership score
Finance	Revenue per capita
Finance	Own source revenue vs total
Institutions	Planning & management score
Institutions	Perceived corruption
Governance	Civil society assoc. in slums rate
Governance	Access to information
Governance	Elected officials who are women
Governance	Voter turnout

Other city capacities Indicators

Comm. Gov.	[TBD]
NGO roles	NGO involvement in upgrading
Cross sector coord.	[TBD]

LG Vehicles Indicators

Key Figures	Slum upgrading champion(s)
Key Figures	Role of engineers in upgrading
Programmes	Prog. for women/minorities score
Approaches	Nature of poverty assessments
Approaches	Nature of participatory upgrading

LG Activities Indicators

Land & Housing	Land legalisation and rights score
Land & Housing	Regional and metropolitan plans
Land & Housing	Affordable housing & upgrading policies
Land & Housing	Expenditures on upgrading & poverty
Infrastructure	Citizen rights to services score

LG Outputs Indicators

Land & Housing	Equity ratio in housing costs
Infrastructure	Percent coverage of water lines
Livelihoods	Percent GDP from informal sector

Where we are: PSUI Self evaluation beta tool



City-level Participatory Slum Upgrading Index (C-PSUI) Self-Assessment Tool: Beta field testing

By Dana R. Thomson, Joshua Maviti, Robert Ndugwa, Kukka Ilmanen, Ana Cubillo Arias, Kerstin Sommer
May 2022

Instructions

- Using a participatory process, **assemble key city stakeholders** from local government, communities, civil society, etc. This group will use the C-PSUI Beta Tool to take stock of current city-wide participatory slum upgrading and diagnose specific policies, programmes, and practices that might be improved to bolster the success and sustainability of city-wide slum upgrading.
- As a group, answer the 19 participation-related questions on the C-PSUI tab. The overall **city-wide participatory slum upgrading index (C-PSUI) score** is calculated at the top of the sheet reflecting the quality, quantity, degree, and diversity of community participation. The C-PSUI

Resources:

- * [Quick Guide for participatory, city-wide slum upgrading](#)
- * [A Practical Guide to Designing, Planning, and Executing Citywide Slum Upgrading Programmes](#)
- * [E-Learning Platform for Participatory Slum Upgrading](#)

Link: [Participation Index form](#)



(Select one) Country
City
Date



C-PSUI score
participation **0**

#: Indicator	Question	Calculation	Raw Score	Adj. Score
Participation – Community participation in slum upgrading				
Design Phase				
Q1.1: Design Quality	Choose the one category that best describes the local government's approach to designing urban development projects in slum communities:			
	None: no engagement by local government; community is unaware of plan until it happens (0)	<input type="radio"/>	Score [0-5]	0
	Forum: local government holds general open public forums (1)	<input type="radio"/>		
	Information: local government informs specific communities of existing plan before it happens, but without seeking feedback (2)	<input type="radio"/>		
	Consultation: local government proposes a plan to specific communities and seeks feedback (3)	<input type="radio"/>		
	Cooperation: local government acts on plans proposed by specific communities (4)	<input type="radio"/>		
	Mobilise: local government mobilises specific communities without	<input type="radio"/>		0.00

Get Started Participation Index Readiness Indices

Get Started Participation Index Readiness Indices

Accessibility: Investigate

Accessibility: Investigate

24°C
Mostly cloudy

24°C
Mostly cloudy



What we do next



Testing (30 cities): Planned (we need support with networks)



Global Publication: Planned



**City Slum Index
development (?)**

Publish a joint paper