

The Building and Social Housing Foundation is a research institute based in Coalville, Leicestershire. It is an independent research body which gained its financial endowment from a building organisation formed by a group of homeless and penniless ex-servicemen just after World War Two.

The Foundation carries out research into all aspects of housing, concerning itself with the immediate and practical problems of housing today, as well as attempting to look to the future in a progressive and imaginative way. Of particular interest is the need to identify solutions rather than problems.

In all its work it aims to avoid bureaucracy, eliminate the waste of resources and encourage self-help and self-reliance.

**BNSHF**

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## PRESENTATION OF THE WORLD HABITAT AWARDS



WORLD HABITAT DAY 2003  
RIO DE JANEIRO, BRAZIL

Prepared by Diane Diacon and Silvia Guimarães

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## World Habitat Awards 2004 Entry Form

Please provide the following information relating to the entry that you are submitting. At the preliminary submission stage this need only be in the form of a concise summary of the scheme, which contains the following information. Please detach this sheet and enclose with the information provided. Thank you.

**Please note that submissions can also be made online at [www.bshf.org](http://www.bshf.org)**

### BACKGROUND INFORMATION

- When did the project commence?
- Who initiated the project?
- What is the main purpose of the project?

### PROJECT DESCRIPTION

- What are the key features of the project?
- What did the project cost to build?
- Who are the main beneficiaries of the project?
- Describe briefly the costs of the project and/or planned future funding of the project.
- What has been the involvement of the local community in the project (if applicable)?
- What future plans (if any) are there for the project?

### INNOVATION AND REPLICATION

- What are the key innovative aspects of the project?
- To what extent has the project been replicated either locally, nationally or internationally (if applicable)?

### SUPPORTING INFORMATION

You are asked to submit the following supporting information, where possible:

- Photographs showing the key elements of the project (where projects are completed or in progress).
- A plan of the main features of the scheme (where the project is at design stage only).

### I CONFIRM

that the information contained in this entry is accurate to the best of my knowledge and there are no restrictions or fees payable on the publication of any material submitted.

Signed \_\_\_\_\_ Date \_\_\_\_\_

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## A World Habitat Day Message



Mr Kofi Annan  
*Secretary-General, United Nations*

The theme of World Habitat Day 2003 – Water and Sanitation for Cities – highlights the need to provide the urban poor with clean water and decent sanitation.

In a rapidly urbanising world, where already half of the world's population lives in cities and towns, at least one billion people suffer from the dangers and indignities associated with the lack of clean water and adequate sanitation. In Africa, as many as 150 million residents, or 50 per cent of the urban population, do not have adequate supplies of water, while 180 million lack adequate sanitation. In urban Asia, 700 million people, again half the urban population, lack clean water, and 800 million are without adequate sanitation. In Latin America the figures are 120 million

and 150 million respectively. Everywhere, poor people tend to pay much more than the rich for water. Moreover, many governments, international financial institutions and aid agencies have concentrated their efforts on rural areas, assuming that the poor in cities are comparatively privileged when it comes to the provision of water and sanitation, whereas it is becoming increasingly clear that the number of inadequately served urban dwellers is much higher than officially acknowledged.

Increased investment is critical, whether small-scale projects at the local level or national efforts to build up essential infrastructure. Community participation, good governance and public-private

partnerships are equally important. And since as much as 50 per cent of a developing country's urban water supply can be wasted through leakage or poor administration, greater emphasis must be placed on management strategies, which can increase efficiency, improve maintenance and, through better billing systems, raise the income of local authorities. To be truly equitable, water management strategies and practices must extend to the national and regional level, and encompass all water users, including agriculture, which accounts for more than three-quarters of all freshwater consumption.

Cities and towns have always been centres of opportunity, but without adequate shelter and basic services, urban environments can be among the most life threatening on Earth. In agreeing on the Millennium Development Goals, Governments pledged to halve the number of people without clean water and decent sanitation by 2015, and to improve the living conditions of at least 100 million slum dwellers by 2020.

On World Habitat Day, let us all pledge to do our part to ensure adequate sanitation and clean water for all the inhabitants of the world's cities.

## Water and Sanitation for Cities



Dr Anna Tibaijuka  
Under-Secretary-General, United Nations and  
Executive Director, UN-HABITAT

Every year World Habitat Day gives the world community an opportunity to reflect on the living conditions of the people across this planet, to assess the progress made in achieving peoples' aspirations for a better living environment, and to resolve with renewed vigour to take on the challenge ahead. Water and Sanitation for Cities is the theme of the World Habitat Day this year, which is also designated as the Year of Freshwater by the General Assembly of the United Nations.

The city of Rio de Janeiro, which hosted the Earth Summit in 1992, symbolises hope for the future, hope for the generations to come. What could be a more appropriate venue to raise the global awareness on water and sanitation – an issue that is

central to sustaining life and development on this planet?

Brazil is an old, trusted ally of UN-HABITAT and has been an active partner in its recent revitalisation process, which culminated in the upgrading of the organisation into a fully-fledged programme of the United Nations. With two ten-million-plus megacities, and as one of the highly urbanised countries in the developing world, Brazil has a deep understanding of the complexities of urbanisation and the challenge of managing this process. The country is at the forefront of many innovations in urban management which UN-HABITAT has always admired and disseminated widely among other developing countries.

Sustainable development starts with people's health and dignity. Yet we have entered the new Millennium with these fundamental conditions of human development unmet. More than a billion people in the developing world lack safe drinking water. Nearly three billion people live without access to adequate sanitation. Deprived of these life sustaining services, the poor cut their consumption of clean water and pay the price in death, disease and lost wages. By the time we conclude our discussion this morning, some 1,800 children will probably lose their lives because their water supplies are contaminated and sanitation facilities are inadequate or non-existent.

Women today constitute 70 per cent of the world's absolute poor and they pay a heavy price in procuring this life-sustaining commodity for their families through daily drudgery and lost opportunities. A girl child is often forced to trade education for water. Sanitation can be far more than a public health issue to her: it determines her privacy. What is often forgotten is that countries pay equally dearly when an epidemic visits a city and even engulfs a region – as happened in South America in the early nineties and more recently, in East Asia – with disastrous loss of lives, trade and tourism and enormous national medical bills.

It is indeed a sobering thought that a most blatant breach of a human right – the right of access to clean drinking water and basic sanitation – is happening right now to a third of the world's people in the slums, shanties and favelas of our cities and towns. Archbishop Desmond Tutu was not being cynical when he said during the World Summit on Sustainable Development that "no issue has ever been more neglected.

And it has been neglected because it is of concern mainly to the poor and the powerless".

It is, therefore, truly gratifying to see that water and sanitation is finally receiving its due recognition at the international level. The Millennium Summit and the World Summit on Sustainable Development have set clear, time-bound targets for access to safe water and basic sanitation. World leaders, meeting at the G-8 Summit in Evian, France in June this year, have adopted a Plan of Action for Water. Much, however, remains to be accomplished to translate these internationally agreed goals and targets into concrete action at local level. The World Habitat Day this year provides a good opportunity to reflect on the challenges ahead.

The battle for water and sanitation will have to be fought in human settlements, particularly in the slums and shanties of the growing urban areas of developing countries. Ninety per cent of population increase in the coming decades will take place in developing countries, and most of this will take place in the peri-urban settlements which currently are home to nearly half of urban populations. Achieving the avowed goals that we have set for ourselves will remain a distant dream if we do not focus on the slums of Nairobi, the bustees of Calcutta and the favelas of Rio.

Winning this battle will not be easy, given the mounting population pressures, rapid urbanisation and all round resource constraints within which all of us will have to work. We all know that a business-as-usual approach will not be enough. We need a fundamental change in our approach – we need a strategy that is workable, realistic and will make a

difference in the lives of the people. What are the key elements of this strategy?

Unquestionably, the commitment of policy makers to translate these global goals into country and city level goals and targets will be the first step. The goals may be global in character but they must be implemented locally, where the people live and shelter and services are required.

It will be equally important to put in place, early on, an effective monitoring mechanism that will allow tracking progress towards achieving these goals. UN-HABITAT has been assigned the responsibility to assist United Nations member states in monitoring the global "Cities without Slums" target of the United Nations General Assembly to improve the lives of at least 100 million slum dwellers by the year 2020. Access to safe water and sanitation will be two important indicators of slum improvement, if we are going to begin to make progress in improving the lives of the 150 million women, children and men who live in precarious settlements in the cities of this region alone.

Turning to policy priorities, the time has now come for governments to shift gear from a needs-based approach to a rights-based approach in providing water security to the poor. Last year, the United Nations Committee on Economic, Social and Cultural Rights recognised that water itself was an independent right, as it was one of the most fundamental conditions for survival. Recognition of this right in national policy-making and legislation is critical to bring about a fundamental change in our approach that has been referred to earlier. We are focusing on this issue through our two global campaigns on Secure Tenure and on Good Urban Governance.

Secondly, there is an urgent necessity to manage the urban water demand onto a sustainable track before it spirals out of control. Unfortunately, much less attention is paid by governments and the international community to demand management strategies than they actually deserve. Water loss through poor management, pirate connections and decaying water lines is commonplace in this region as well as in others. Losses of between 30-50 per cent are not unusual. Effective public information campaigns and water education can go a long way to sensitise people to use water with responsibility and reason. Demand management could "buy precious time" by postponing investments which are extremely costly and increase the public debt burden. UN-HABITAT's regional programmes are helping to establish a new model for urban water management in African and Asian cities already, and we are looking forward to working with governments and cities in this region as well.

Thirdly, we must address with priority the increasing pollution of water sources by waste generated by the cities. This pollution problem is becoming particularly severe in Latin America and the Caribbean, affecting the coastal cities and seaside resorts. In many cities and metropolitan regions the reservoirs have become so polluted that the cost of water treatment is becoming exorbitant. The rapidly growing cities of Asia and Africa are facing very similar problems.

Finally, there is an alarming decline in per capita investment in water and sanitation in most developing country cities. The annual flow of resources to the sector will have to increase all round – and should double at a minimum – if global and national targets

are to be reached. An important lesson that we and others in the United Nations have learnt from our regional water programme is the need to link capacity building to follow-up investment. For example, collaboration with the World Bank led to significant investment in demand management in African cities.

UN-HABITAT, for example, has strengthened this link between capacity building and investment in Asia by building partnership with the Asian Development Bank from early on. The \$500 million loan to be provided by the Bank through the Water for Asian Cities Programme will facilitate investments in water and sanitation in Asian cities targeted to the poorest of the poor. A Memorandum of Understanding has also been signed with the President of the Inter-American Development Bank for widening collaboration, with particular focus on water and sanitation in the Latin American region.

On the World Habitat Day in October last year, I announced the establishment of a new Water and Sanitation Trust Fund. This Fund will assist developing countries in their effort to achieve the Millennium Development Goal for water and sanitation. I am grateful to Norway, Sweden and Canada for their initial support to the Fund. It is my own hope that this Fund, along with other similar initiatives of the international community, financial institutions, the private sector and

governments will go a long way to make sure that no one on this earth will be without the basic requirements for human life and dignity, that not one more child will die needlessly because of a lack of clean water and basic sanitation.

## The World Habitat Awards



Mrs Diane Diacon  
Director  
Building and Social Housing Foundation

The annual World Habitat Award competition was established in 1985 by the Building and Social Housing Foundation to identify innovative and sustainable housing solutions. The Foundation also works to ensure that the ideas and approaches developed in the winning projects are widely shared, by organising study visits, as well as publishing and disseminating information in a range of formats.

The winning projects receiving their awards in 2003 are Common Ground Community's Prince George Hotel in New York, USA and the Gram Vikas Rural Health and Environment Programme in Orissa, India. Despite the differences in the context of the two projects, one being located in rural India and the other in downtown

Manhattan in New York, they have much in common. In both cases the living conditions of the poorest people in society have improved dramatically and supportive, enabling community structures have been developed. Details of the two projects are set out below.

Dr Anna Tibaijuka, Under-Secretary-General of the United Nations and Executive Director of UN-HABITAT and Mr Olivio Dutra, Minister for Cities of the Brazilian Government presented a cheque for £10,000 and a World Habitat Award trophy to each of the two winners. It is a requirement of the Award that part of the prize money be spent encouraging the replication of the programme.





*Mr Joe Madiath and Mr Liby Johnson receiving the WHA trophy on behalf of the Gram Vikas Rural Health and Environment Programme*



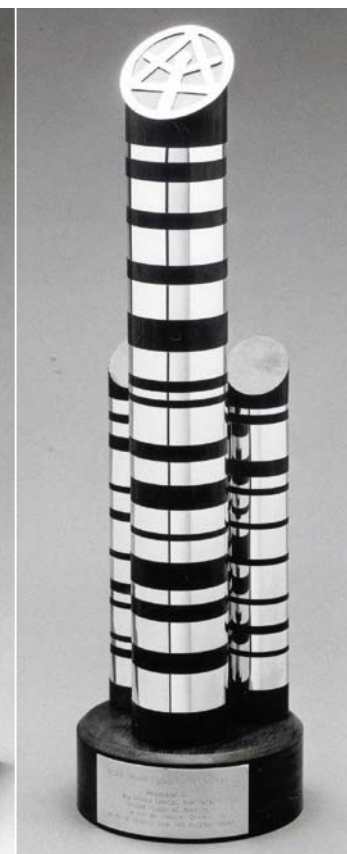
*Ms Rosanne Haggerty and Mr Tony Hannigan receiving the WHA trophy on behalf of the Common Ground Community Prince George project*

The sterling silver trophies are individually designed and crafted by students of Metalsmithing and Jewellery in the Faculty of Art and Design, De Montfort University, Leicester. Each year a competition is held for

the silversmithing students to find the two best designs for the trophy, which must be predominantly crafted in solid silver and contain the symbol, in some form, of the International Year of Shelter for the Homeless.



*Designed by Suzanne Dorosz*



*Designed by Marcus Hyde*

## Rural Health and Environment Programme Orissa, India

The Rural Health and Environment Programme in Orissa, India successfully demonstrates how communities can be involved in the sustainable and affordable development of their own community infrastructure and housing. This holistic approach starts with the provision of water and sanitation and moves on to the self-funded development of housing.

Over 8,000 households have been involved to date in the programme, which continues to expand throughout Orissa. A total loan approach is used for the housing so that all costs are met by the villagers themselves. The housing programme is linked to the provision of training and income generation opportunities to ensure its long-term economic sustainability.





The Rural Health and Environment Programme (RHEP) in Orissa, India successfully demonstrates how communities can be involved in the sustainable and affordable development of their own community infrastructure and housing. Located on the eastern coastline of India, Orissa is one of its poorest states. In the rural areas 80 per cent of the population live below the poverty line with an annual income of less than \$300. Traditional housing is of poor quality with no protection against cyclones and flooding.

The RHEP is being implemented by Gram Vikas, an NGO established in 1979 to bring development opportunities to the poor and marginalised sectors of the rural population of Orissa. Its aim is to harness the physical, social, natural and human capital in every village through community action and create a spiralling process of development. Gram Vikas' early work involved the provision of 54,000 biogas plants in Orissa villages. During this work it noted that water-borne disease caused widespread illness and death, and it initiated the Rural Health and Environment Programme in 1991 to overcome these problems.

The programme is currently operating in 105 villages with over 8,000 households included to date. It is continually expanding as more and more villages wish to carry out similar work. Having assisted the community in providing water and sanitation facilities, Gram Vikas provides technical support to individual families to help them build permanent disaster-proof dwellings. To date 634 such dwellings have been completed in 21 different villages. For these families building and living in a permanent, disaster-proof, spacious and comfortable home is a matter of great pride and dignity. It also prompts them to raise their hopes

and expectations and gives them confidence to move ahead in life and come out of the cycle of poverty. This is reflected in the marked increase in the school attendance in RHEP villages and in the creation of Village Health Committees that monitor children's health on a regular basis.

With an area of 41 m<sup>2</sup>, the houses are much larger than the typical dwellings of 10 m<sup>2</sup>. They include two multi-use rooms, a kitchen and veranda. The cost of this dwelling is \$1,163 with the family contributing 30 per cent of the cost through their labour and local materials. The remaining 70 per cent is facilitated by Gram Vikas as a soft loan from the Housing Development and Finance Corporation, a private financial institution. The loan is repayable by the household over 15 years at a 9 per cent interest rate. The financing of this programme has changed since it began in 1991 from a full grant approach to a full loan approach, with the entire cost of the house now being met by the family.

The housing programme is linked with livelihood promotion activities to improve the income and food security of the families. A range of skills is gained as a result of the programme including construction (masonry, stone-cutting, wire-bending, carpentry, plumbing and electrical fittings), forestry and fish-farming. Over 500 masons, including 93 women, were trained in 2000-2001.

Villagers are encouraged to develop common lands and wastelands with tree plantations, thereby providing timber, fuel, fodder and fruit. Training in business skills of management and marketing are also provided by Gram Vikas.





Gram Vikas will only work in a village once each and every family, irrespective of status, agrees to be part of the programme. This is rooted in the premise that sanitation can only be dealt with properly when every household adopts safe sanitation practices and in the belief that poor people can and will pay for products and services they believe will improve their quality of life. The villagers came together not only to raise the necessary funds for the project but also for joint decision making, initially in respect of the water supply, but eventually for all other decisions to be taken in the community.

In each village the entire community is brought together to facilitate the formation of a village committee to build a central water tank for the village. Water is pumped from a safe source and stored in the overhead tank and supplied to every family through an underground pipe system. Toilets and bathing rooms with running water are provided on an individual or community basis with twin leach pits per toilet. The planting of banana trees adjacent to these leach pits ensures that not only is there little need to ever empty them, but also that a plentiful supply of bananas is available. The communities are also supported in developing community infrastructure such as roads, drains and grain banks.

A critical factor for project sustainability is the institution of a corpus fund in each village at the start of the intervention. All families contribute an average of Rs 1,000 (\$22) to the fund, which is used only for extension of the same facilities to new families as the village grows, ensuring 100 per cent coverage at all times. Since contribution to the fund is mandatory, the richer families subsidize poorer families or part support is extended from the

Water Tower

community fund. Setting up the corpus fund has led to enhanced village unity as all families are shareholders in the fund and have an equal stake in decision making. The corpus fund gives a sense of financial security to the villagers and has been used as collateral in some villages to raise loans from banks.

The total spent from 1992-2001 on providing toilets, bathing rooms, water tanks, water supply systems, compost tanks, community halls and drainage is \$1 million. 66 per cent of this cost was met by Gram Vikas, 32 per cent by households and 2 per cent by the government. The maintenance and running costs are met by the villagers themselves and these costs are approximately \$12.5 per household per year, covering electricity bills, repairs and maintenance of pumps and the salary of the pump operator.

Women have taken the lead in ensuring that the programme is completed on time and that the project continues after Gram Vikas withdraws. It is the women in the community who benefit most from the improved water supply since they no longer need to spend hours a day fetching and carrying water and can also bathe in clean water in the privacy of their own home, rather than having to use the polluted village pond. There has been a notable reduction in the incidence of skin disease and gynaecological problems since the heavily polluted village ponds are no longer used for bathing. No longer used as communal bathing places, the clean ponds are now used for pisci-culture, bringing a much welcome additional source of income and protein to the village. An indicator of the success of the programme is that private water supply and sanitation are now featured on the marriage lists of young village women.

Brick Kiln





RHEP aims to create an enabling environment in the villages in which it works for the community to become politically assertive. It encourages each individual to be involved in the decision-making process and helps village committees to register themselves as legal entities and to keep proper accounting records. The legal status enables villagers to play a pro-active role in securing development funds that are available as part of government programmes.

A range of construction materials are used, primarily stone or locally made bricks.

Local masons have been trained to use innovative masonry bonds which are 30 per cent more resource efficient than conventional brick masonry. Filler slab roofs save on concrete by substituting locally available cheap filler material. The vertical shaft brick kiln has been developed for local use and is 30 per cent more effective than the commonly found brick kilns and 50 per cent more effective than the local clamps. Over 30 jobs have been created in the brick kilns established to date.



*Improved House*

105 villages and over 8,000 households have now been covered by the programme which started in 1992 with 5 villages and 337 households. Initially it took two or three years to convince villagers of the value of joining the programme, but the acknowledged success of the programme means that many villages are now pressing for it to be implemented. Gram Vikas aims to have reached 100,000 families in the rural areas of Orissa by 2020. It recognises that achieving a critical mass is crucial if the government, private and non-governmental organisations are to react to a community's

demands, and they are seeking to cluster new villages around existing ones in order to increase the impact.

Gram Vikas is now partnering the government in implementation of the rural drinking water supply programme across Orissa, and demonstrating its approach to total sanitation and habitat development at a wider platform. Its holistic and sustainable approach to development and efforts to realise Mahatma Gandhi's vision of sustainable "village republics", continues to be increasingly recognised throughout India.



*Bathrooms and toilets*

## The Prince George

New York, United States of America

This restoration of a large derelict hotel building in New York has provided affordable accommodation for 416 low-income key workers and homeless persons in the city.

As well as being recognised as the most affordable way to provide supportive housing, the integral social support system also improves the economic and social self-sufficiency of the residents, enabling them to move on to non-supportive housing. Environmentally sustainable design and neighbourhood community regeneration are also key elements of the project, which has been widely recognised as a model for the provision of socially, economically and environmentally sustainable supportive housing and has been replicated both nationally and internationally.







The Prince George project in New York successfully demonstrates how redundant hotel buildings can be restored to provide affordable and supportive accommodation for low-income workers and homeless persons. Homelessness and housing affordability for low-income key workers are major housing problems in New York, as in many other large cities around the world. In New York this is particularly the case, where the poor quality of the housing stock and high eviction rates exacerbate the problems caused by a shortage of stock. This has resulted in a rapidly rising number of people living on the streets, many of whom are ill, older persons or drug users.

Located on East 28th Street in Manhattan, the Prince George was built in 1904 as an exclusive 14-storey residential and tourist hotel. After decades of decline it became one of the most notorious and crime ridden of New York's welfare hotels, housing 1,700 adults and children in nightmare conditions. It was finally condemned and closed down in 1990.

In 1997 a pioneering not-for-profit housing and community development organisation called Common Ground Community (CGC) purchased the abandoned hotel, using funds from a range of sources raised within the city. It restored the hotel to its former splendour and lets the 416 studio apartments to equal numbers of single key-workers and formerly homeless persons. Over half of the residents are living with a special need, such as mental illness, HIV/AIDS and/or a history of substance abuse.

The 416 former hotel rooms were converted into high quality individual studio apartments, each with their own bathroom and kitchenette. Welcoming

*Facade*

communal spaces and facilities have also been provided within the hotel, including areas for relaxation in the beautifully restored Beaux Arts lobby and in two outdoor patio-gardens, one with fine views over the city. A fitness centre, computer laboratory, laundry room and a quiet reading room are also available for 24-hour use by residents.

The Prince George project seeks to achieve sustainability in three key areas – the ongoing financial security of the project, the improved self-sufficiency of the residents and the environmentally responsible features of the physical restoration.

The total capital cost of the project was \$48 million, i.e. \$115,000 per bed-space. Half of the total capital funding came from low-interest 30-year loans funded by the state and the city. The other half came from the sale of both low-income housing and historic preservation tax credits. \$8.3 million of bridge financing was provided by a range of banking corporations.

In 2002 the running costs were \$3.3 million of which 50 per cent came from the residents' rents and the other 50 per cent from a range of housing subsidies available to all landlords and residents in New York City.

Additional income is received from letting out the beautifully restored public rooms in the hotel as event spaces and this income is expected to be in excess of \$600,000 by 2004. All residents pay 30 per cent of their income for their rent compared to an average of 50 per cent for low-income workers in New York. Residents are welcome to stay as long as they like, even though incomes typically increase from \$14,000 to \$25,000 once they have the stability of permanent and affordable

*Restored interior*







accommodation. A Pathways Program has been established to provide financial credit counselling and savings incentives advice for residents who are ready to access private market housing, and an increasing number are making this transition.

With an average running cost per apartment of \$11,800, the Prince George is the most cost-effective of the various forms of supportive housing provision in New York City. This cost compares to the average cost of a New York supportive housing apartment of \$13,000, to a place in a NYC jail of \$42,000, to \$25,000 for a congregate shelter cot, to \$223,000 in a hospital bed and to \$130,000 in a psychiatric bed.

One of the innovative elements of this project is the way in which CGC has been able to bring together both capital and revenue financing from a range of sources. By using the cheapest capital available and accessing a range of tax credits and low-cost bridging loans the costs of debt servicing are kept to a minimum. Property tax exemptions and grants from Foundations further assist the project's financial position and all social service support costs are met by its partner organisation, the Centre for Urban Community Services, thus releasing the rental income to meet property management costs.

The security of being able to live in a clean, secure, affordable and community-oriented environment has vastly improved the quality of life of its residents. Social support is provided for those residents that need it through on-site social services and non-clinical therapy. This support is provided by the Centre for Urban Community Services and is separate from the landlord

*Studio apartment – pre-restoration*

management role carried out by CGC. Job training, placement services and financial literacy courses are also provided in order to help residents improve their economic self-sufficiency. Mixed resident placement in the building means that low-income and former homeless people live next to each other, fostering tolerance and the opportunity for modelling individual behaviours. Residents are welcome to keep their (well-behaved) dogs in their rooms. A range of workshops including cooking, yoga, art, Spanish language and tax form completion are well attended. All residents are encouraged to be involved in the management of their building and are able to provide valuable information in the planning of future projects.

As well as providing economically and socially sustainable accommodation, the restoration of the hotel was carried out in an environmentally sensitive manner, with re-use of materials wherever possible and with the building design and appliances seeking to reduce the water and energy consumption of the building. Similar projects completed since the Prince George have further increased the environmental specifications of the restoration.

As well as serving to help restore quality of life to vulnerable individuals, the restoration of the former squalid and crime-infested Prince George has served as a focus of neighbourhood regeneration and has done much to promote peripheral development in the neighbourhood. Property values have risen by 28 per cent in the immediate area and the local crime rate has fallen by 60 per cent since work commenced in 1997. 160 permanent jobs have been created in the Prince George and the hotel public rooms are used for a variety of community activities including

*Studio apartment – post-restoration*





travelling art exhibitions and city polling facilities. The Community Supported Agriculture Program brings locally grown organic vegetables to the Prince George on a weekly basis to its residents and those of the neighbourhood.

Common Ground Community has completed four such projects to date, providing over 1,300 supportive housing units. The Prince George Hotel was the second of these projects, following on from the success of the Times Square Hotel, a similar historical landmark hotel that had descended to ruin. Fully restored to its former glory this now provides supportive accommodation for over 600 persons in the very heart of New York. The success of the

work of Common Ground Community is reflected in the constant demand for requests for assistance in replicating similar projects, both from government and non-governmental organisations. In order to deal with the demand for advice and support from other organisations wishing to carry out similar work, CGC has set up a Replication Unit and this is currently working with groups in the USA and internationally.

Common Ground Community continues to innovate and extend its work and is currently seeking to develop a European-style Foyer system in the city with a view to further meeting its goal of helping to break the cycle of homelessness and dependency.



*Studio apartment – post-restoration*

## 2003 Habitat Scroll of Honour Awards

The Habitat Scroll of Honour Awards were initiated by the United Nations Human Settlements Programme (UN-HABITAT) in 1989 to honour and encourage individuals and organisations making outstanding contributions to the cause of shelter for the poor and the improvements of human settlement conditions around the world. The 2003 Habitat Scrolls of Honour were awarded to:

### **National Association of Municipal Sanitation – Brazil**

for promoting water and sanitation services in Brazilian Municipalities.

### **Mrs Margaret Catley-Carlson – Canada**

for her outstanding contribution to placing water and sanitation issues high on the global political agenda.

### **Weihai Municipal Government – China**

for outstanding improvements in shelter and urban environment.

### **Mr German Garcia Duran – Colombia**

for defending the cause of sustainable human settlements in key international negotiations.

### **Ms Zena Daysh – Commonwealth Human Ecology Council**

for setting up the Commonwealth Habitat Committee which is committed to raising the profile of Habitat and to the implementation of the Habitat Agenda within the Commonwealth.

### **Dr Bindeshwar Pathak – India**

for developing and helping to build affordable twin pit pour-flush toilets around his country.

### **Ms Nasreen Mustafa Sideek – Iraq**

for her outstanding commitment to the welfare of the displaced and vulnerable persons in Northern Iraq.

### **Ms Jane Weru of the Pamoja Trust – Kenya**

for playing a key role in upgrading informal settlements in Nairobi which includes providing slum dwellers with clean water and decent sanitation.

### **Mrs Sankie D. Mthembu-Mahanyele – South Africa**

for spearheading the South African Government's strategy to ensure the delivery of 1.45 million housing units over 8 years, for 6 million poor people.

### **Water Supply and Sanitation Collaborative Council (WSSCC) – Switzerland**

for its contribution towards sanitation and hygiene for the urban poor.

### **Ms Teolinda Bolívar – Venezuela**

for her distinguished career in support of the urban poor.

## Meeting the Challenge of Slums

Almost one billion people, or a third of the world's urban population, currently live in slums. If no serious action is taken the number of slum residents is projected to rise to two billion over the next 30 years.

UN-HABITAT is committed to achieving the Millennium Development Goal for slum dwellers, eradicating extreme poverty and hunger and significantly improving the lives of at least 100 million slum dwellers by the year 2020.

As part of the World Habitat Day 2003 celebrations in Rio de Janeiro, a visit was carried out to Quinta do Caju, a squatter settlement that has benefited from one of the largest-scale slum improvement programmes in the world, the Favela-Bairro urban upgrading programme.



The word slum is used to describe a wide range of low-income settlements and poor human housing conditions. Almost one billion people, or a third of the world's urban population, currently live in slums. If no serious action is taken the number of slum residents is projected to rise to two billion over the next 30 years. Slums come about because of, and are perpetuated by, a number of forces. These include rapid rural to urban migration, increasing urban poverty and inequality, insecure tenure and globalisation.

Slums are known by a variety of names – bustees, favelas and shanties – and are characterised by a variety of tenure arrangements. Slums, however, do not hold all of the urban poor, nor are all slum residents poor. The buildings found there vary from the simplest shack to permanent and sometimes surprisingly well-maintained structures, but what most slums share in common is a lack of clean water, electricity, sanitation and other basic services. The land is frequently in a precarious situation or condition and disproportionately exposed to the city's noxious wastes. Slum residents are stigmatised and find it hard to obtain formal employment or credit. The lack of secure tenure is a central characteristic of slum life and residents are often subject to eviction or harassment by the authorities. Without secure tenure slum residents have few ways in which to improve their lives. UN-HABITAT's Global Campaign for Secure Tenure was set up in 1999 and is addressing the problems and challenges arising from insecure tenure.

It is important to remember that there are also positive aspects to slums. They are the first stopping point for migrants, providing a network of social support, as well as the only affordable housing that allows the migrants to save for their eventual absorption into urban society. Slums are home to many small industries and

businesses that have customers throughout the city. In addition, the vibrant mixing of different cultures frequently results in new forms of artistic expression. Out of unhealthy, crowded and often dangerous environments can emerge cultural movements and levels of solidarity unknown in the suburbs of the rich. However, these few positive attributes do not in any way justify the continued existence of slums and should not be an excuse for the slow progress towards the goal of adequate shelter for all.

Today the vast majority of slums are found in the developing world, but in the early years of urbanisation and industrialisation in the western world, urban conditions were equally bad and widespread. Slums are not the fault of slum residents who do not want to help themselves, but rather a result of a failure of housing policies, laws and delivery systems, as well as national and urban policies.

Many policy approaches to slums and to housing for the urban poor in general have been tried in recent decades. These range from negligence and forced evictions, through to formal public housing programmes and interventions aimed at protecting the residents' rights and helping them to improve their incomes and living environments. Today the accepted best practice for housing interventions in these low-income settlements is participatory slum improvement. The best examples are holistic approaches, taking into account health, education, housing, livelihood and gender. Government mainly adopts a facilitative role in setting things moving, while maintaining financial accountability and adherence to quality norms. It is important to involve the communities from the outset, often through a formalised process, and to require that the community contributes to the improvement process. The more sustainable efforts appear

to be those that are the main plank of a city development strategy, with planned rolling upgrades across the city and a political

commitment to maintenance. A summary of appropriate policies are outlined in the following table.

#### DO'S AND DON'TS OF SLUM POLICY

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

Acknowledgement is given to UN-HABITAT Features for the above information.





One of the largest-scale slum improvement programmes in the world is the Favela-Bairro urban upgrading programme currently being implemented by the municipal government of Rio de Janeiro. As part of the World Habitat Day 2003 celebrations, a visit was carried out to Quinta do Caju, one of the squatter settlements that has benefited from the programme.

#### URBAN UPGRADING IN RIO DE JANEIRO

With a population of 5.9 million, Rio de Janeiro is the second largest city in Brazil. According to official estimates, over one million squatters – 18.7% of Rio's population – currently live in informal settlements, or *favelas*, within the city limits of Rio de Janeiro.

The Brazilian Institute of Geography and Statistics (IBGE) defines a favela as an agglomeration of at least 50 residences, of informal status (no property titles), lacking basic infrastructure and services. The IBGE counted 513 favelas in Rio in the year 2000, an increase of 30.2 per cent in relation to 1991. Most favelas today possess infrastructure to a degree, although often obtained through clandestine means

and connections. Over 90 per cent of favelas in Rio have access to running water and electricity; however, lack of basic sanitation and trash collection continue to pose serious health and environmental problems to squatter communities and surrounding areas.

In Rio de Janeiro, a large number of favelas are located on hillsides in the heart of the city, in the so-called 'noble' areas. The striking social contrast reflects the tremendous levels of social inequality and concentration of wealth that characterise Brazilian development.

Over the past decades, public policy regarding the favelas has shifted from forced removal and resettlement to areas far from the city centre to urbanisation and full recognition of these communities. The Municipal Master Plan for the City of Rio de Janeiro, established in 1992, recognises the need to face the housing problem for the low-income population through a strategy of integration that addresses the urban deficit of the city as a whole.

The Favela-Bairro urban upgrading programme, initiated in 1994, proposes to transform squatter settlements (*favelas*) in

the city of Rio de Janeiro into officially-recognised neighbourhoods (*bairros*), integrating the favela into the city through the provision of infrastructure and services, the implementation of social policies for capacity building and income generation, and the regularisation of land tenure. The intention is to eliminate physical and social

factors that contribute to segregation and exclusion and to address the issues of inequality and poverty.

This integrated programme targets medium-sized slums in the city of Rio de Janeiro (from 500 to 2,500 dwellings), and is comprised of three primary elements:

#### Urbanisation

- The provision of primary urban infrastructure and services, including water and sanitation, drainage, paved roads, electricity, street lighting
- Environmental protection (reforestation and soil stabilisation)
- Trash collection
- The construction of social facilities (e.g. community and childcare centres), public squares and sports facilities
- Resettlement for residents living in high-risk areas

#### Income generation

- Literacy programmes and specialised training
- Support for productive units
- Formation of co-operatives

#### Property regularisation

- Mapping of favelas and assignment of postal codes, street names and numbers
- Provision of individual property titles

Source: SMH, IADB



Clemente Ferreira, Caju

Morro dos Prazeres, Santa Teresa

Parque Royal, Ilha do Governador



Public spaces

Roads and sanitation

Environmental protection and health

Other components of the programme include community development (the promotion of community participation in the planning, execution, and consolidation of activities as well as follow-up on the completed projects), assistance for children and adolescents, and institutional strengthening (programme monitoring and technical assistance). Beneficiaries of the programme are also given the possibility of regularisation of commercial establishments and access to credit from the Caixa Econômica Federal development bank for buying construction materials to improve their homes.

The programme does not involve individual housing provision, except in cases of resettlement from high-risk areas or in the widening of roads and creation of public spaces. "The project is founded on the premise that the city pays for the common services, and the residents are responsible for improving their own houses," says Maria Lúcia Petersen, former manager of the Rio Favela-Bairro programme. "We are seeing that when we put in the services, the residents lose their fear of being uprooted from the favela, and they begin making improvements with their own money."

Institutional efforts are currently being directed toward the complex and lengthy process of land regularisation and granting of individual property titles, which has been established as a priority not only by the city of Rio but also by the national government, to ensure secure land tenure for informal settlement communities throughout the country.

The Favela-Bairro urban upgrading programme is internationally recognised as an example of best practice in housing. Although squatter settlement upgrading and urbanisation has been practiced for decades throughout Brazilian cities, and despite a number of difficulties encountered and lessons to be learned from the experience, the Favela-Bairro programme represents a significant achievement in terms of housing policy and urban development, not least by the sheer scale at which is being implemented.

As a result of the programme, community residents have begun to improve their own homes, and the social component of the programme has led to the creation of various partnerships among communities, non-governmental organisations and the private sector.

The programme is financed by the Inter-American Development Bank and the municipal government of Rio de Janeiro through two contracts in the amount of US\$300 million each, \$180 million financed by the IADB and \$120 million in counterpart by the local administration.

The first phase of the programme, initiated in 1994, involved the upgrading of 62 settlements. An additional 89 favelas and 17 clandestine land subdivisions are being upgraded by the second phase of the programme, with a total investment of US\$600 million. To date 450,000 people have benefited from the programme, and by the end of Phase II in 2005, an additional 150,000 are expected to have been reached. This represents an average investment of US\$1,000 per person.

During the World Habitat Day 2003 Celebrations in Rio de Janeiro, the city's mayor Cesar Maia announced the approval of a US\$400 million loan from the Inter-American Development Bank, which will finance the third phase of the programme.

By the end of this third phase, US\$1 billion will have been invested, and the programme will have benefited an estimated one million people living in medium-sized favelas in the city of Rio de Janeiro.

Phase	Period	Investment	Upgraded Settlements	Number of Beneficiaries
I	1994 - 1998	US\$ 300 million	62	250,000
II	1999 - 2005	US\$ 300 million	106	350,000*
<b>TOTAL</b>		<b>US\$ 600 million</b>	<b>168</b>	<b>600,000*</b>

\*estimated

Source: SMH, IADB



Public square

Resettlement and commercial facilities

Day nursery and cultural centre



Micro-credit for home improvement

Community library

Home improvement



## Sources of further information

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**WATER AND SANITATION IN THE WORLD'S CITIES****Local Action for Global Goals, UN-HABITAT, (2003)**

Earthscan, London. (ISBN: 1-84407-003-4)

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Earthscan, London. (ISBN: 1-84407-037-9)

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Earthscan, London. (ISBN: 1-85383-806-3)

## World Habitat Awards 2004

### An invitation to enter

Each year a cash award of £10,000 and an individually designed and crafted silver trophy are presented to the two winners of the World Habitat Award.

These annual Awards seek to identify human settlement projects that:

- demonstrate practical and innovative solutions to current housing needs and problems in the developed or developing world;
- are capable of replication locally, nationally or internationally.

The World Habitat Awards were initiated in 1985 by the Building and Social Housing Foundation as part of its contribution to the United Nations International Year of Shelter for the Homeless. A panel of international judges assess the projects and the Awards are presented each year on World Habitat Day.

**CRITERIA FOR ASSESSMENT**

Projects are sought that:

- Demonstrate practical, innovative and sustainable solutions to current housing needs and problems.
- Are capable of being financially self-supporting or of attracting private or public funding. Preference will be given to those projects which do not rely entirely upon public funding.
- Have the capacity of being transferred elsewhere in the developed or developing world as appropriate.
- View the term habitat from a broad perspective and bring other benefits as well, for example, energy or water saving, income generation, social inclusion, community and individual empowerment, capacity building and education.

**PROCEDURE FOR ENTRY OF SUBMISSIONS**

The World Habitat Award competition has a two-stage entry. Preliminary submissions are submitted giving the broad outlines of the project. From these submissions 12 projects are selected to go through to the final submission stage, where more detailed and comprehensive information needs to be provided. The submissions are considered by a Specialist Assessment Committee and the final decision is taken by a panel of international judges. Where necessary, visits will be carried out to the projects.



Entries can be made using the entry form at the back of this booklet, by email or online from the BSHF website at [www.bshf.org](http://www.bshf.org)

#### SUGGESTED AREAS FOR SUBMISSIONS

Entries need not be restricted to these areas and projects relating to additional topics may be submitted if desired.

- Provision of low-cost, affordable housing for the poorest sector of the population.
- Restoration of areas of decayed housing and environmental degradation.
- Upgrading/improvement of slum dwellings and shanty settlements.
- Provision of housing for the homeless.
- Promotion of sustainable life-styles in urban and/or rural areas.
- Provision of energy and water efficient housing.
- Provision of housing designed to withstand natural disasters.
- Housing developed and managed on a socially sustainable basis.
- Housing specifically designed to meet the needs of older persons or those with other special needs.
- Promotion of the use of information and communication technologies in housing.
- Affordable housing built using innovative design and/or construction materials.

#### TIMETABLE

1st June 2004 – Deadline for receipt of **Preliminary Submissions**

1st September 2004 – Notification of results of assessment of Preliminary Submissions

1st December 2004 – Deadline for the receipt of those entries selected for **Final Submissions**

January – June 2005 – Assessment by international judges

August 2005 – Announcement of winners of the Award

3rd October 2005 – Presentation of the Awards on **World Habitat Day**

## World Habitat Awards 2004 Entry Form

Name of project \_\_\_\_\_

Current stage of project      Design stage ☐      In progress ☐      Completed ☐

Location of project \_\_\_\_\_

THE ABOVE PROJECT HAS BEEN ENTERED BY

Name \_\_\_\_\_

Position \_\_\_\_\_

Organisation \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_ Country \_\_\_\_\_

Tel \_\_\_\_\_

Fax \_\_\_\_\_

Email \_\_\_\_\_

Web \_\_\_\_\_

Contact point (if different to above) \_\_\_\_\_

If you are entering a submission relating to the work of another organisation, please attach a letter of permission for entry from that organisation. Thank you.

All entries must be received by 1st June 2004 and should be sent to:

World Habitat Award 2004 Competition  
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