

INTEGRATED IMPROVEMENT PROGRAM FOR THE URBAN POOR

**An Orientation for Project Design
and Implementation**

**Volume II
Annexes**

September 1981

Office of Urban Development, Bureau for Science and Technology
Office of Housing, Bureau for Private Enterprise
Agency for International Development

Washington, D.C. 20523



Contract No. AID/otr-C-1627

Work Order No. 16

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PREFACE

This is the second part of a two-volume document. It contains the annexes to Volume I.

Volume I includes the Executive Summary, Introduction, and four substantive parts. Part I deals with project identification and design. Part II considers management and organization for IIPUP. Part III discusses training, and Part IV is devoted to data collection, surveys, and evaluation for IIPUP projects.

In Volume II will be found four annexes. Annex I presents the components of IIPUP projects. There are case studies from domestic and from international experience in Annex II. A checklist of data requirements for designing and evaluating IIPUP projects is contained in Annex III. Annex IV is the bibliography.

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ANNEX I

COMPONENTS OF IIPUP PROJECTS

ANNEX I

COMPONENTS OF IIPUP PROJECTS

A/B. PROJECTS IN URBAN SHELTER PROVISION (A. Upgrading of Existing Settlements; B. Development of New Low Income Communities)

1. Shelter and the Urban Poor

Shelter is recognized as one of the basic human needs. Most developing countries have established some kind of public sector shelter program though the scale and terms of provision vary widely. As a general rule, the stated objective of public sector shelter programming is to meet the needs of the urban poor. However, all too often the actual result of such public sector activities has been to meet the needs of middle income groups, often with substantial subsidies, rather than the needs of the urban poor.* Therefore, in designing IIPUP initiatives which involve the provision of shelter, particular concern must be given to insuring that the desired target group is in fact benefited.

The priority given to shelter will tend to vary according to the target groups of concern. Shelter will be given a high priority by "consolidating households," somewhat lower priority by "beachheading households" and "households renting by choice" and very low priority by "single migrants."

In responding to the shelter needs of the urban poor, governments have essentially three areas of intervention to consider:

(a) To build shelter, Governments can actually build the shelter units and provide them to the urban poor as rental or sales units -- with or without subsidy. This approach is the most expensive course of action as the government is the developer and financier of all aspects of the shelter construction process. It is also the most demanding on government technical and management resources which are often in short supply.

(b) To finance shelter. Governments can arrange for the financing of shelter with individual households or the

* For further details on this subject, see Preparing a National Housing Policy, Alfred P. Van Huyck, Washington, D.C., 1977.

private sector responsible for planning and construction. If government funds are used as seed money through financial institutions which also mobilize private savings, this approach can ultimately provide more total dwelling units with less public capital investment and with lower requirements for government technical and management resources.

(c) To facilitate shelter. Governments can also facilitate the provision of shelter by households and the private sector through incentives such as tax incentives, legislation such as building codes and zoning and provision of technical assistance. This is the least costly to government and, unfortunately, a frequently overlooked approach to reducing shelter deficits.

Shelter sector programs for the urban poor, to be effective, must meet certain basic criteria:

- Shelter programs for the urban poor must be capable of massive application on a sustained basis.
- They must have acceptable low per capita capital and operating costs with potential for cost recovery from the urban poor.
- They must provide substantial opportunity for self-help and participation from the urban poor themselves.
- They must have acceptable low levels of administrative requirements.
- They must be flexible and capable of change in response to changing needs of the urban poor target groups.

Increased cost recovery from the dwelling units provided is a particularly sensitive issue. Public housing units today are often almost given away without recovery of either principle or interest (in that if maintenance and administration were costed and inflation considered, recoveries would not cover the replacement cost). There is often little relationship between rents and the ability to pay. A much greater share of real cost must be borne by the occupants if housing production is to be increased.

At the heart of any public financial policy for housing is the basic issue of subsidies. The subsidy element implied in some public housing programs may be as high as 75 to 85 percent of the total cost of units for the low and middle income groups. The real subsidy will actually increase in

the years ahead as the real income of the target group lags behind the increased cost of construction. All too often subsidies in housing are not even known in quantified terms. Subsidy estimates frequently fail to consider land costs, trunk infrastructure and community facilities, steadily increasing estate management costs and, importantly, the need for a reserve for uncollected payments.

In most cases, the use of subsidies by governments acts to the detriment of the housing sector because it tends to limit the amount of housing which can be built by the public sector; it drives the private sector away from meeting the needs of middle and low income groups because they cannot compete with the subsidized pricing policies. It may not be possible for a country to terminate all subsidies abruptly, particularly in situations in which a large amount of subsidized housing has already been introduced in the market.

The objective should be to phase out general subsidies over a reasonable period of time in order to establish viable, self-financing public sector housing institutions. The first step is initiating adequate cost accounting of the subsidies provided and moving away from interest rate subsidies (which require annual subsidy contributions during the life of the mortgage) toward once-only write-down subsidies. Specialized modest subsidies, which have a national purpose, might be appropriate for clearly defined situations.

It is relatively new to consider the provision of shelter within the context of integrated programming for the urban poor. In part, the recognition of the need for a larger framework comes from the realization that higher standards of shelter alone can contribute very little to sustained economic and social improvement of households. Shelter alone does not add to family income except when subsidized shelter provides in-kind benefits. Shelter does not improve job skills for the unemployed, or literacy for the illiterate or health care for the sick. In short, better shelter is not a solution to the root causes of poverty. Therefore, housing planners have begun to think of shelter as one part of an integrated physical, economic and social program for the urban poor. In this sense, a shelter component should be considered as simply one possible element in IIPUP. The decision to include or not to include a shelter component must be made based on local conditions, the priorities of the target group beneficiaries and the availability of resources.

Shelter may or may not be a component of an IIPUP program, but if it is to be provided it should be related to other social and economic programming if the full benefits of shelter are to be realized.

The major advantages to including a shelter component in IIPUP are:

- It provides a locational focus to the program and clearly identifies the target groups of concern geographically.
- It provides a dramatic physical change in the residential environment which is often conducive to community participation in follow-on social and economic program components.
- If the shelter is provided on the basis of sales to the target group households, it can make a direct contribution to increasing the pool of capital assets of the urban poor. This is a major justification for sales of shelter rather than renting of shelter by the public sector. Equity in shelter can be used by households as collateral for borrowings the generation of economic activities, higher education or health care, if required.
- Shelter, when combined with secure land tenure, encourages a sense of security and reduced vulnerability which, in turn, is conducive to community organization and participation. These are vital elements in the IIPUP process.

The major disadvantages to including a shelter component in IIPUP are:

- Shelter tends to be capital intensive, even when care is taken to focus the program on minimum standards and cost recovery.
- Shelter and other physical components such as infrastructure can be planned and built in a relatively short time (say one year or 18 months), whereas other IIPUP components require much longer time spans to be planned, implemented and have the desired impact on the community. Therefore, the shelter component often does not integrate well into joint physical and social/economic programs. This problem can be overcome initially by recognizing the different time horizons of the various components.

2. Types of Shelter Projects Likely to be Important for IIPUP

Assuming that a shelter component is selected for inclusion in IIPUP, there are two types of projects likely to be most relevant: (a) upgrading of existing settlements and (b) development of new low income communities.

(a) Upgrading of existing settlements. In almost all developing countries, the shelter deficits among the urban poor are so great that the demolition of shelter units, no matter how low standard, is rarely justified. The ultimate objective of shelter policy should be the maximum net addition to the housing stock with the resources available. Since demolition results in a reduction of housing stock, it should be avoided except in necessary situations such as housing which is subject to flooding or along essential rights-of-way.

Once the decision has been reached that low quality shelter areas will not be demolished, it becomes logical to upgrade them to provide a healthier environment and to enhance the standard of living of the occupants. Thus, they become excellent potential sites for IIPUP.

Upgrading programs as currently being undertaken by developing countries, frequently with AID or World Bank assistance, have been primarily concerned with improvements in the physical infrastructure such as improvements in road surfaces and footpaths, drainage, water supply, sanitation and solid waste disposal. The standards used will obviously affect the cost, but, in Indonesia and India, significant environmental improvements have been made in upgrading areas with costs as low as U.S.\$40 to U.S.\$60 per capita.

Upgrading programs have been most successful when some form of legal land tenure has been provided for the occupants. With legal land tenure has come an increased sense of security which stimulates household investment in the shelter units themselves. This process can be further enhanced if the households are provided with access to credit for home improvement or for locally based economic activities. Other social and economic components can also be added to upgrading programs either concurrently or as follow-on activities after the physical improvements are in place.

The process of conducting an upgrading program can in itself be used to stimulate community organization for self-help. This is particularly useful for the maintenance of improvements which has frequently proven to be a problem if neglected during the planning.

The actual mix of physical, social and economic improvements to be provided in an upgrading program should be carefully selected to reflect the real needs and priorities of the target groups in the area. If the upgrading program does not meet the objectives of the community, it often leads to neglect of the facilities or even the departure of the target group and replacement by others. For example, if standards are set too high, the upgrading area may become so attractive to middle and upper income households that the urban poor will be forced out of the improved area.

Individual upgrading projects make less impact if they are not undertaken as part of an overall citywide program. From the start, upgrading should be thought of as a continuing program activity. Some cities have managed to upgrade 10 percent of the target areas per year with a second round of upgrading following during the second decade of the program. This requires the establishment of a permanent upgrading capability within the city government.

(b) Development of new low income settlements. One of the most dramatic phenomena of the last third of the 20th century is the accelerating shift from rural to urban centers of the population of the developing countries. This, coupled with continuing high rates of natural increase within the existing urban centers, places enormous pressure on governments to increase the housing stock.

The reality is that walk-up flats or complete housing units of relatively large size simply require too much capital per unit for the public sector to make the investment at the scale required or for the majority of the urban population. New approaches must be applied. Sites and services is one promising approach.

Sites and services is the general name given to an entire range of shelter solutions which fall short of the provision of complete dwelling units. Most often sites and services projects fall into one of the following categories:

- A land plot with community shared water supply (standpipes), sanitation (pit latrines) and footpaths.
- A land plot with individual plot connected water pipes and sanitation.
- A land plot with some form of partial dwelling unit ranging from a plinth, a plinth with walls or roof or a single room (frequently called a core house).

In every case, a sites and services project provides a household with a plot (the site) and some access to infrastructure (the services). The infrastructure and core house standards vary widely.*

Sites and services projects assume that the individual household will continue to improve its shelter over the years of occupancy. This ability of individual households has been demonstrated in many existing projects. When additional credit is available to the household, this process can be accelerated.

The major advantage to governments of the sites and services approach is that it reduces the capital costs of providing initial shelter to a household. Experience has shown that six to ten sites and services units can be provided for the cost of one walk-up flat, depending on the actual standards used.

A major obstacle to increased use of the sites and services approach seems to be the resistance of politicians to accept the reality that government cannot provide mass shelter at high standards. There is also an apprehension that the sites and services solution is too far below the aspirations of the people to be accepted without political cost. (This ignores the fact that "aspirations" are frequently a reaction to the promises of the politicians themselves.)

It is frequently desirable to combine sites and services projects with other IIPUP components. Whereas in upgrading programs neighborhoods already exist with some form of social organization, sites and services projects involve new households with an urgent need for social services, community development activities and economic programs.

C. PROJECTS IN EMPLOYMENT GENERATION: ASSISTANCE TO SMALL-SCALE ENTERPRISE**

1. Assistance to Small-Scale Enterprise and the Urban Poor

Industrial policy in the developing countries has traditionally encouraged the growth of large-scale firms based on

* For a methodology for planning appropriate standards, see A Model for Analyzing Alternatives in Urban Project Design, Alain Bertaud *et al.*, CITRUD, Washington, D.C., 1978.

** This section relies heavily on the materials contained in Employment and Development of Small Enterprises, The World Bank, February 1978.

Western models. Although such a policy has clearly resulted in higher levels of output and productivity, unemployment levels have frequently remained very high. Thus, rising output has often been associated with rising poverty.

It is for this reason that creating jobs for the urban poor through assistance to small-scale enterprise (SSE) is now regarded as an important component of industrial development policy. The policy's conceptual basis rests on the fact that the labor absorption capacity of SSE is greater than it is in other sectors. In other words, SSE is able to substitute labor for capital more efficiently than either agriculture, which suffers chronically from overemployment, or modern large-scale industry where investment costs per job are relatively high.

Before this absorption capacity potential can be realized, however, SSE requires various types of external assistance to resolve certain problems tending to restrict its development.

Any catalog of these problems should distinguish between those faced by small (formal sector) enterprises that are relatively modern and organized and those faced by firms (informal sector) which account for the major share of non-agricultural employment typically engaged in repair work, artisan production, market vending, local transportation, handicrafts, custom jobbing, construction and small-scale processing of primary products. On the other hand, the differences in these problem sets are often a matter of degree; all SSEs are faced to a greater or lesser extent with the following five types of problems:

(a) Limited access to credit. Securing credit to finance fixed and working capital needs is perhaps the most difficult problem confronting SSE in both the formal and informal sectors. Since neither has access to institutional credit facilities, firms in the formal sector are usually limited to internal cash generation and personal savings, while those in the informal sector whose saving propensities are much lower typically depend on the money-lender who charges rates of interest considerably in excess of market rates and who rarely makes loans for investment purposes.

(b) Limited markets. A central problem for most small businesses is the limited size of their markets. This constraint can be largely accounted for by the following factors:

- Shifts in consumer demand away from traditional SSE products.

- Spatial remoteness from medium-and large-scale industry.
- The lack of direct institutional (government) procurement of SSE products.

(c) Limited space for industrial establishment and expansion. Space for small-scale industries is often limited. It is not unusual for small commercial enterprises to be located in densely inhabited dwelling units where space is already limited, particularly in low income areas. A study in Honduras found that a major constraint in the growth of small scale industry was a lack of space for expansion of existing enterprises and for the establishment of new ones.

(d) Limited access to material supplies. Due primarily to their dependence on middlemen whose services are often unreliable and to inadequate cash or credit for economical and timely purchases, SSE has poor access to both domestic and imported material inputs. Moreover, when supplies are acquired, they are likely to be of relatively inferior quality.

(e) Limited levels of technology and organization. Small-scale businesses, by definition, cannot capture the benefits of scale economies and specialization. Thus, SSE is characterized by poor purchasing, production and marketing organization, particularly in the informal sector where a single person frequently performs all functions. Individually, the SSE cannot afford the large amounts of capital and specialized personnel needed for bulk raw material purchases, improved production technologies and sales promotions that would be essential to expanding their operations and creating additional jobs.

2. Types of Projects for Assisting SSE

As these developmental problems have come into sharper focus, external assistance programs have devised a number of projects to assist SSE in resolving them. The following summarizes some of the more noteworthy approaches.

(a) Projects for improving access to credit. Projects for improving SSE access to credit in the developing world usually concentrate on the working capital needs of labor intensive firms in the manufacturing sector. In some cases, they include loans for the purchase of buildings and equipment.

The most conventional approach utilizes financial intermediaries* to make loans to SSEs in the formal sector at reduced interest rates over extended repayment periods. For example, in El Salvador, a World Bank loan to finance a SSE credit scheme is being administered by FEDICREDITO (Federacion de Cajas de Credito), an autonomous state enterprise which has 39 affiliated branches. Loans are made for working capital, tools and equipment and workshop construction and improvement. The loans are at 15 percent, repayable in one to 12 years.

The World Bank's Manila Urban Development Project provides yet another example of the approach. Here, the Development Bank of the Philippines administers a World Bank loan (\$440,000) to provide credit to small businesses at 12 percent, repayable up to 7 years. This is an experimental program to see if arrearage levels can be kept low enough to attract private sector banking interest in administering such funds.

The more non-conventional approaches to widening credit access feature efforts to reduce the collateral requirements of financial institutions through devices such as hire-purchase agreements, government guarantee funds or outright seed capital grants.

Unfortunately, efforts to channel credit to the informal sector are severely restricted by the inadequacy of existing financial institutions to service the needs of vast numbers of small non-manufacturing enterprises. There are, however, some projects in the experimental state that are seeking ways to replace middlemen and moneylenders with formal structures or to modify the nature of their relationships with small firms.

(b) Projects for increasing market size. A number of public programs to encourage direct institutional procurement of SSE products have been established in developing countries. These programs recognize that small firms can compete effectively in supplying many kinds of standard products: tools, uniforms, office equipment, etc.

* Financial intermediaries can include commercial banks, investment companies, mass-oriented intermediaries (such as worker's banks, credit unions, savings and loans, etc.), co-operatives, middlemen and moneylenders and institutions engaged in development programs which incorporate credit and assistance to SSEs.

To actually enable small firms to obtain contracts, however, a wide range of assistance mechanisms are required. In India, for example, the Government Stores Purchase Program reserves 192 types of products for the exclusive purchase from (21,000) SSE participants. In a less forceful manner, Botswana and Lesotho use SSE intermediaries which attempt systematically to keep the SSE sector aware of tender notices; to help them fill out contract forms and provide other technical assistance; to intercede with the authorities against unduly restrictive specifications or contract conditions; and to provide finance when needed.

In addition to final products, SSE is also capable of supplying many kinds of standardized intermediate goods if technical assistance to promote subcontracting is forthcoming. Institutional support to widen SSE markets through subcontracting has been extensively applied in Japan, Korea, India and Latin America where programs have ranged from the provision of blueprints and models to advice on using the right kinds of machines and fixtures to the application of new products and to intensive help on managerial problems.

Another important way to promote subcontracts for SSE in the formal sector is through the design of industrial estates that provide space and facilities for a wide range of establishment sizes. An illustration of this approach is provided by the Rabat Urban Development Project of the World Bank where the design of an 11 ha. industrial estate will promote SSE integration by means of a small business promotion unit that will provide technical assistance in marketing, production and management.

(c) Projects to provide space for commercial activity. Frequently land for commercial activities such as manufacturing units, workshops and commerce is included in sites and services and squatter upgrading schemes. Basic infrastructure necessary for small scale industry is difficult for entrepreneurs to obtain on their own. When serviced sites are provided in close proximity to each other, it makes it easier to provide services and technical assistance. It also may facilitate the transition from individual to cooperative transactions which permit bulk procurement of materials and supplies.

In the World Bank's Zambia project, industrial and commercial facilities will be grouped in areas of about one hectare consisting of about 40 sites. Serviced small industrial sites of about 250 m² will be allocated with building loans at market prices for use by manufacturing or repair shops. Some groups of sites will be rented or sold to non-profit institutions which will provide

superstructures, credit, technical assistance, related training and cooperative activities. Land will also be developed for individual use for informal commerce. Rental kiosks for small shops will be provided at densities typical of existing low income areas. Market space for hawkers of food and consumer goods will also be provided.

(d) Projects for raising levels of technology and organization. Project support for small enterprises in this area typically falls into two categories:

- Technical assistance in modifying existing technologies in production and in quality control.
- Technical assistance in marketing, production planning and financial management.

An excellent example of the first type is the case of the Tanzanian Integrated Boat Building/Fishing Project whose objective was to increase employment and income by revitalizing two declining industries. The project successfully experimented with the conversion of traditional boats with simple tools and converted industrial engines. This approach had the advantages of using local resources, introducing a technology understandable to the craftsmen and enlarging the catch area for fishermen who use the boats. The use of imported boats would have furthered dependency rather than self-reliance.

Examples of the second type are often contained as items within an assistance package; the World Banks' Ghana Urban Development Project is a case in point. In addition to establishing a financial intermediary program for improving access to credit, the Project also provides for advisory services and training for small businesses in conjunction with a management intermediary: the Management Development and Productivity Institute. This component includes assistance in such things as filling out loan applications, advice on day-to-day management problems and information on training opportunities.

D. PROJECTS IN EMPLOYMENT GENERATION; OTHER EMPLOYMENT ASSISTANCE

Creating jobs for the urban poor is a large and complex task requiring programmatic action along a number of fronts. As such, the development of small scale enterprises must often be augmented by approaches that are more direct. Two of the most important of these approaches involve:

- Efforts to increase direct governmental hiring of individuals.

- Efforts to raise the productivity of individuals outside of specific enterprises.

Before describing each of these approaches, note that the latter would attempt to increase the supply of skilled labor, while the former, as in the case of SSE assistance, concentrates on the demand side.

1. Direct Governmental Hiring of Individuals

The relative importance of individual sectors in employment assistance projects based on direct governmental hiring of individuals will vary from place to place. Where nationalized industry is significant, there will be opportunities in manufacturing. Even where this is not a sector in which there is major governmental activity, there are likely to be opportunities in construction, public transportation, environmental sanitation and administration.

In construction, it is likely to be possible to reach well down the income scale. Here, there are excellent opportunities for governments to influence both employment generation and product quality through experiments with more labor intensive building technologies, through building research and through demonstration projects. The scale of government building operations often is such that governments can also encourage standardization and efficiency in construction related industries such as brickmaking, joinery, hardware and furnituremaking. The nature of the employment impact of construction will depend partly upon the particular sub-sectors involved. In housing, for example, if there is a steady demand for housing, there will be an opportunity to generate relatively stable employment. In subsectors such as road construction, public buildings and utilities, levels of activity may fluctuate markedly; if this is the case, it will be important to schedule individual projects to avoid major localized peaks and drops in the demand for labor.

In the mass transportation sector, there are opportunities for generating employment at a variety of skill levels in production (e.g. body-building), operations, maintenance and management. This sector also provides a useful training ground for the development of skills that will increase labor mobility.

In sanitation, there may be opportunities to use traditional labor intensive technologies for street cleaning, drainage maintenance, garbage and the collection and disposal of human wastes. In addition to the employment advantages of this, it may also help to avoid the maintenance problems

and expense often associated with the adoption of sophisticated capital intensive technologies.

In administration, there are many opportunities to employ maintenance and security staff, messengers and low skilled support staff of various kinds. Support staff used purposely to back up the very limited number of skilled administrators usually available can increase the productivity of the latter greatly, especially where such things as communications and transportation are underdeveloped. A caution is in order, however, since excessive numbers of "support" staff can easily become counterproductive.

Direct governmental employment in sectors such as those suggested can impact virtually all target groups except those whose productivity is so inherently low that they need remedial or special support. It is important that it be used constructively and aggressively, however, to increase productivity -- not just as a cushioning device which maintains a permanent state of subsistence for the otherwise unemployable.

2. Increasing the Productivity of Individuals Outside of Specific Enterprises

Provided that real demand exists, other types of employment assistance projects may focus on the supply side -- that is, on increasing the productivity of individuals directly so that they can take advantage of existing or new demand. Such projects (in contrast to worker training in an enterprise) often are undertaken outside individual enterprises:

- Because their intention is to prepare individuals to respond to a variety of types of job opportunities.
- Because there is no formal training available in the enterprises for which individuals presently work.
- Because the individuals involved are not yet skilled enough to obtain jobs in any enterprise.

It may be useful to consider such productivity oriented projects in two broad categories:

- Projects intended to increase worker productivity generally.
- Projects intended to increase productivity for a specific skill or a specific range of skills.

Projects of the first type include those which incorporate such things as water supply, sanitation, nutrition, personal health care and literacy. Projects of the second type are designed to develop a specific set of skills; they often need to have projects of the first type undertaken with them if they are to be fully successful.

Projects of the first type often will be basic ingredients of household or community improvement programs. A word of caution is in order on projects of the second type. There have been many cases in which worker (or potential worker) training undertaken outside of a particular enterprise has failed -- either because the skills imparted were not really of high enough quality to be utilized by any serious enterprise or because there was no real demand for the skills provided. Some artisan training projects have suffered from the second problem. As a general rule (to which there are, of course, exceptions), it seems preferable to undertake technical training within enterprises so that the skills developed can be tailored to real needs. When this is not possible, there should at least be an opportunity for potential employers of trainees to influence training programs to help to insure that they will result in the development of employable skills.

In some cases, community center projects have been designed to increase local income and employment through the development of basic skills such as carpentry, masonry, plumbing, welding and sewing and through support for home industries which can be organized into cooperatives. Some training centers carry out market research and project identification work, as well as acting as production centers and marketing agents, achieving financial self-sufficiency through commissions earned on their marketing services.

Projects designed to increase productivity outside specific enterprises are likely to be most beneficial for the unemployed. Properly designed, they should be able to reach a wide variety of types of unemployed individuals, including women with continuing family responsibilities who can undertake only part-time employment. They are also among the types of support that should be able to reach those who are "externally-oriented" or "in-transit" and without property rights or secure squatting status.

In Guyana, a community "resource center" in an urban slum has evolved into a training, production and marketing center for the unemployed. The center began with the provision of pre- and post-natal care and developed into a local meeting place, thus establishing strong roots and identity within the community. It became an urban grassroots mechanism for the stimulation of community action. The self-help/training project utilized employment-oriented action programs as an

instrument for awakening productive community participation. Its principal objectives were to develop local skills and talents and to help organize home industries to produce income and employment where none presently existed. It also aimed to nurture self-reliance through self-employment. Twelve-week courses are now offered in carpentry, masonry, plumbing, welding, sewing and candymaking to a total of 500 students throughout the year. Those who complete the courses are encouraged to set up home workshops which will be organized into cooperatives, while those unable to work at home continue to use center facilities.

E. SERVICES IN INFORMAL ADULT EDUCATION

1. Education and the Urban Poor

Formal education systems are frequently blamed for educational deficiencies in the developing countries. They often lack the coverage to provide even basic education to the poor. Although this problem is usually more critical among the rural poor than among the urban poor, the urban poor frequently lack the same access to formal education facilities as is provided to middle and upper income groups. This problem was highlighted in an appraisal of squatter settlements in Lusaka, Zambia, which showed that there was only one school in all of the city's squatter settlements. Fifty percent of the capital's population was virtually unserved. In squatter areas, primary school enrollment was only 36 percent compared to 90 percent in the rest of the capital. New school facilities and improved staffing and equipment could be considered as possible IIPUP components where formal education is inadequate. IIPUP planners should be aware of the need to improve access by the poor to educational systems. However, major improvements to formal education systems are generally beyond the scope of IIPUP programs and are not considered in detail here.

The content of school curricula is another issue which is potentially important to the urban poor. Formal education is frequently oriented too much towards preparation for higher education and modern sector employment. This is often dysfunctional because the majority of employment is in the informal sector and other jobs requiring low skills. The result in many countries has been large groups of unemployed youths with few practical skills. However, although the content of school curricula is important to the poor, major policy changes in the type of education offered in formal education systems will also generally be beyond the scope of individual IIPUP programs.

Problems of limited access to formal education and inappropriate education can be partly addressed through separate vocational education programs which teach practical skills in both on and off-the-job settings. Some types of vocational education which could be considered for IIPUP are presented in Section D.

In many cases, the most relevant types of educational services which can be considered for IIPUP are informal adult education programs. They are often run by health or social welfare agencies rather than by education officials. These can be organized relatively quickly to meet the most pressing educational deficits of specific low income communities through a variety of means. Examples of the most important types of adult informal education are presented below.

2. Types of Adult Informal Education Relevant to IIPUP

(a) Non-formal education programs in urban health, sanitation and family planning. Non-formal education can be an important complement to health services delivery programs and environmental sanitation programs for low income groups. People need basic information about the care and feeding of children, childbirth, the preparation of food, disease prevention and treatment, the protection of water and the disposal of human and other wastes. Community education campaigns concerned with mass vaccination, environmental sanitation, rat extermination and other related programs can help to develop new attitudes about health.

Basic information on health and related subjects can be conveyed to urban residents through a variety of means. Many health education programs involve the use of health "promoters" who make family visits, especially to counsel expecting and new mothers on childcare and nutrition. Health promoters are frequently trained with basic paramedical skills as is the case of the "Red Medical Workers" in urban China who are local housewives. They provide basic health information to households as well as simple preventive and curative medicine. Television, radio, public billboards and other media have been used effectively. A new low income settlement project in Karachi, Pakistan, used television to deliver a number of types of informal education including programs dealing with public health, personal hygiene and sanitation.

Urban health centers are frequently important focal points in community education. One center in Chetla, in Calcutta, India, organized mass campaigns in smallpox vaccination, cholera prevention, environmental sanitation and family planning. It also provided consultation on malnutrition.

(b) Literacy programs. Wide-ranging literacy is clearly essential for effective social change of many kinds. In many countries, literacy rates are especially low among the less socially mobile families (Types I and II in Chapter II). In these cases, low literacy tends to be both a cause and a result of poverty. However, the urbanization process itself provides a useful opportunity for literacy programs. New Urban migrants are often more highly motivated for learning. The advantage of acquiring literacy is more evident to them than to those who remain in rural areas.

Many literacy programs have concentrated on the general population using such media as radio, television and newspapers to teach functional literacy. Others have used more standard literacy training. There are many good examples of innovative literacy instruction using these and other means. However, many have failed because they have not recognized the importance of individual motivation. While it is important to select motivated individuals for training, it is also important to offer literacy programs in an environment which is conducive to motivation. For this reason, many literacy programs have been combined with other programs of interest to the target population such as vocational training, on-the-job work training and social centers. An example of this is a functional literacy program in a West African country which was closely linked with a groundnut production program at the local and national levels.

Another example of this type of motivation was recommended for a low income settlement upgrading program in El Salvador. A maximum effort was to be made to generate employment for the unemployed residents of low income neighborhoods in the construction of infrastructure. Those benefiting from this employment would also be encouraged to participate in functional literacy training as well as limited on-the-job vocational education. The program was to be conducted in conjunction with several government adult education agencies.

(c) Education in civic participation. Much of the effort to involve residents in the development of their communities, as described in Section I, requires a range of non-formal education to bring residents into productive community participation. Households need certain types of basic information in order to adapt and survive in an urban environment. Less socially mobile households (Types I, II and III described in Chapter II) need basic information on employment opportunities, consumer information and information on available community programs and services.

Consolidating households generally require a wider range of civic education to facilitate their permanent settlement in the urban areas. This may include information on

participation in the political process, legal information, public safety information, information on family budgeting and the use of financial institutions. Many also require information on cooperative techniques and community organization.

There are many media channels available for this type of community education. These include household visits, community and religious meetings, advertisements in public places and mass media.

F. PROJECTS IN ENVIRONMENTAL SANITATION

1. Environmental Sanitation and the Urban Poor

The components of environmental sanitation projects are likely to be important parts of physical improvement and new housing projects. Environmental sanitation is presented here as a separate project type, however, because of its special importance for the poorest urban groups. Many of the poorest urban communities urgently require at least minimal investments in water supply and sanitation. Such minimal investments may differ from projects involving more comprehensive urban upgrading because they involve a lower standard of service. Minimal services may be provided in communities which are not scheduled for permanent improvement but which suffer from immediate sanitation and disease problems. There may be a greater argument for not recuperating costs from such minimal investments because they are relatively small, and they benefit the poorest groups.

Environmental sanitation is extremely important for the health of the urban poor. It is generally a more important determinant of health conditions than the level of health services. Groundwater is frequently polluted by inadequate sewage disposal which makes surface wells unsafe for drinking. Populations with poor water supplies have high rates of morbidity and mortality. In Honduras, over half of all morbidity and mortality is due to water-borne diseases. The incidence of typhoid, cholera and diarrheal disease is significantly less where there is a safe municipal water supply. The incidence of disease has also been reduced by the introduction of sanitary excreta disposal.

The most vulnerable poor living in crowded and unsanitary conditions are the most exposed to the risk of disease. They must frequently live in low-lying marginal areas subject to flooding with little or no public services.

The problem of inequity has at least two important aspects -- the physical availability of services and their cost. Conditions in a major Asian metropolis illustrate the problem of physical availability. Only 30 percent of all households have piped water connections. Only 20 percent have sewer connections. In that city, and in many others, current policies are systematically biased in favor of the affluent minority and a very small middle class -- together constituting somewhere between 10 and 20 percent of the urban population. Water and sanitation systems are extended expensively to serve large plots they have purchased speculatively but do not occupy. Taxes and low interest borrowing are thus used to subsidize low density living for the few.

In addition to the lack of availability and poor quality of water in poor neighborhoods, the poor frequently pay a higher unit price for water. A gallon of water distributed through the informal system is generally more expensive than water from direct connections. In one Latin American city, the poor pay five to nine times as much for water as those connected to the formal system.

(a) Water supply.

(i) Optimization of existing systems. It is not uncommon for large amounts of water to be lost from existing systems. Repairs and maintenance of existing systems can lead to substantial savings and an increased availability of water for the poor. Meters can be placed on the supplies of large users. Overflow valves can be required on private reservoirs and tanks. Inspectors can find and eliminate illegal connections, damaged, missing and leaking faucets and valves. Financial losses can be reduced through better accounting, budgeting and collections. Many of these reforms may be politically difficult, but the possible savings can greatly reduce or postpone capital investment.

Rationing and improved pricing can also increase the water available for consumption by the urban poor. Water can be rationed to prevent wasteful consumption by upper income groups. It can be more directly allocated to outlets in poorer neighborhoods, especially during periods of critical shortage. Pricing systems can be reformed to establish more equitable unit costs. User charges can be adjusted to assure that affluent consumers (who typically use large quantities of water for non-essential purposes) pay the full cost of extending infrastructure to low density residential areas.

(ii) Expansion of distribution systems. It is important to expand water systems to unserved low income areas, especially where groundwater is contaminated. Some small improvements can be made to existing systems to increase

output without large capital outlays. The distribution system can be extended from existing mains to low income neighborhoods as part of squatter upgrading projects (where existing slum areas are being improved) or sites and services projects for new low income settlement. Additional community water taps can sometimes be added to existing mains with relatively little effort. Water supplies can be stabilized by installing balancing reservoirs. In addition, pressure in the system can be increased by greater pumping from existing sources. However, net benefits from increased pumping will be reduced if existing losses from the system are not first eliminated.

In many cases, large scale additions to treatment and distribution systems are necessary. One Asian city with a serious water supply problem has developed a 10-year program to expand its water supply. Estimates for 1973 showed a per capita consumption of 34.5 gallons per day and a total consumption of 138 million gallons per day. Total supply amounted to 162 mgd. Sixty percent of consumption was used by households, but domestic water consumption varied from 10 gallons per day among the lowest income households to 100 gallons per day by upper income groups. The 1985 water demand has been assessed at 390 mgd. for a population of 6.9 million. The cost of expanding the system has been estimated at about \$213 million, representing a cost of roughly \$1.07 million for each additional mgd. of capacity. This includes roughly equal costs for developing new sources and expanding the distribution network. It is expected that the distribution of water will also improve among low income groups. By 1985, approximately 80 percent of households are expected to have individual water connections compared with a 1973 level of 33 percent.

(b) Sewerage.

(i) Optimization of existing systems. High proportions of the populations of most cities in the LDCs, even the larger ones, have no access to a water-borne piped sewerage system. They are forced to use available open spaces, streams or river beds or use simple (essentially village) pit latrines, night soil collection systems or communal cess-pools. The use of urban open spaces clearly has to be discouraged where densities are high. The use of simple units such as pit latrines, however, may have to be considered acceptable, even at quite high densities, where capital resources are very scarce. In such situations, the task is to make the necessarily simple system as economic and hygienic as possible.

Latrines are often in poor states of repair. They should be inspected and repaired if necessary to assure they are not

accessible to flies or other animals. It should also be ascertained whether they represent a threat to groundwater, especially if they are close to surface wells. Night soil collection can first be improved by making them on a more regular basis and using more sanitary containers which minimize exposure and danger of spillage. Specialized trucks and other equipment can be used. Likewise, the collection of wastes from cesspools can be improved. In both cases, collected wastes can be used in agriculture. While the dangers of such systems can be minimized, contamination nevertheless remains a much more likely possibility than with piped systems.

(ii) Additions to systems. In areas which are not too densely populated, new pit latrines can be considered. This may not be possible where large amounts of waste disposal would risk contamination of underground water, surface water or surface soil.

In some cases, open surface sewers may be a "best possible" solution. The risks of contamination can be minimized by separating them as far as possible from homes, covering them at least partially and assuring their outfall to safe open water bodies or to existing trunk sewers. Where they must be close to residential or other major activity areas, it may be possible to organize housing and other land uses so that only small numbers of people are responsible for the maintenance of the sewers immediately serving them; if this can be done, there may be a direct sense of responsibility and relatively good maintenance. Even in the poorest areas, standards of hygiene and maintenance in private or semi-private (in contrast to public) space often are quite high.

Communal cesspools and septic tanks are other intermediate methods which may be appropriate in certain situations. Where populations are dense and latrines cannot be built, cesspools may be the best solution. This may be especially true for densely populated staging areas where residents and landlords are unable or unwilling to make substantial investments. As with individual night soil collection systems, cesspools must be periodically drained of waste, and it may be possible to process that waste for use in agriculture.

Conventional sanitary sewer connections are still preferable in a number of situations, especially for the more stable poor who are becoming permanently established in urban areas. Standards may be reduced through the use of less expensive fixtures without compromising on sanitation. Where individual installations are not feasible, as in the case of many squatter upgrading programs, community facilities may be constructed reasonably inexpensively from a limited

number of sewers in the project area. These can be combined with water outlets in bathhouses.

Incremental additions can be made to existing water-borne systems to use those systems more fully and make them more responsive to the needs of the poor. Additional collection points often can be added to existing sewerage lines at little expense.

(c) Drainage. The most vulnerable of the urban poor, especially those living in low-lying, flood-prone areas, suffer the most from the poor state of most drainage systems in the developing world. In addition to physical vulnerability, health conditions are notably worse among the urban poor during seasons of heavy flooding.

Many existing drainage systems were designed to service much smaller urbanized areas. However, as increased amounts of land are covered with pavement and housing, less rain water is absorbed by the soil. Frequently, it is necessary to expand existing systems to cope with larger amounts of flood water. The problems of drainage, however, are affected by problems in other sectors which should also be looked at. Sometimes water, gas or sewer lines may be laid across storm drainage channels to partially block the flow. During storm flows, debris carried by high water may be caught on such obstructions, block the flow and result in additional flooding. Where solid waste systems are inadequate, large amounts of human waste in storm drains, pose a serious health problem, particularly during floods. Short term actions can be taken to regulate street sweeping and the dumping of sewage into storm drains.

Poorly planned urbanization and improper agricultural methods can cause erosion which clogs storm sewers during floods. Where this is a problem, natural drainage channels are likely to have to be stabilized as an immediate measure to control erosion. Sustained improvements in the regulation of land use and the protection of ground cover are likely to be necessary long term measures in such situations, as noted later.

Several actions can be taken to alleviate the most immediate problems of drainage systems. Drains can be cleared of mud, debris and other obstructions, channels and pipes can be repaired and manhole covers can be replaced. This may involve the establishment of regular clearance schedules before seasonal rains to reduce flood damage. Private maintenance of local drains can be encouraged. In some cases, local surface drains can be constructed relatively quickly to discharge into existing main drains to utilize existing capacity fully.

A variety of long term programs should be considered to control erosion damage. Urbanization can be regulated in erosion-prone areas. Check dams can be installed in areas above cities to slow runoffs and to build up groundwater levels. In addition, harmful agricultural practices such as overgrazing may require organizational changes and staff training (including a rethinking of the territorial responsibilities of municipalities) as well as considerable public education.

(d) Solid wastes. Traditional collection methods can be regulated and upgraded. This may include improvements to handcarts, the organization of the manual recovery of reusable wastes and the organization and regulation of dumping. In some cases where conventional truck collection, incineration and sanitary land fill are already in use, they can be improved and regulated more efficiently.

Most cities in the LDCs must expand their conventional recovery, treatment and disposal systems substantially to cope with growing quantities of solid wastes. Such programs are likely to benefit the urban poor directly. Low income households are the most vulnerable victims of disease, rodent infestation and other problems resulting from poor solid waste removal systems.

One large Asian city is faced with a typical solid waste problem. Approximately 1.2 pounds of refuse are generated per head per day.* This produced a total of about 2,000 tons of garbage per day in 1973. The figure may be as high as 4,000 tons per day by 1985. A refuse collection program utilizing heavy-duty 20-cubic yard compacting vehicles, two 20 ton per hour composting plants, eight bulldozers, 2,000 refuse bins and the development of disposal and land fill sites is under consideration there. The development of such a large scale program will require considerable staff training and user education.

Resource conserving recovery and reuse systems may be appropriate in some developing countries. Informal systems of recovery already exist in most cases. The economic feasibility of using such systems, or more labor intensive ones, in the developing areas is likely to vary greatly with the design of development. Scavengers extract every salable

* Rates of generation in the LDCs are generally much lower than in the MDCs (where seven or eight pounds per capita per day may be generated) because there is a necessarily more careful use of almost everything.

item -- old machine parts, used household utensils, scrap paper, metal and the rest.

G. PROJECTS IN URBAN HEALTH SERVICES

1. Health and the Urban Poor

Although the rural poor often have more limited access to health services than the urban poor, the health conditions of the urban poor are in many ways more alarming. Low income neighborhoods typically have high residential densities and poor water supply and sanitation. These conditions facilitate the spread of a variety of air-borne and water-borne communicable diseases as well as serious epidemics. Environment related health problems are exacerbated by malnutrition and, in many cases, ignorance about basic health practices. Preventive and curative health services are also generally inadequate. Poor health can result in job absenteeism and low productivity. The cost of curative treatment can require a high percentage of household income.

It is difficult to separate the health problems related to poor environmental conditions from those related to poor health services and ignorance. It is clear, however, that health problems can frequently be addressed more effectively by improving environmental conditions, particularly sanitation and water supply, than by improving health services. In most instances, the types of improvements listed in Section F will be at least as important in improving urban health conditions as will be improved health services. The dissemination of information about basic hygiene and health practices will also be important (see Section E, "Services in Informal Adult Education").

2. Types of Health Projects Likely to be Important for IIPUP

Curative health services are unlikely to have adequate results if preventive measures are not adequate. The per capita cost of preventive services is also likely to be much lower than curative services. A wider impact can be achieved with preventive services from the same level of expenditure. Most health services provided through IIPUP should be concentrated on disease prevention, although improved low cost curative services may be important in some instances.

(a) Preventive health services. The most important components of preventive service projects are likely to include regular health surveillance, regular dissemination

of information on desirable health measures and available health services, vaccination and instruction in personal hygiene and nutrition. IIPUP programs can provide for the construction and staffing of community health centers, but such centers should generally require low amounts of capital expenditure. In many cases, the construction of new facilities should be discouraged.

The focus should be on preventive health services and improved community outreach. Paramedical personnel with a wide range of health skills may be more effective for this service than more specialized health professionals. Cases requiring more expensive curative care can be referred elsewhere. Where local clinics are not feasible or cannot achieve the necessary coverage, mobile units or other means of community outreach can be considered.

Paramedical personnel are an important part of urban health delivery in China where large numbers of "barefoot doctors," midwives and health aides are used in preventive medicine and in the treatment of minor health problems. Basic health services are thus made available to a broad segment of the population. Cases requiring specialized treatment are referred to central health care units.

An IIPUP project being implemented in a low income neighborhood in Tunis will provide improved preventive health services. An existing community health center is being strengthened to provide increased community outreach. Initially, it will also pay the salaries of some of the health personnel. Limited curative treatment will also be provided, but more serious cases will be referred outside the neighborhood.

(b) Mother/child, family planning and nutrition services. In many cases, services related to pre- and post-natal care and family planning are carried out separately from other health services. These services are aimed at a specific target subgroup which can often be reached more effectively with specialized services. In some cultures, it is preferable to treat these matters separately from other health services.

In Zambia, the emphasis in both nutrition and family planning is on outreach to the target groups in their homes as well as conventional activities in the clinics. The nutrition component will consist of making mothers aware of the importance of nutrition and of simple means of preparing locally available inexpensive foods. The project will fund vehicles and equipment for home visits.

The Tunisia IIPUP program is planning to provide improvements in mother/child care and family planning. The

basic health center which will be supported by the program will unite the services of a previously separate mother and child center with a health dispensary in a new, larger facility. The equipment and personnel will be improved, and new efforts will be made to extend the program to previously unreached families.

H. PROJECTS IN PUBLIC TRANSPORTATION SERVICES

1. Transportation and the Urban Poor

Projects in urban transportation services have their most visible impact on "Consolidating Households" (Type V) who generally live in the newly developing outer areas of cities and in middle and upper income groups. These groups require transport to commute to work and have the means to pay for it. Nevertheless, in some of the larger cities with populations of several million, walk or walk-and-cycle trips may constitute as much as 40 percent of daily person work trips and 60 to 70 percent of all daily person trips. Transportation in its simplest form (including pedestrian paths, bicycles and traditional modes) is, therefore, very important to the lowest income groups. Many pedestrians are among the poorest and most debilitated of the poor for whom the shortening of trip lengths is important.

Transportation provides the poor not only with access to jobs. In itself, it is a source of employment. Transportation services facilitate the distribution of essential commodities and the access of the poor to essential urban services. They increase the supply of land suitable for low income families and increase the value of land which may be owned by those families.

There are several important issues which should be recognized in planning transportation services for the urban poor. They are important to the urban poor and should be considered during IIPUP project planning, but they generally involve policies which are beyond the scope of individual IIPUP programs. The most important of these follow:

- Policies should insure that a part of any additional land supply created by improvements in transportation becomes available to low income groups. Likewise, policies which affect land use and the density of residential and other land should strive to minimize the need for transportation services, especially for low income groups.
- It may be advisable to restrict the importation, production and use of private vehicles because they

are inefficient and often inequitable users of road space and energy.

- The choice of public transportation modes can be important to low income groups. Some employment in traditional modes may be lost (for example, as public transport is improved through the adoption of intermediate or modern technologies).
- Importation and tax policies are important if there is an intent to improve levels of service in mass transportation for the poor, and there is a heavy dependence on imports to achieve this. Import regulations and tariffs should be made consistent with this objective.

2. Types of Projects in Transportation Services Relevant to IIPUP

As opposed to the broad types of policy measures listed above, the following more specific project types may be of direct applicability in IIPUP programs.

(a) Improved facilities and support for pedestrians. Improvements in pedestrian movement benefit all low income groups and often can be achieved very quickly at low capital cost. In new low income areas, it is usually possible to arrange land use to keep trip lengths short enough for walking. In already built-up areas, it is often possible to improve conditions for pedestrians considerably -- by changing traffic regulations which neglect them; by improving sidewalks; by providing protective barriers between pedestrian and vehicular movements in areas of extreme conflict; and by preserving as pedestrian ways small streets that are not needed for major vehicle movement.

Recent examples of metropolitan planning in which an attempt is being made to exploit the potential of walking for low income groups include the Karachi Development Plan, 1974-1985.*

(b) Facilities and support for bicycles. The bicycle is one of the most convenient and energy-efficient forms of individual transportation available. It is a mode generally available to all but the lowest income groups. Improvements in the levels of service can be achieved quickly at very low capital cost through changes in traffic

* Karachi Development Plan, 1974-1985, Master Plan Department, Karachi Development Authority, 1973, pp. 244, 247.

regulations and through reductions in import and sales taxes.

The types of support for bicycle transportation that can be considered include: assistance for production and servicing; use of bicycles as parts of payment-in-kind packages for labor contributed for housing and other projects; provision of rights-of-way and facilities; establishment of traffic regulations to support bicycle use; and road user education.

The bicycle is used extensively in urban areas in a number of countries including, for example, India, parts of Pakistan and Tunisia.

(c) Facilities and support for traditional modes. Traditional modes of goods and person movement for the poor bear a great variety of local names. They include animal drawn carts for goods movement, handcarts (small and large -- such as the 2-man handcarts common in India), animal drawn vehicles for passengers (for example, the tongas and victorias of Karachi), bicycle rickshaws and auto rickshaws.

All of these provide adaptable forms of transportation at relatively low capital cost. The production, maintenance and repair of vehicles, as well as their operation, provide useful sources of relatively low skilled employment. Like bicycles, they can serve widely dispersed origins and destinations. Because the equipment and experience necessary for operating traditional modes usually are readily available locally, expansions in traditional systems usually can be achieved quickly.

Their major potentially negative impact is their interference with mass transit vehicles. This can be ameliorated if fast and slow routes can be differentiated appropriately, but this is often difficult to do.

To the extent that they can be provided for without interfering excessively with essential forms of mass transportation as systems gradually modernize, traditional modes should be encouraged rather than discouraged. For the non-motorized traditional modes, the case for supporting them has become even stronger in the last several years as fuel prices have risen.

The types of project support for traditional modes that may be worth considering include:

- A differentiation of the services that traditional and modern modes can provide and the different incentives and restrictions appropriate for each -- with large mass transit vehicles excluded from

small streets that can be served best by smaller vehicles and *vice versa*.

- Support for owners and operators of traditional modes in the form of credit and assistance in obtaining parts and materials for construction and maintenance.
- Careful structuring of taxes and licensing fees to avoid discouraging traditional modes.

(d) Mini-bus systems. The mini-bus of Karachi, the jeepney of Manila, the tap-tap of Port-au-Prince are forms of a small mass transit vehicle that provides useful transportation services for a part of the low income population of those cities.

The ease and rapidity with which services can be expanded with project assistance will vary considerably from place to place depending, among other things, on the degree to which the purchase of chassis involves foreign exchange versus the conversion of existing used vehicles and the extent to which bodies can be produced locally.

For these reasons and because of relatively high fares, the role of mini-buses in low income transportation may be more limited than most of the other modes discussed here, but they can provide a higher level of service than buses since they provide seats, travel at higher speeds and make fewer stops.

(e) Buses. Buses are likely to play a major role in transportation for the poor throughout the foreseeable future in most cities of the developing world. Although many bus systems are poorly managed, dramatic improvements in services for low income groups can be achieved relatively quickly through programs which combine the purchase of additional vehicles with improvements in management, routing and scheduling.

In undertaking projects to improve bus systems, it often will be important to incorporate at least eight types of action -- each of which, of course, may deserve different emphasis in specific instances.

- (1) It may be necessary to expand bus fleets.
- (2) It may be desirable to provide funding and technical assistance for the design and production of complete vehicles or major components.
- (3) It is likely that technical assistance will be needed to improve system management. Deficiencies

usually range from service planning (including routing, scheduling and pricing) through purchasing procedures, workshop management and maintenance.

- (4) Realistic fare structures must be established to enable systems to be commercially viable.
- (5) Import regulations and tariffs, vehicle and fuel taxes and licensing fees should encourage the development of effective bus services, not hinder their development.
- (6) It may be necessary to construct additional bus terminals and/or intermodal terminals and improve layouts and facilities in existing terminals.
- (7) It may be necessary to improve overall traffic operations in order to help to take full advantage of the potential efficiencies of buses.
- (8) In almost all cases, it will be necessary to undertake sustained driver training and road user education programs.

I. PARTICIPANT MOBILIZATION

1. Participant Mobilization and the Urban Poor

Effective community development is both an end in itself and an important means of implementing many of the other substantive components of IIPUP. The increased independence of the urban poor is a fundamental concern of IIPUP. It is important for the poor to be involved in the decisions which shape their lives. More participation by the poor in decision making will help to insure future self-reliance. Likewise, the opportunities for social interaction afforded by the community development process are themselves important to enrich the lives of the poor.

Community participation is also an important prerequisite for the successful implementation of most of the IIPUP project components described here. Where effective community leaders and organizations exist and are involved in the planning and implementation of IIPUP programs, the chances of success and longevity of those programs are much greater.

2. Types of Community Participation

Community participation is essential at a number of stages in the IIPUP process. The urban poor have important roles both as active participants in the planning and implementation process and as informed beneficiaries of IIPUP programs.

(a) Community involvement in project identification and design. Community organizations and representatives can be used in gathering socioeconomic data for IIPUP project planning. This may be especially useful in areas with strong community organizations.

In many cases, community groups and leaders should be involved in the project design process. This may be necessary to obtain community acceptance of a project. The World Bank community improvement project in Zambia involved community leaders in the physical design process. A group of community leaders was formed to decide on the alignment of roads and community facilities. The project's professional staff acted as consultants to them.

The community improvement project planned for San Salvador recognized the importance of community involvement and acceptance during the project design process, especially where the costs of the project were to be recovered from beneficiaries. In that project, community groups were to be presented with sets of alternative levels of service for infrastructure and community facilities together with cost estimates in terms of the monthly payment required per family for each level of service. The communities were then to be given the opportunity to choose the set of standards they were willing to pay for.

(b) Community involvement in project implementation. Many projects give community groups the opportunity to participate in implementation. This can reduce the cost of works and help build local self-reliance. In the Indonesian Kampung Improvement Program, the kampung communities help to organize self-help labor, but most major works are executed by contractors. There are many obstacles to be overcome in organizing effective community mutual help projects. The Zambia project ran into considerable problems with self-help and it played a considerably smaller role than was expected. Because mutual help used unskilled and inexperienced labor, it required a large amount of supervisory personnel and was not cost effective. In the end, contractors were allowed to use hired personnel in cases where self-help interfered with the timely execution of the project.

Self-help or mutual help should be distinguished from individual self-help. In many cases, individual self-help is a more effective means of inducing participants to contribute labor than mutual help. However, projects involving individual self-help have to be carefully designed. In many projects where participants were intended to contribute self-help, they hired outside labor instead. Beneficiaries frequently do not have enough spare time to contribute the required self-help.

Cooperatives can be a useful means of involving communities in IIPUP projects. Housing cooperatives have been used in many cases to mobilize support for planning and implementation. They are useful vehicles for project management and maintenance after the implementation period. Cooperatives can themselves be a means for achieving service integration by channeling a range of services to members.

The Kampung Improvement Program in Jakarta, Indonesia, has kampung (neighborhood) committees that are directly involved in planning, execution and maintenance of works executed in each kampung. The organization helps to establish priorities for improvements which reflect the views of residents. They respond to official proposals concerning the balance of social and physical infrastructure, location of roads, footpaths, community sanitary facilities, schools and health centers. They also respond to proposals on the relocation of households and collections and expenditures of compensation.

Community participation is especially important where substantial road realignment, reblocking and relocation are to occur (i.e. the value of people's assets are to be affected). For this reason, community participation has been especially active in the Tondo Foreshore Redevelopment Project in Manila where large numbers of households are being relocated and otherwise significantly affected by the project.

In many projects, there are opportunities for community residents to work as paraprofessional staff. This is the case, for example, of the "Red Medical Workers" in China who perform a number of health maintenance and educational tasks in their communities.

Many projects involve community residents in ongoing project management, maintenance of improvements or collection of payments. In the Indonesian Kampung Improvement Program, the Kampung Committees collect money for kampung maintenance work and distribute money to help residents who are displaced. However, in some cases, collections through community organizations are difficult. In the Zambia project, community

leaders did not want to be involved in payment collection as it was not to their political advantage.

(c) Community involvement in project evaluation. IIPUP projects require constant feedback from beneficiaries to assure their success and to improve the design of subsequent projects. Community organizations, together with project staff and social workers, have an important role to play in determining the impact of projects on beneficiaries and conveying the results to IIPUP project planners.

(d) Community preparation for project participation. Many of the urban poor require specific information or counseling in order to benefit fully from the services offered under IIPUP. Some of these types of information are referred to in Section E. Two other areas are of such importance that they merit specific mention.

(i) Information on credit. Many of the urban poor have no experience in the use of credit. They need to be familiarized with credit institutions and trained in the use of credit for home purchase and productive investment. They must be convinced of the importance of repayment. The education of beneficiaries in the use of credit is the best way to reduce the risk of lending to low income groups and to increase the replicability of credit programs.

(ii) Legal assistance. Many complex legal actions may be necessary to implement IIPUP programs, particularly where changes in land tenure or rental status are involved (see Chapter VI). It is important to provide legal assistance to individual residents affected by these changes. The type of legal assistance will vary depending on the specific types of changes contemplated. For example, renters with landlord disputes will require different services from those who own their houses and need to legalize their tenure.

J. PROJECTS TO IMPROVE THE WELFARE OF THE NEEDIEST GROUPS

In every society, there are people in a position of dependency. This includes the physically and mentally handicapped, senior citizens and children. Households headed by women are particularly disadvantaged in many societies. Chronically unemployed persons may require special attention. In most countries, extended families have traditionally cared for those who cannot care for themselves. However, traditional patterns frequently break down as societies become urbanized. The pattern of this breakdown varies from country to country. Urban

migrants who remain externally oriented may be performing a welfare function for old and young relatives left in the villages. As they become more consolidated in urban areas, welfare ties usually become less important.

Most developing countries do not have the resources for comprehensive welfare programs. For this reason, governments should strive to encourage family and other private welfare activities. In most developing countries, there are private religious or other social services groups providing specialized welfare assistance to the neediest groups.

It may be appropriate to include specialized welfare assistance in some IIPUP programs where a clear need can be identified among the target population and a means of service delivery exists. It may be less appropriate for governments themselves to undertake major new programs in this field unless resources are available and a high priority is attached to the service. A full listing of the types of welfare services that that might be required is beyond the scope of this paper.

Some of the types of services that might be considered include programs to train the physically handicapped and the blind and deaf, programs for orphans, programs for the elderly and programs for the chronically ill. Daycare facilities may help single parents who must work. Temporary shelter and remedial shelter may be required by the chronically unemployed.

ANNEX II
CASE STUDIES

ANNEX II

CASE STUDIES FROM DOMESTIC EXPERIENCE

The following case studies review the experience of several domestic programs with services integration. Because they deal with the problems of integrating services provided by a multiplicity of agencies, all of the cases have some relevance to IIPUP programs. The many difficulties cited in domestic experience with integration suggest that considerable caution should be exercised in developing services integration programs elsewhere.

The Model Cities program was the most ambitious federal program attempting to integrate urban services. It provided large grants for comprehensive programs in cities. It met with very limited success for a number of reasons, including a series of unforeseen obstacles to coordination among government agencies.

The Community Development Block Grant (CDBG) program which has superseded the Model Cities program gives grants for local discretionary use. Because it has a minimum of restrictions and does not establish priorities from above, the program has met with greater success in terms of project accomplishments. However, the government is less able to assure that projects are directed to the poor.

The Department of Health, Education and Welfare (HEW) Services Integration Targets of Opportunity (SITO) program experimented with several different types of services integration. While the results were varied, they showed many difficulties in building interagency linkages.

Title XX of the Social Security Act is another attempt to promote services integration. It combines several previously separate grants into a single funding source and encourages more coordinated planning. This system has met with some success, perhaps because its objectives were limited.

In the United States, improved coordination and joint planning have worked best when the purpose was to fill a gap in services. They have not worked nearly as well when they have attempted to restructure the existing service delivery system. This is partly because agencies are reluctant to yield their "turf," even if it would decrease their workload. In the developing countries, many IIPUP efforts will inevitably involve new delivery systems where services do not already exist or where they are not being extended to the target population. In these cases, there is likely to be less conflict among agencies.

One of the major constraints to services integration in the United States has been the existing rules and regulations governing the spending of federal funds. The use of funds is often specified by client group and program category, together with detailed reporting requirements. This leaves government agencies with little room to adjust their programs to meet integrated service delivery plans. In the developing countries, this is less likely to be a constraint. New programs will be less constrained by existing regulations. In many cases, the availability of foreign assistance may be an inducement for changes in existing regulations.

The developing countries have less immediate need for user related services such as information systems, referral and individual outreach. Such systems assume that a basic service delivery capacity is already in existence. This is not the case in most developing countries. There, the emphasis usually should be on building effective delivery systems.

In spite of the differences between developed and developing countries, both will share many of the same difficulties and frustrations in building integrated service delivery systems. Many of the problems relate to the nature of individuals and of institutions which is similar in most countries.

Where some cooperation can be achieved in service delivery, there are serious questions about the cost effectiveness of integration. This points to the need to proceed cautiously with any effort of services integration. A deliberate, incremental approach is most likely to succeed.

A. MODEL CITIES (HUD)

1. Purpose of the Program

According to the enabling legislation, Title I of the Demonstration Cities and Metropolitan Development Act of 1966 (P.L. 89-754), the purpose of Model Cities was to provide assistance for:

"comprehensive city demonstration projects containing new and imaginative measures to rebuild or revitalize large slums or blighted areas, expand housing, improve job and income opportunities, reduce dependency on welfare payments, improve educational facilities and programs, combat disease and ill health, reduce the incidence of crime and delinquency, enhance recreational and cultural opportunities, establish better access between homes and jobs, and generally improve the living conditions of people who live in such areas."

To qualify for grants, cities were required to submit a proposal that described the nature and causes of the conditions requiring correction, explained the proposed approaches for solving the problems in an effective and imaginative way and demonstrated the competence of the city to execute the proposed program successfully.

The legislation has since been superceded by the Housing and Community Development Act of 1974 under which Model Cities type activities can be funded through Community Development Block Grants.*

Prior to the Model Cities program, the type and organization of federally funded social services varied depending on the administration and on the social climate.** In the 1930s when community development meant funding for public works such

* See Block Grant Case Study.

** Community Development and the Model Cities Legacy, Bernard Frieden and Marshall Kaplan, Joint Center for Urban Studies, M.I.T.-Harvard, Cambridge, Mass., 1976.

as playgrounds, the relatively well-to-do communities usually benefited more than the poor. In the 1950s, local and federal funds destined to improve slum communities went into the physical aspects of urban renewal such as highway construction, water and sewer facilities and open space. Lyndon Johnson's Great Society program in the 1960s was designed to alleviate both the physical and the social manifestations of poverty. Between 1953 and 1966, the number and coverage of categorical aid programs had increased significantly. Congress established about 220 new grant programs, more than doubling the total number in existence prior to that time. Most of the programs qualifying for funds had to follow detailed federal regulations which blocked local initiative for solving poverty problems in a comprehensive manner. The cities could not easily make sense out of the sizable inventory of various federal categorical grants. In addition, the success of the principal urban categorical program was questionable. At a cost of over \$3 billion, the Urban Renewal Program had actually decreased the supply of low cost housing in American cities.

The War on Poverty, administered by the Office of Economic Opportunity, was a response to this and an effort to coordinate the operations of numerous federal and local institutions and also to encourage community participation. Thousands of Community Action Agencies were created. However, in many cases, mayors felt that their power was being threatened and demanded that Washington reduce the role of the poor.

The next phase began when President Johnson established the Department of Housing and Urban Development (HUD) to coordinate aid to cities. It was felt that the Executive Office could play a key role in the planning and implementation of urban policies and apply presidential pressure to encourage coordination among uncooperative agencies. A task force was set up to design a coordinated project. However, none of the task force members had sufficient experience with federal agencies and many underestimated the obstacles most agencies would place in the way of reform and change -- especially when agencies felt that their "turf" was being invaded. The task force proposed a demonstration city program requiring the coordination of all available talent and aid.

2. Administrative and Financial Aspects

The Model Cities program intended to coordinate levels of government vertically and independent federal agencies horizontally under the direction of HUD, which was newly established at the time. Many of the relevant programs would continue to be administered by other departments and agencies,

but HUD would be responsible for negotiation with those agencies to achieve coordination and policy consistency across departmental lines. The other departments to be involved were not represented on the task force that planned the program.

There were two stages to the program. The first gave municipalities a year to plan a one-year action plan and to set comprehensive five-year goals. The second stage was implementation.

While the cities were responsible for planning the programs, final decision making authority rested with HUD. The weakest link in coordination was the state. Governors were given no role in the program. Applications from the cities did not flow through them and they were not given a voice in selection. After cities had been chosen for participation, federal officials visited the governors to explain the program.*

During the Model Cities program, there were projects in 145 cities costing a total of \$2,519,320,104 distributed as follows:**

Planning grants:	\$ 22,222,450
Operating funds:	\$2,467,593,901
Technical assistance:	\$ 29,503,753

3. User Group Participation

While user group participation was encouraged under Model Cities, it was difficult because of the adverse reaction of government officials to the Community Action Agencies founded during the War on Poverty. Funds were made available for citizens' groups to hire their own professional planners. This was considered more effective than having the agencies' planners work for the citizens because there was often mutual distrust.***

In some cases, citizens participated in implementation by finding locations for the project and making staffing

* Making Federalism Work -- A Study of Program Coordination at the Community Level, U.S. Department of Commerce Economic Development Administration, June 1969.

** Programs of HUD, U.S. Department of Housing and Urban Development, Washington, D.C., June 1978.

*** Urban Planning for Social Welfare: A Model Cities Approach, New York, Praeger, 1970.

suggestions. Low level administrative positions became training grounds for low skilled community residents with potential to improve themselves.

It was found that neighborhood residents demanded and maintained more control over new programs that were started in their areas than in programs that were in place before the program began. New programs included the concentrated employment program, the community action program, health and recreation. This was because the more established programs such as welfare, education and police protection were more resistant to change. Citizen control in established areas was impeded by federal and state laws, the administrative interpretations of the laws and local procedural, personnel and program practices.

The descriptions of specific projects which follow this overview illustrate various types of user group participation.

4. Difficulties Encountered

Concentrating federal resources in demonstration neighborhoods and improving the management of the federal grant system under the Model Cities program ran counter to the "deeply ingrained ways of managing programs in Washington."* In particular, attempts in the following areas fell short of expectations:

- To establish Model Cities agencies as the single entry point for federal aid.
- To simplify the federal review process.
- To make categorical programs more flexible.
- To provide effective technical assistance.

Five overriding factors contributed to many individual impediments. They were: (a) a lack of national commitment; (b) lack of capacity in the cities; (c) lack of community power; (d) ineffective training and technical assistance; and (e) problems of coordination.

* Politics of Neglect: Urban Aid from Model Cities to Revenue Sharing, Bernard Frieden and Marshall Kaplan, Cambridge, Mass.: M.I.T. Press, 1977.

(a) Lack of national commitment.

(i) A program aimed at changing operating policy or procedures must provide a significant percentage of the total resources of the program in order to be effective. In the case of Model Cities, the federal government, for political reasons, was not willing to concentrate enough funds in a few cities to make the program successful.

(ii) There was not sufficient interagency cooperation at the federal level for comprehensive local programming, and cities had difficulty coping with the federal maze to get funds.

(iii) No provisions were made for existing client groups. By asking agencies to redirect their resources to the urban poor, the existing client groups who were politically important would lose out.

(iv) Even if agencies had wanted to cooperate through focusing programs on the model neighborhoods, it would have been difficult because most of their funds were already earmarked. Out of the HUD budget of 1968 for \$6.4 billion, only \$181 million was not committed prior to the start of the program.*

(v) It was difficult for cities to take full advantage of the program because of national administrative procedures. One reason was the length of time which cities had to wait after submission of their plans before they received HUD approval, the contract signed and a letter of credit issued. It often took up to eight months during which time key staff left in both the lead and coordinating agencies and residents lost interest. Similar problems were incurred by the lengthy amendment process. There were more delays when cities began detailed negotiations with operating agencies. Mixing federal grants was difficult because a city may miss deadlines for grants while waiting for the preliminary funding for a project to be approved.

(b) Lack of capacity in the cities.

(i) Some cities were tied up by their own operating procedures which required lengthy reviews for all new projects. A study of why New York City was only able to spend half of its first-year grant of \$65 million revealed that purchasing a piece of equipment required 71 steps by 10 city

* Between the Idea and the Reality: A Study of the Origin, Fate and Legacy of the Model Cities Program, Charles Haar, Boston, Mass.: Little and Brown, 1975.

agencies; hiring a person required 56 steps by five different agencies; and a contract could not be signed until 12 agencies examined the papers.*

(ii) Many cities delegated planning to planners whose primary interest and experience was in physical planning. In many cities, agencies such as school boards were not involved.

(iii) In many cases, the Office of the Mayor or Assistant Mayor lacked staff to administer the program. The staff available in the various city agencies lacked experience in planning and managing such a broad range of activities.

(c) Lack of community power. The Community Development Associations had the broad responsibility for coordination at the local level but lacked the power to control any of the agencies they were attempting to coordinate. In the case of the Atlanta program, they looked higher up in the government structure of the city for assistance in control but found the power lacking there also.

Cooperation did not necessarily lead to coordination. In the case of New York City, public and private agencies were willing to discuss with each other and the Community Development Associations issues of welding programs together, but they were not willing to give up any of their staff or authority to insure greater effectiveness of the program.

(d) Ineffective training and technical assistance.**

(i) Members of staffs of implementing agencies below certain sizes were not allowed time away from the performance of routine tasks to learn from the consultants providing technical assistance.

(ii) Several cities experienced massive staff turn-overs during the contract period causing a loss in the impact of technical assistance efforts. In a city where the entire staff left, sophisticated training was terminated and replaced by training sessions for new staff which strongly stressed the rudimentary outlines of the Model Cities program.

* "\$65 Million U.S. Slum Aid Snarled in City Red Tape," New York Times, November 11, 1971.

** An Analysis of the Impact of Training and Technical Assistance in Model Cities, Organization for Social and Technical Innovation, Inc., Atlanta, Ga., 1979.

Staff turnover on a less massive scale was also a problem. During a one-year consultant contract in 21 cities, key staff in nine cities who had been receiving or would have received training in planning and evaluation left.

(iii) Where directors were aware of deficiencies in themselves or their product, they felt threatened by the technical assistance consultants who might expose these deficiencies. When directors saw that the technical assistance remedy would be more damaging to their security than the continued existence of the problem, the effect of technical assistance was even more limited.

(e) Problems of coordination. The planned coordination that the program depended on never materialized. In spite of the legislative directive to "insure . . . maximum coordination of federal assistance," no mention was made of specific objectives of coordination or how they were to be achieved. It was felt that a review of all programs affecting a model neighborhood by the Community Development Associations and the mayors would improve linkages between the federal government and the city halls. Some federal agencies, however, did not want their programs reviewed and approved.

There were nine federal departments and agencies administering Model Cities activities which required coordination. At first, informal discussions took place. Then the agencies participated by reviewing the cities' applications. Six months later a Washington Interagency Coordinating Committee was set up. This arrangement was formalized in December 1968, more than a year after the program started, when a group of assistant secretaries and agency representatives was established to set policy and oversee coordination at the federal level. A regional interagency coordinating group was also set up to provide technical and informational services to the cities and to oversee federal agency coordination at that level. A third group at the city level was to assist the City Demonstration Agency in coordinating with other local agencies and solving daily problems. The interagency group, which included the Bureau of the Budget (now the Office of Management and Budget), Department of Health, Education and Welfare, Office of Economic Opportunity (OEO) and the Departments of Justice Agriculture, Commerce, Transportation and Labor, met and made general agreements, but tangible commitments to coordinate were not forthcoming.

The performance of the regional and local interagency teams was also disappointing. Working groups existed in only a few Model Cities and attendance was irregular. The agency representatives did not have the authority to make commitments to programs. Even HEW, the most sympathetic of the agencies, used Social Security staff who were not the best qualified to represent a task of this sort.

OEO had organized citizens' groups (called Community Action Agencies) under a previous program. They were not subject to mayoral control as would be the Community Development Agencies which could coordinate the Model Cities activities at the community level. Each, naturally, favored its own citizens' groups.

The Department of Labor had two similar programs in manpower training and concentrated employment for poverty areas which it did not wish to integrate with the model neighborhoods and the mayors.

Model Cities participants continued to have to follow all statutory and administrative rules for the various categorical programs. They received no priorities in treatment or funding.

It was hoped that the Model Cities supplemental grants from HUD would attract other major categorical grants to the neighborhoods. The actual annual earmark of "new money" for all Model Cities was roughly equivalent to the Model Cities supplemental grant for two or three medium-sized cities.* When this did not happen, the cities used supplemental funds for activities that could have been funded under the grants.

A further impediment to coordination was a difference of opinion as to who was an expert in a substantive area. Some functional specialists on the Model Cities staff felt that they knew better what should be done than the office whose expertise covered the area. Rivalries developed between agencies which inhibited coordination.

Haar's comprehensive analysis concluded that coordination was seen by the federal bureaucrats as a way to get control over others' resources:

"Like many supposedly all-technical scientific terms, 'coordination' is not wholly neutral. In part it is -- denoting the elimination of administrative incoherence and of inconsistent and overlapping structures. But it can also have a connotation of empire-building. On occasion departments expressed resentment over HUD having final approval authority of Model Cities plans because HUD, in their opinion, was attempting to control all programs operating in the neighborhoods. From

* Guidelines and Goals in the Model Cities Program, Lawrence Brown and Bernard Frieden, The Brookings Institution, Washington, D.C., 1978.

HUD's viewpoint, too, the program opened new horizons of a broader constituency for the entire department and greater influence for its secretary: by coordinating and convening, it could achieve recognition as the department for cities. While to HUD coordination meant the use of other agencies' funds by having them assign top priorities to the model neighborhoods, thereby giving HUD control over those programs for its own objectives, other departments, when not defensive of their own territorial imperative, viewed coordination as a way of using Model Cities funds as a source of extra cash to beef up, in turn, their own programs. In a large number of cities, the City Demonstration Agencies requested HUD to assume costs in programs cut down by other departments. For example, while the Department of Labor was phasing down the Concentrated Employment for Poverty Neighborhoods program, it developed a political momentum of its own, with the result that many applications contained requests that the programs be kept going with supplemental funds. HUD was, in effect, writing out a check to the other departments, whether it liked it or not.**

5. Accomplishments

Although Model Cities did not live up to its expectations, it did have noteworthy successes, especially in comparison to previous federal programs.**

(a) Model Cities agency and other government jobs were opened to the poor due to their required participation. Nationwide, 74 percent of Model Cities employees were model neighborhood residents.***

(b) Low income and minority communities increased their political strength as new groups organized and already organized groups became stronger. An outstanding example is Reading, Pennsylvania, where both citizens' groups and city officials have formal veto power over each other. By becoming involved, more residents were encouraged to run for public office. Communities applied pressure to decrease disparities in money spent in various urban neighborhoods -- especially in cases where needier areas had been short-changed.

* Harr, p. 169.

** Community Development and the Model Cities Legacy, Bernard Frieden and Marshall Kaplan, Joint Center for Urban Studies, M.I.T.-Harvard, Cambridge, Mass., 1976.

*** Model Cities: The Lessons Learned, National League of Cities, Washington, D.C., 1972.

An evaluation of Model Cities* concludes that it was a success in some respects but not in others. The participation of minorities and the poor in government increased, funds were channelled to poor neighborhoods and cities were given more of an opportunity to exercise creativity in program design than in categorical programs. The actual services offered, however, were not very valuable.

The case studies at the end of this section illustrate two programs that were effective at the local level. A systematic analysis of all local programs has never been undertaken.

6. Replication

The lessons learned from the Model Cities program indicate that several basic changes in the system of government would be necessary in order to avoid repetition of the problems encountered. The concentration of power necessary for successful implementation simply did not exist. This is evident from the legislation as well as from the implementation attempts. Coordination with agencies other than HUD was needed in the form of flexible program guidelines, earmarked funds and technical assistance. This type of support was not forthcoming in spite of intervention by the Johnson and Nixon White House. The White House, due to statutory constraints and overwhelming departmental resistance, was not able to provide enough sustained support to cut through bureaucratic red tape, rivalry and statutory and administrative criteria.

At the local level, the mayors were committed to the program, but many city agencies were not. While HUD at the national level failed to bring in sufficient resources from other agencies, in the cities the mayors failed to coordinate agencies funded by other federal departments.

7. Examples of Model Cities Projects

(a) Educational Services Center (Turtle Creek Valley, Pennsylvania). The Educational Services Center (ESC), the administrative arm of the Turtle Creek Valley Consortium School District Superintendents, Inc., has established a comprehensive learning program. Funds from federal, state and local sources are funnelled through the Center to provide

* Marshall and Kaplan, *ibid.*

educational and family services to meet the unique needs of each of the five school districts in the model neighborhood. It includes 11 pre-school centers serving approximately 600 children. In addition, in cooperation with local universities, the ESC staff is establishing five development schools in the valley. These schools use innovative teaching methods which are designed to complement the pre-school program and can be disseminated to other elementary schools in the system.

Recognizing that education must be a cooperative endeavor between the schools, the family and the community, ESC has designed and implemented a project funded by the Pennsylvania Department of Public Welfare to provide family services to complement the pre-school program. Ideas for services are given by the community and cover a wide spectrum of activities, including recreation, adult education, leisure time activities, career counselling and drug abuse education and referral. Local schools are used for recreation.

The local cable television station is used to inform parents concerning the pre-school program so that they can reinforce their child's learning experience at home.

There is a tuition reimbursement program for model neighborhood residents and employees wishing to pursue higher education to increase their job advancement possibilities.

(Source: Lessons Learned from Model Cities, National League of Cities, 1972.)

(b) The Pikesville "Cut-Through" Project (Pikesville, Kentucky). Pikesville became eligible to receive Model Cities funds in 1968 to attack its problems of cultural confinement, isolation, lack of social opportunities and lack of education and employment opportunities. The city is a service center for a population of approximately 200,000 with the potential to become a regional center serving a larger part of southeastern Kentucky.

One of the major barriers to development is a shortage of developable land. Most is used for residential and commercial projects. The "cut-through" would rechannel the river and relocate a highway and the C&O Railroad. This would open up several hundred acres of land for industrial, commercial, residential and civic development. Land and services could put Pikesville in a take-off position for intensive development.

The Pikesville Model Cities Agency served as the catalyst in launching the project. It provided \$395,000 annually in local matching funds to attract additional money from the Kentucky Highway Department, HUD Renewal Assistance Grant Funds, the Appalachian Regional Commission, the Corps of Engineers and a special federal appropriation for the project. Failure of any one of the agencies to cooperate would have hurt the success of the project, but, under the leadership of a strong mayor, all cooperated.

(Source: Lessons Learned from Model Cities, National League of Cities, 1972.)

B. COMMUNITY DEVELOPMENT BLOCK GRANTS

1. Purpose of the Program

A block grant is a grant in a broad functional area distributed by HUD under an allocation system and with a minimum of federal restrictions. Funds are provided to cities, counties, towns and states to develop viable urban communities by providing decent housing, a suitable living environment and expanded economic opportunities, principally for persons with low and moderate incomes. Eligible activities include acquisition and disposition of land; construction of public works and facilities such as water and sewer facilities, neighborhood facilities, senior citizens' centers, centers for the handicapped, pedestrian malls and certain public services; and rehabilitation of housing and economic development activities. Communities may carry out activities directly or contract with non-profit organizations or local development corporations. Social services programs must be directly related to physical improvements.

Block grants finance activities previously funded under six categorical grant programs and Model Cities. The separate categorical programs were water and sewer grants; neighborhood facilities grants; public facilities loans; rehabilitation loans; and open space, urban beautification and historic preservation grants.

2. Administrative and Financial Aspects

Eighty percent of the funds are earmarked for cities of at least 50,000 population and 20 percent for urban counties with populations of 200,000 or more. The amount each city is entitled to is calculated by a formula that takes into consideration population, poverty, overcrowded housing, age of housing and growth lag. Local governments that have

participated in certain categorical grant programs but do not qualify for an equivalent block grant were funded for three years at the same level as in the past in order to complete projects already under way.

For fiscal years 1978-80, \$10.95 billion was authorized. More than 1,300 communities received entitlement grants in each of the first two years.*

The origins of the Community Development Block Grants (CDBG) program can be traced to Nixon's "New Federalism." While the executive branch stressed flexibility, Congress wrote in objectives, restrictions on the use of funds, established application and planning procedures a review by HUD state and regional bodies. State and regional reviewing bodies can make suggestions and comments on the consistency of the programs with areawide objectives, but they cannot veto an application. Reviews are largely perfunctory.

HUD area offices carry out application reviews, performance monitoring and site visits. Applications are automatically accepted if objections are not raised in 75 days. Out of 61 projects in the first two years of the program, only 16 cases were influenced by HUD as compared to 45 cases where HUD had little or no influence. Influence was the greatest in smaller communities with little or no experience in categorical grants.** Applicants are required to estimate their lower income housing needs and address them in the overall community development plan they submit to receive their grant.

3. User Group Participation

There is less participation of poor people and minorities under the CDBG program than there was under Model Cities. Lack of participation by these groups has resulted in less money reaching the poor. In some cases, funds have been spent on programs that only marginally benefit the poor while they are directed at the community at large. Others do not benefit the poor at all and are backed by elected officials using the excuse that the poor do not vote.

For example, in Gulfport, Mississippi, local officials actively directed community development funds away from

* Programs of U.S. Department of Housing and Urban Development, HUD-214-4-PA2, Washington, D.C., June 1978.

** Community Development and the Model Cities Legacy, Bernard Frieden and Marshall Kaplan, Joint Center for Urban Studies, M.I.T.-Harvard, Cambridge, Mass., 1976.

activities that would help the poor. Residents responded to a city questionnaire by listing their priorities in community development as housing rehabilitation, clearance of dilapidated buildings, storm drainage, streetpaving and lights and new sidewalks. Dissatisfied with these answers, officials sent out new questionnaires. The result of this second survey was that a higher priority was given to building a central fire station. The fire station was built. In response to allegations that Gulfport failed to follow its own citizen survey, a HUD review states "The statute makes it very clear who makes the final decisions after it has followed the citizen participation process."*

4. Difficulties

As mentioned above, loopholes made it possible for cities to avoid targeting money to the poor. Model Cities was HUD's only program designated explicitly for the poor. The principal objective of the CDBG, on the other hand, is the tying together of HUD's urban programs to cut red tape. While in Model Cities funds were channelled to the poor, in the CDBG program they are more likely to go to politically stronger constituents. Between 1968 and 1972, the Model Cities program spent 18 percent of HUD's total community development aid budget in poor neighborhoods. Only 12 percent of this budget goes to such neighborhoods under CDBG programs.

5. Project Accomplishments

The CDBG program is succeeding in simplifying the bureaucratic procedures which cities previously had to go through to get grants. Now, a single application does the work of seven under the previous system.

6. Example of a Community Development Block Grant Program

(a) Community Development Block Grants (Baltimore, Maryland). In the Park Heights neighborhood of Baltimore, the city Department of Housing and Community Development is using block grant money to demonstrate that physical development and community service programs can be coordinated to revitalize a neighborhood. Park Heights is an area containing over 11,000 structures and about 45,000 people. It underwent rapid transition from a middle class white neighborhood to a lower and middle class black neighborhood during the 1960s. By 1973

* Frieden and Kaplan, ibid.

when the CDBG program started, schools were overcrowded because of a great increase in the number of young people. There was little social infrastructure and the housing stock built before World War II was rapidly deteriorating. Crime and drug abuse were increasing.

HUD requires that Community Development Block Grants be used in a "comprehensive" approach to community development in Neighborhood Strategy Areas such as Park Heights. Several programs have resulted, many of which are operated by the Park Heights Community Corporation (PHCC) which represents the entire community. The emphasis has been on sanitation, education and recreation. The PHCC has used CDBG funds to provide sanitation and education to residents, lead cleanups to which the city has assigned special sanitation crews paid for by CDBG funds, paid the city's Bureau of Animal Control to pick up stray dogs and hired its own rat eradication crew. The city Bureau of Recreation was paid to hire youths to keep recreation centers in the community open longer hours. Space in a public library was rented, supplies bought and salaries paid for the director and for the neighborhood highschool students who served as tutors in an after school tutoring program. The school building has been renovated and the salaries and operating costs have been paid at at the Park Heights Street Academy, a non-profit college preparatory school for 120 14 to 21 year-old dropouts.

Park Heights receives about \$2 million annually, of which about half is used to pay the salaries of 34 PHCC staff and the operating costs of the community service programs.

Baltimore receives a total of nearly \$29 million per year in block grants. Funding is awarded on a competitive basis within the city based on HUD guidelines. Over \$6 million supports 17 programs of the Urban Services Agency which is the successor to the Model Cities Agency and the Community Action Agencies. Another \$1 million funds projects in areas that have not been designated neighborhood strategy areas. These programs include:

- Starting a neighborhood credit union.
- Subsidizing operating costs for a neighborhood design center.
- Matching community funds for the purchase and remodeling of vacant buildings.
- Operating a neighborhood tool bank.

- Supporting scholarships to send promising minority students to top business schools on the condition that they return to Baltimore to work in the business community for a set number of years.

CDBGs have been much more effective than traditional urban renewal in improving communities. It is hoped that the projects will continue when block grant money stops.

(Source: "Using Block Grant Money for People," Fred Schultz in Planning, American Planning Association Magazine, September 1979.)

C. SITO (Services Integration Targets of Opportunity) EXPERIENCE WITH SERVICE INTEGRATION

1. Introduction

In the United States the organization of human services is generally vertical between a federal agency, a state bureau administering the federal-state program, local offices of the state agencies and client groups. Attempts to strengthen horizontal linkages have met with varying degrees of success. One such attempt was HEW's support of 45 Services Integration Targets of Opportunity (SITO) projects, most of which involved the establishment of state and local interagency linkages in attempts to solve the problems caused by the numerous categorical integrated programs. Of a total of 45 programs funded, ten were "technical studies" and the remaining 35 were planning and demonstration projects conducted by state or local governments or by private agencies.

Final reports or evaluations were available for 19 of the projects. They were analyzed in respect to five aspects of integration in the Human Services Monograph Series.^{*} A 20th project -- the Comprehensive Services Delivery System (CSDS) in Palm Beach County, Florida -- was also included. Although not funded as a SITO project, it was similar to many SITO projects and received HEW financial support.

The results of the program have been assessed to determine the impact of various types of service linkages on the delivery of services. The types of linkages which were evaluated include fiscal, personnel, co-location, planning and programming,

^{*} Managing the Human Services System, Human Services Monograph Series, No. 4, August 1977.

administrative support, core services and case coordination. Experience was measured in terms of the following goals for improved service delivery:

- Accessibility.
- Availability.
- A holistic approach to clients.
- Responsiveness to clients.
- Impacts on costs and accountability.

As the following sections show, the results of the SITO experience have been varied. The SITO program has shown, however, that it is difficult to build interagency linkages. This process requires political skill and is best approached incrementally. The results also indicate that, while interagency linkages can improve service delivery in some cases, they are unlikely to cut costs.

2. Examples of Programs with Fiscal Linkages

The Jonesboro project found that barriers to joint funding were insurmountable. The original plan was to assess each agency a *prorata* share of the cost of staff and services to carry out a particular activity. However, this was prevented by federal regulations and to some degree by state law. Federal agencies insist that their funds be used only for purposes clearly consistent with their legislation. Thus, specific funds can only be used for specially defined groups of clients and specifically defined services.

The Hartford, Connecticut Community Life Association (CLA) project in the early 1970s had a budget of pooled public and private funds for client services. The CLA requested pool funds on the basis of detailed program plans that outlined the purposes for which the funds would be spent, the type of services that would be purchased and the outcomes that could be expected as a result of the expenditure. Pool funds were used only for purchase of client services and not for staff or administration. With the combination of funds available, the CLA case managers could issue service purchase orders against the pooled funds to obtain most of the services necessary on behalf of a client. As client needs not covered by pooled funds were discovered, additional funds were sought.

When it was determined that a service was faulty and resulted in dissatisfaction, CLA could turn to another type of service or another source of delivery. In the case of the Personal Care Program, a number of agencies were providing similar services, but CLA provided such a large proportion of business that some adjusted their services to be more in line with CLA needs.

The Community Life Association served as an entry point into the social service system for a wide variety of clients. Even if CLA could not respond to a specific need, the problem was documented in the management information system which could be used to generate a community needs assessment. When a service did not exist, it could be developed. If the service could be financed for expansion or development from the CLA resource pool, efforts could start immediately. If the required expansion was beyond the financing capabilities of the pool, CLA would have the documentation with which to seek additional funding.

The accounting procedures for joint funding proved much more complex and expensive than expected. It had to be assured that funds contributed to the pool would not be used for clients or activities that the donor agency could not legally support. For example, the United Way grant could not be spent on welfare clients despite the fact that they were most needy and made up the majority of CLA's case load.

The inability or unwillingness of donor agencies to remove the restrictions on their funds and a state and city fiscal squeeze brought an end to the project in 1975 when it was unable to obtain further funding after HEW funding expired. State funding that could have been used for CLA was instead used for state budgeted expenditures.

3. Examples of Projects with Co-Location and Personnel Linkages

The Comprehensive Services Delivery System in Palm Beach County, Florida, was the only one to report on the cost implications of co-location. They estimated that the project saved the state \$71,602 per year by joint use of conference rooms and other space in the co-located centers. Space utilization in counties where services were co-located was one-half to two-thirds the space per staff member as in counties having separate facilities.

Experience in the effects of co-location on the accessibility of service to clients is often affected by other events. In Hawaii and Seattle, accessibility was increased simply because the new co-located facility was the first facility placed in the target area. In the Florida Comprehensive Service Delivery Program, co-location was combined with the inauguration of a bus route, thereby increasing accessibility. It is not clear whether co-location alone would have increased accessibility. In Bremerton, Washington, in the Washington Integrated Service Delivery Project, co-location involved moving existing offices to a less convenient location.

Evidence of the impact of co-location on interagency relationships is also mixed. In the Utah project, the staffs of different divisions of the state Department of Social Services were co-located and responsible to a single district manager. There was a strong case manager system. This resulted in a greater number of informal case conferences between family service and mental health staff. This decreased the duplication of services between family service and mental health workers.

Several projects reported that co-location raised territorial issues between the agencies. In particular, there was tension between the managers of the co-location centers and the line managers of the co-located agencies.

4. Examples of Projects with Planning and Programming Linkages

Eighteen of the twenty projects studied attempted a planning and programming linkage. A frequent problem was that agencies felt that their "turf" was threatened. Of the five projects which successfully implemented joint planning and programming, participation by agencies was voluntary in four. Questions of "turf" were avoided by limiting interagency discussions to new services. In the case of the Seattle project, a voluntary interagency board worked with participating agencies to modify and improve their programs. In two cases, a single manager had authority to enforce coordination.

In eight other projects, joint planning was ineffective or counter-productive. The Duluth, Minnesota Human Resources Planning Coalition (HRPC) planned to bring agencies together for joint planning and programming but ended up giving technical assistance to individual agencies. The HRPC Board of Directors was weak and the agencies disagreed about the goals and means of coordination. In fact, many agencies saw HRPC as a competitor.

The five projects involving multi-service centers also had negative experiences with efforts to coordinate planning and programming. Conflict over lines of categorical authority made it impossible for agencies to work together. In the Hawaii Waianae-Nankuli Human Services Center project, multi-service centers were designed without considering the relation of the center managers and division managers. The program was not successful because this issue was never resolved.

5. Examples of Projects with Administrative Linkages

None of the projects evaluated used centralized or consolidated grant management. Three used some central support services such as centralized purchasing, auditing and equipment control, but no information on the impact of these is available. Ten projects attempted to develop common records or information systems for multi-agency use. The systems varied in design and met with various degrees of success.

All of these attempted to use a common intake form containing demographic and diagnostic information and usually the goals of providing service to the client. Only two were able to gather enough information to determine whether clients were eligible for particular services.

The Polk County system was designed to link eleven agencies. It would "equip intake workers at participating agencies to assess client problems, identify required services, consult a community resource inventory to locate the services needed, gather information concerning eligibility, make appointments for services at other agencies and track the clients' progress through the service delivery system." It was underutilized. The evaluation report lists factors that would be necessary for the success of a similar project but were lacking in this case:

"a high degree of interdependence between participating organizations, facilitative relationships (mutually supportive goals), a high volume of inter-organizational exchanges, standardization of these exchanges, and strong administrative and policy-level support for the linkage."

6. Examples of Projects with Core Service Linkages

Core service linkages include outreach, diagnosis, referral and follow-up. Most agencies provide information about services available from other agencies, refer clients to these agencies and may provide some follow-up services. In addition to coordination by case managers and case teams, nine projects attempted to institute some core services on a multi-agency basis.

In Chattanooga and Louisville, the core services of outreach, intake, referral and follow-up were provided by agencies participating in a multi-agency information system.

CSDS-Florida and East Cleveland operated bus systems for clients of several agencies. The Anacostia, Nyssa and Seattle projects operated outreach units which attempted to service potential and current clients of many agencies. The Glasgow project employed a large staff of paraprofessionals who provided outreach, transportation and other services to clients of many agencies. These services were usually provided in addition to the services already offered by agencies rather than by displacing them. There is little evidence of agencies voluntarily cutting back on their core service activities because a SITO project had begun to provide them.

Client education rather than agency coordination has been the best way of improving accessibility to services. In the Chattanooga Neighborhood Service Center project, suggestions of the delegation of supportive services met with disinterest. The focus was then shifted from the agency level to the client. Door-to-door surveys were made to inform residents of services offered through the Neighborhood Service Centers. In a short period, the number of clients increased by 414 percent.

7. Examples of Programs with Case Coordination Linkages

Twelve of the twenty projects discussed attempted some form of case coordination. The varieties were the case team model, a case manager or case coordinator model and some form of regular interagency case conferencing. Case conferencing was found to be relatively ineffective. However, case team and manager linkages increased accessibility,

comprehensiveness and the volume of services provided. The impact of case teams or case managers is greater when they have some control or influence over other agencies, such as the power to purchase services.

8. Example of a SITO Project
Brockton Area Human Resource Group, Inc.

(a) Background: The Brockton Area Human Resources (multi-service) Center was formed in 1967 as the result of decisions by the Public Welfare, Mental Health, Rehabilitation and Public Health departments to form an integrated multi-service delivery system for the residents of Brockton, Massachusetts. The initial plan involved agreements between agencies to operate a coordinated system of services through the Brockton Multi-Service Center which was to be administered by the Department of Mental Health.

The focus of the project shifted from services integration at the agency level to a system which was client oriented. This development coincided with the availability of funds to establish service integration projects and the general acceptance among human service professionals that social service systems had been too strongly committed to agency priorities at the expense of client needs. Client dominance in determining service priorities was a more appropriate means of organizing social service systems. Thus in 1972, the Brockton project became a Services Integration Targets of Opportunity (SITO) project under grant assistance made available by HEW.

The Brockton SITO project represents a model of citizen control which places citizens in direct governance roles, relies heavily on citizen indications of service requirements and citizen assessment of the adequacy of services. The project's board is comprised of two state legislators, government representatives from ten communities which comprise the Greater Brockton area and at-large representatives of target groups, including various special interest groups.

(b) Administration. The responsibilities of the governing body and advisory group are to seek and secure funding, document performance, approve budgets, determine audit and evaluation procedures, contract with the system manager and conduct community audits.

The delivery system is administered by a single manager who is accountable to the governing board. The project had the same project manager for the first four years of its operation. The manager is assisted in carrying out his work

by client monitors who are the principal linkage between the system and clients. Monitors help citizens to assess their service needs and act as advocates of needed citizen services. Monitors do a fairly complete inventory of citizen needs through a Problem Oriented Record System (PORS) which records data on a range of problems, including physical and mental health, employment, family planning and legal difficulties. By feeding this data into a central information system, gaps in services required for individual clients can be identified. By aggregating data from individual client profiles, the system manager and the governing body can determine what service needs are most frequently demanded and gauge whether the provision of services is adequate to meet demand.

(c) Funding. The user participation system is intended to keep services as responsive to citizen needs as resources and technology permit. Integration is achieved not through coordinating agency efforts but rather through examining all client needs and negotiating for the various agency services that might be required. If a needed service is not available, the system can contract it. For example, an emergency housing service for welfare recipients was created through a contractual arrangement among the Brockton Multi-Service Center, the project's major administrative unit, the Brockton Welfare Department and a local hotel which made housing available. Some projects are undertaken directly by the Service Center (such as a 24-hour emergency medical hotline service for citizens who may not be able to afford or have access to primary medical care). In other instances, the system acts as the citizen's broker in arranging for the service which is needed. This function is facilitated by maintaining an exhaustive inventory of community resources which are, where possible, meshed with client needs. The system does not presume to integrate service providers but rather to put the service provider and the client into direct contact. Faulty performance by the provider would surface through the audit function which the system administers.

Some interagency collaboration has been achieved as evidenced by a legal referral program which has some funding from the Department of Mental Health with the Brockton Area Multi-Service Center providing space and services provided by volunteer staff of the Brockton District Bar Association.

The project is supported by funds from the Social Rehabilitation Service which finances the developmental and administrative activities of the project. Local governments, the Department of Mental Health (the major

contributor) and local private agencies are the funding base for the operational or service aspects of the project.

(d) Project accomplishments. Although still in the developmental stage, the project has given evidence of some achievement. The unique element of the project -- a system which integrates services through a client audit, monitoring and service referral rather than through agency coordination -- seems to avoid administrative difficulties encountered when agency jurisdictions and priorities must be reoriented in a more consolidated approach. More importantly, the system has the advantage of keeping client needs pre-eminent in determining how services are oriented. It gives the client the option of using service inputs at a time and in combinations which are deemed most appropriate to his needs. The system also has the flexibility to shift service priorities if client needs dictate that shifts are necessary. The system has the leverage through service provider agreements to influence the kind of service which providers offer to clients. Monitoring and evaluation are conducted independently of the agency providing the service; therefore, self-serving evaluations are less likely to be a problem.

(e) Project problems. A major premise of the project is that client monitors can guide and direct clients to appropriate services and that these services will be available. Project staff members cite the lack of a sufficient number of monitors with sufficient diagnostic skills to handle the range of client needs which arise. Because the service system is staffed largely by persons from the mental health profession, their orientation needs to be broadened to understand other client needs which might occur. As commented by a member of the project staff, "The need to educate monitors and service providers . . . getting across the importance to account for the people" is a task yet to be fully accomplished by the project.

Because the project depends heavily on agencies outside its jurisdiction for client services, it cannot easily assure that appropriate agency responses will be forthcoming. Jurisdictional boundaries may impede the ability of an agency to reorient its service as required. The project does not have full financial control of the local service delivery system and lacks authority for services outside the mental health area. The leverage of the system rests with its ability to negotiate with service providers for the kind of service needed. Nevertheless, the Brockton Area Human Resources Project is a flexible

service system which integrates services according to client needs and avoids some of the more intractable problems of coordination which more unified systems often encounter.

D. TITLE XX OF THE SOCIAL SECURITY ACT (HEW)

1. Purpose of the Program

Title XX of the Social Security Act, enacted in 1975, represents an attempt to coordinate social services funded by the federal government, particularly HEW services, with each other and with state social services programs. It is, therefore, directly relevant to IIPUP. Increased coordination was considered necessary to confront the range of problems faced by multi-generation family units. The program has attempted to accomplish this by combining previously separate federal grants to states under a single funding source.

There are five goals of Title XX:

- Encouragement of economic self support.
- Personal self support for the handicapped.
- Protection of children and adults from abuse and neglect and maintenance of the family unit during periods of crisis.
- Deinstitutionalization by providing services to the family and community.
- Appropriate institutionalization where necessary.

2. Administrative and Financial Aspects

The mix of programs and methods of coordination to be used is the decision of the states. There are, however, five regulations which must be adhered to:

- A Comprehensive Annual Service Program (CASP) must be designed with participation open to all groups and individuals.
- The plan for participation must be submitted for federal approval.
- At least one service must be directed towards each of the five goals listed above.

- At least three services must serve Supplemental Security Income Maintenance recipients (the aged, blind or disabled).
- There is a fiscal penalty if states do not offer family planning services at least to AFDC recipients.

Title XX does not actually require direct program coordination. Rather, it requires that states receiving Title XX funds submit CASP plans describing how the planning and provision of services will be coordinated with Aid to Families with Dependent Children (AFDC), Child Welfare Services, the Social Security Insurance and Medicaid programs and state financed human services programs, such as programs for senior citizens, children, the developmentally disabled, alcohol and drug abusers and programs in corrections, public education, vocational rehabilitation, mental health, housing, medical and public health, employment and manpower.

There is a limited annual authorization of \$2.5 billion for Title XX. In addition, Congress has made \$200 million available specifically for daycare services and to hire AFDC recipients for jobs in daycare. The training authorizations are not included under the ceiling. In the past, this amount was unlimited, but in 1980 a ceiling of \$75 million was imposed.

Services can be provided directly by the state or purchased from private agencies. The federal government provides 75 percent for Title XX, 90 percent for family planning and 100 percent for daycare, with the remainder payable by the states.

States have used several types of coordinating mechanisms including advisory committees, task forces, public hearings, advertisements, workshops and training sessions, formal agreements and joint funding. The Urban Institute has conducted a survey of coordination mechanisms in use and their effectiveness.* All states have set up some type of advisory committee or task force. These were considered the most effective methods of coordination and were particularly effective when professionally staffed with clearly defined authority and responsibilities.

Public hearings or meetings are the second most frequently used coordinating technique. However, attendance at the

* "The Effects of Title XX on the Coordination of Social Services," Bill Benton et al., The Urban Institute, Washington, D.C., November 1977.

meetings generally dropped after the first year unless there were specific items of importance and interest to discuss.

Display advertisements are the only form of coordination specifically mandated by Title XX. It is felt to be the least valuable and there is no evidence that it has increased the number of people aware of Title XX services.

Workshops and training sessions provide an atmosphere conducive to the discussion of substantive issues not found in public hearings. Training is of limited use, however, because Title XX training funds cannot be used to train administrators of provider agencies under contract to the state or local agencies, even though purchased services represent about half of all Title XX expenditures.

Formal agreements on service coordination tended to be general and there was little implementation. The signing of agreements was sometimes considered the end rather than the beginning of the coordination effort.

Joint funding is successfully being used in many areas. For example, Title VII of the Older Americans Act is used to fund the noon nutritional component of Title XX-funded senior citizens centers; school lunch program funds are often used in Title XX daycare centers. CETA staff are used as personnel in some human services agencies.

Other coordination methods tried and found fairly useful include the sharing of staff between agencies, the formal exchange of written comments between agencies on their respective plans and open meetings of Title XX administrative staff.

3. Difficulties

(a) During the first two years beginning in 1975, Title XX was not well integrated with existing means of coordination. With the exception of North Carolina and New York, the Title XX advisory committees functioned separately and apart from pre-existing boards whose purpose was the formulation of social policy. This implies that policy or budgeting decisions were not determined in conjunction with CASP.

(b) There are few incentives to coordinate, and there are no penalties for failing to coordinate beyond the minimum required advertising and production of a CASP plan. When CASP plans include services not funded by Title XX, the other services have to comply with the contracting, reporting and eligibility requirements of Title XX. Even if other HEW-funded programs are included in the CASP plan, they must still

be published as separate plans. An HEW study observed that HEW itself "requires every state receiving funds under its 46 formula grant programs to submit or annually update 24 separate state plans."*

(c) Title XX did not provide any new funds. Programs funded under different legislation were merely transferred to Title XX. Additional funds would provide more incentive for coordination. "This type of coordination among social services can only be achieved by expanding the resources each service needs in order to collaborate with other services. When scarcity prevails, coordination fails."**

(d) State governments do not perceive Title XX as anything more than a source of funds. There is no focal point for comprehensive, coordinated social services at the federal level. Social services at HEW have been consolidated into an Office of Human Development Services (OHDS). OHDS is supposed to be concerned with cross cutting categorical programs. However, it categorizes Title XX as "miscellaneous," that is, serving none of the categorical groups such as the aged, disabled or children, into which it divides its programs.

(e) Even when coordinated planning takes place, it is difficult to change existing programs. They have been built up over time in response to perceived needs and have loyal staff and client groups. Also, there has been limited staff planning capacity and difficulty in restructuring. An evaluation of Title XX concludes that "Expectations for improvements in the planning process were most likely based upon unrealistic assumptions about the flexibility in shifting programs and presumptions that changes to the planning process would make a difference in service delivery."***

4. Training

Social services staff training is administered on the state level. It can be long or short term and either academic or in-service. The staffs of state social service agencies or other agencies directly involved in services delivery are eligible.

* "Ties That Bind. . ." U.S. Department of Health, Education and Welfare, Seattle, Wash., Region X, July 4, 1976, p. 16.

** "Service Delivery Problems and Block Grants," Martin Rein, Bryn Mawr, Pa., Bryn Mawr College, undated memo.

*** Sharing, Project Share, Vol. 3, No. 2, Spring 1979.

There are five training mechanisms. In-service training is considered the most useful.*

- In-service training by trainers who are part of agency staff.
- In-service training by outside experts.
- Educational leave for staff.
- Training for people who have a commitment to work for the agency in the future.
- Grants to undergraduate, graduate and secondary schools to develop curricula in classroom instruction or field work in any discipline related to Title XX. Two or more Title XX workers must be in each class.

5. Project Accomplishments

The Urban Institute's research indicates that coordination has increased during Title XX.** It assessed the extent of coordination among organizations or groups on a scale of 1 to 3 as follows:

- 1 -- Minimal effort in coordination
- 2 -- Active solicitation of input only
- 3 -- Fully coordinated planning

Groups assessed include state social services offices such as Aging, Mental Health, Vocational Rehabilitation and CETA, client groups and staffs.

The pre-Title XX average assessment was 1.7. It increased to 2.2 during the first year, decreased slightly to 2.0 during the second year and was expected to increase to 2.4 during the third year.

* Research on the state of the art of Title XX training, including case studies and policy recommendations, is now being carried out by the Social Welfare Research Institute for the Public Services Department of HEW.

** The Urban Institute, ibid.

ANNEX II

CASE STUDIES FROM INTERNATIONAL EXPERIENCE

International experience to date with projects resembling IIPUP is quite limited. The major international lending agencies traditionally have focused their efforts on the improvement of existing settlements and the development of new low income neighborhoods. Only recently have components been introduced in many projects to improve social and economic conditions and to involve poor communities more effectively in their own development.

The Ahmedabad Urban Development Project in India was an early attempt to improve social as well as physical conditions and to involve the poor in the development process. The integration of a number of services was achieved under the leadership of a private voluntary group and with the collaboration of a number of local and international agencies. Although the project did have a significant impact, it involved a high level of subsidy and would be difficult to replicate on a large scale.

The Zambia sites and services and squatter upgrading project managed to integrate the physical improvements and social services provided by a number of international agencies. However, the project demonstrated the difficulties that can occur when the agencies supporting the different components of an integrated project themselves have distinct objectives.

The Indonesian Kampung Improvement Program has had a wide impact on the urban poor in Indonesia, particularly in Jakarta. Its success is due not only to the minimal nature of the physical improvements it has attempted. The number of social components has also been limited, and the program has been expanded slowly from a small beginning.

The details of two additional integrated projects planned for Kenya and Honduras are also presented. The Kenya project shows an interesting example of coordination between national and local authorities to deliver a variety of service components in an urban development project. Local committees with primary responsibility for project planning and implementation have representation from national as well as local agencies. This system has been developed based on previous successful interagency collaboration in similar projects. The project planned for Honduras recognizes the probable institutional resistance to services integration and the problems of initiating a large number of project components too quickly. It recommends a staged development of project components and of institutional structures.

A. AN INTEGRATED URBAN DEVELOPMENT PROJECT FOR
THE URBAN POOR IN AHMEDABAD

The city of Ahmedabad in Gujurat State of India is typical of many metropolitan areas in developing nations. It has a high annual population growth rate (4 percent) and a lack of adequate housing to accommodate the burgeoning number of urban poor who need shelter. A Government of India housing survey in 1973 indicated that nearly 85 percent of Ahmedabad's housing shortage was being experienced by families with monthly incomes below Rs. 250 (\$30) per month. Some 65,300 families who needed shelter were in the income category of Rs. 100 (\$12.50) per month. About 81,000 families were residing in 700 slums or makeshift settlements throughout the city.

The desperate state of Ahmedabad's urban dwellers was matched by a modest response by the Ahmedabad Municipal Corporation, the agency initially responsible for providing shelter to slum dwellers. The Corporation provided about 36,000 housing units under a slum clearance program from 1956 to 1973. The need was in excess of 2.5 times what was provided by the Corporation.

The type of housing provided was not considered satisfactory in responding to the housing shortage of Ahmedabad's urban poor. The dwellings were multi-storey dwellings, too expensive for the poor who could barely afford to pay Rs. 15 (\$2) per month for rent and too different from traditional dwellings to allow for a lifestyle to which the urban poor were accustomed.

Environmental upgrading and sites and services projects were undertaken as alternatives to dealing with urban housing. Both measures were inadequate since most squatter housing was on private land and any upgrading involved legal issues which were difficult to resolve. Also, a lack of political commitment, particularly to sites and services projects, was a deterrent to any real progress in the housing sector.

1. A New Approach: Integrated Urban Development

A serious flood in the summer of 1973 precipitated a change in the city's approach to handling the housing problems of the urban poor. A private voluntary group, the Ahmedabad Study Action Group, offered an alternative to the usual flood relief programs by proposing a relocation program which would involve the victims in the planning and execution of

new communities. Affordable housing would be one component of the project. The group believed that the problems of previous programs were caused by a failure to involve the slum dwellers with projects. It felt that such projects should not be limited to housing alone; social and economic problems needed to be addressed if genuine improvement in the plight of slum dwellers was to occur. As the former director of the program expressed the group's objectives:

"(a) comprehensive approach incorporating social, economic, educational and motivational inputs, along with housing, would lead to the emergence of an alternative value system and bring about attitudinal and behavioral changes."

2. Administrative and Financial Aspects

Four separate agencies were involved in the project. The Municipal Corporation, which endorsed the more comprehensive developmental approach recommended by the ASAG, set aside a 43-acre site for a new community and provided a subsidy of Rs. 700 per family to assist them in resettlement. OXFAM, a private British voluntary agency, provided Rs. 400 per family to support a social action component of the project. The Corporation provided infrastructure services, even though the project site was outside its jurisdiction. Low interest, easy repayment loans for new housing were provided through the Housing and Urban Development Corporation. ASAG was the key coordinating and administering agency for the project. Administratively, the project was unique because a semi-autonomous organization was created to implement the project. State and municipal authorities had the major responsibility for securing resources and guiding the project through procedural and technical difficulties, but the major planning and implementation responsibility was assigned to the ASAG. OXFAM was instrumental in strengthening the project as a multi-disciplinary development effort. OXFAM was a training and technical assistance resource to the project. ASAG had previously been involved in low cost housing schemes in 20 rural communities; and, although the circumstances of the Ahmedabad project were different, ASAG had credentials in the housing/community development field.

After considering various alternatives, the prospective residents of the new community opted for a collective housing solution which would supplement the various individual subsidies. Their objective was to add to the subsidies provided in order to build permanent shelters -- an alternative that was possible only if costs could be held down through a collective borrowing scheme. HUDCO provided loans at 6.5 percent to be repaid in monthly installments over a 20-year

period. Occupants would pay Rs. 20 per month for 20 years for housing which would cost about Rs. 2,900 to construct. Part of the monthly payment would be used to defray the cost of municipal services.

3. User Participation

An important ingredient in the project was full participation of the residents since the ASAG organizers assumed that slum conditions could not be eradicated until slum dwellers developed new attitudes toward their environment. The population ratio of the project areas was 56 percent Hindu and 44 percent Muslim. Residents also opted for a housing design which conformed to their traditional preference for high physical and social interaction with fellow residents. The physical arrangement of the community required positive and cooperative attitudes among residents. Individual choice of the location of houses was worked out in consultation with residents through a rather elaborate exercise.

To respond to the community building objective, a social action component was provided. The social action component was concerned with facilitating the process of resettlement and building local capabilities to increase earning potential, to take fuller advantage of social welfare, education and health services. This component was carried out through trained community workers whose preparation was largely the responsibility of OXFAM.

4. Related Project Activities

Income generating activities were focused on about 300 families with incomes below Rs. 250 (\$30) per month. The purpose of this strategy was to provide a sufficient income level for the poorest persons to be able to buy and maintain property. Small scale entrepreneurship was made possible through a credit referral service and the inauguration of cottage industries. A primary education project was launched which emphasized the experimental, creative aspects of learning -- an objective supportive of the larger goal of building a more self-confident and enterprising community in the target area. Paramedics were used to provide low cost health care and preventive services as well as health education for the community. A daycare center for working parents was also included in the community services component.

5. Accomplishments and Difficulties

The fact that the project was comprehensive in its response to the needs of poor urban dwellers invited problems from the outset; yet the project organizers accepted the challenge as preferable to schemes which were concerned exclusively with housing. The social action component was not viewed as a project add-on but rather as an indispensable project component which had to be provided if the objective of removing slum dwellers from a permanent dependent situation was to be achieved.

Difficulties appear to stem from dissatisfaction with the quality of housing provided. Even though the housing is permanent, it is very basic and far from the *pukka* housing that many of the former slum dwellers had hoped for. This, however, might be viewed positively as a manifestation of the rising expectations of a group which previously had only survival as a goal. Relations among the municipality, the ASAG and the community are less harmonious than at the outset of the project, which results (according to the former project director) from the failure of the municipality to provide necessary social and physical infrastructure as promised. Also, allegations of financial mismanagement which are being investigated further strained relations between the residents and the municipality.

There have been accomplishments: in 26 months, 2,250 units were provided -- a faster rate of providing housing than under previous schemes; construction costs have been maintained at Rs. 11.25 per square foot; in community development, evidence is emerging that citizens are more assertive in demanding their share of municipal services; citizens have filed a civil suit against the municipal government for failure to provide services as promised at the time of resettlement. While such developments indicate tension within the project, they also reflect a growing consciousness about improvements to achieve social and economic advancement among the urban poor.

The Ahmedabad Integrated Urban Development Project was undertaken as a prototype which might become standardized in dealing with the housing and related problems of the urban poor. However, widespread adoption of this type of project is unlikely. The project was subsidized to the extent of 65 percent -- a high rate of subsidy when compared to the rapid build-up of population, both from migration and natural increase in major metropolitan areas. This makes it difficult to cope through projects which are more long range and comprehensive in their approach. However, if the assumptions behind the development of the IUDP project are accepted -- that "the

problem of slums remain essentially attitudinal, political, behavioral, economic and social in nature" -- then the IUDP strategy after a longer period of implementation might become adapted to other comparable situations.

B. THE PROPOSED HONDURAS IIPUP PROGRAM

1. Background

In Tegucigalpa and San Pedro Sula, approximately 310,000 people have incomes below the median level and live in settlements that lack potable water, sanitary waste disposal, drainage and other basic urban services. The 6 percent annual growth rate of the marginal population indicates the two major cities will have 390,000 marginal residents by 1983. The percentage of the urban population that can be classified as marginal is even greater in the secondary cities, and the shortage of services is even more severe.

There have been very few efforts of integrated development to address these problems. In response, the AID Office of Housing and the AID mission to Honduras have developed, with the Government of Honduras, a pilot project. It will reduce the negative effects produced by the lack of coordination of technical and financial resources in the provision of social and housing services for the urban poor. The major physical upgrading part of the program is environmental sanitation.

Both Tegucigalpa and San Pedro Sula have municipal departments of social work which work with representatives of the community organizations such as *patronatos* to coordinate their efforts with those of the municipality for *barrio* development. Through this process, schools have been constructed and settlements upgraded. Thus, both cities have experience in community development work, enjoy the confidence of the communities and have obtained financial backing from the Autonomous Municipal Development Bank (BANMA) and the Interamerican Development Bank.

2. Organizational Arrangements

Given that experience with integrated programs of the IIPUP type is very limited, the program would be initiated through pilot projects undertaken by Tegucigalpa and San Pedro Sula -- the two municipalities which are relatively strong administratively. In Tegucigalpa, in particular, there is a strong interest in IIPUP. The substantial improvements in local administration which have been achieved in the last several years indicate that there is a very real concern with the continued improvement of local government. If the pilot projects are successful, the lessons learned from them can

provide a basis for determining the exact configuration for the organizational arrangements for the program at the national level.

At the national level, the Institute of Community Development (INDECO) within the Ministry of Government and Justice is legally the most appropriate institution to develop and implement an IIPUP program. The law creating INDECO was enacted in 1966 to facilitate the establishment and regulation of community development and the implementation of integrated development projects coordinated at the local level through the joint efforts of the government and individual communities.

If INDECO eventually becomes involved as a national level program coordinator, a small, high level inter-ministerial Executive Council has been suggested within INDECO to represent the principal sectors that will be involved in the provision of services. It should be made up of the Ministers of Health, Transportation and Public Works and Interior and the National Social Welfare Committee. A small Executive Management Unit within INDECO would be responsible for inter-ministerial coordination, but the institutions in each sector would be responsible for the provision of services in that sector. The Executive Management Unit should have the power to make agreements and contracts with autonomous institutions, public interest associations and private entities in order to realize the basic goals of IIPUP.

One of INDECO's major coordinating instruments would be its control of the proposed IIPUP Development Fund which would initially be complemented by a \$350,000 grant from AID.

The Executive Management Unit of INDECO would be directed by an executive secretary chosen by the Executive Council. The other members of the unit would be chosen by the participating ministries, seconded to INDECO and devote full time to it. This would assure direct commitments by the ministries to the IIPUP concept. Private non-profit organizations (of which there are several working with the urban poor) would be informed of IIPUP activities and invited to participate. They may find this attractive since they can increase the impact of their programs by combining resources.

A contingency plan exists in case administrative problems cannot be resolved. If the project does not function smoothly under INDECO, it can be taken over by another agency such as the National Social Welfare Committee.

Community participation in the IIPUP program will be through the mobilization of community groups such as *patronatos*

and other community organizations. A community board representing the various interest groups will be formed to represent the *barrío* before local authorities. Where they do not exist, Community Development Departments will be formed to assist the communities in dealing with local and national institutions.

Paraprofessional staff will be trained in leadership for community development, environmental health and preventive medicine and will work in the communities where they live. Training at the municipal level will increase the capacity of the municipalities in planning and in augmenting municipal revenues. National level activities will include policy level training in service integration, technical training in the sectors covered by the project and training of service delivery personnel.

3. Other Project Components

Attention will be given to the following types of laws and regulations which affect the urban poor:

- Regulations pertaining to the transfer of property rights and the registration of rights in real property.
- Laws governing the rights of tenants and environmental sanitation in rental space.
- Laws governing the creation and operation of co-operatives and other forms of community organization.

A further component of the project will be the development of new techniques and capacities for *valorización* or betterment taxes and the study and updating of the regulations for land use and development.

4. Financing

The sources of IIPUP financing will be different at the three levels -- national, municipal and community. International assistance will be complementary to internal financing and assist in the initial organization of the program through loans and grants for technical assistance and specific projects. At the national level, the principal sources of funding to be developed include the central government, the ministries, autonomous institutions and private non-profit organizations. At the municipal level, effective sources of funding will depend

upon the upgrading and improvement of the local governments' cadastral systems, the sale of municipal bonds, the National Autonomous Municipal Bank, the creation of new taxes, more effective systems of tax collection and *valorizacion* or betterment tax systems. Community involvement and contributions will complement public funds. Community input will include contributions from community groups and organizations, unskilled and semi-skilled labor and locally available materials.

C. ZAMBIA SITES AND SERVICES/SQUATTER UPGRADING SCHEME

1. Purpose of the Project

The aim of the Lusaka project has been to provide improved social and physical infrastructure to 29,000 families in Lusaka through 4,000 serviced plots and the upgrading of 25,000 existing units. There are four upgrading sites and six areas of serviced plots. The project was to have been completed between 1974 and 1979, but construction has been slightly delayed by factors external to the project. It is about 90 percent complete.

While the World Bank is the major lender, the American Friends Service Committee (AFSC) and UNICEF are also involved. A smaller American Friends Service Committee community development project in the city of Kafue, 26 miles from Lusaka, involving 228 families had been important in securing government acceptance of the upgrading concept and the participation of the AFSC in the World Bank funded project. After successfully completing the Kafue project, AFSC and UNICEF had planned to carry out a somewhat larger pilot demonstration squatter upgrading project in Lusaka using government funds. The emphasis was to have been on social development rather than on physical works with programs in maternal and child health, pre-school care and vocational training. This was never carried out because both organizations were asked at that time to participate in the larger World Bank project.

2. Administrative and Financial Aspects

The Lusaka City Council is the executing agency. A special Housing Project Unit divided into engineering, social services and finance and procurement divisions was established. It reports to the Council's Finance and General Purposes Committee which is made up of the chairmen and vice-chairmen of the other committees. Actual project work is done by field teams in which all divisions of the project unit are represented.

The main forum for coordination between physical, social and financial components at the project level is the weekly meetings attended by the field team leaders, their deputies, the heads of project unit divisions and the communications officer.

Coordination among the organizations funding various aspects of this program is achieved by involving each organization in providing the technical or financial assistance in its area of expertise. While the World Bank's major concern has been physical upgrading, both UNICEF and AFSC have focused on social development. The delivery of social services was not technically part of the project as agreed between the government and the World Bank, although a community dynamics component was included as an appendix to the government request for a loan. UNICEF has a separate agreement with the government to "promote the participation of social and family welfare services in the project" and particularly the participation of youth and mothers. UNICEF has been the major contributor to the Project Support Communications Unit which plays an important role in establishing links with the community. It also assisted in the establishment of a community development group in the Housing Project Unit of the City Council. Fifty assistant community development officers were trained by UNICEF and AFSC jointly.

AFSC is taking advantage of its grassroots level experience in Zambia to work closely with the communities in community development and organization for self-help.

A fourth organization called Social Action in Lusaka was indirectly involved. A private, non-profit organization supported by the Christian churches in Lusaka and later by a grant from the World Council of Churches, it publicized the activities in squatter settlements.

Physical aspects of social services include 20 primary schools, three health centers, 17 multipurpose community centers which will also serve as pre-schools, 17 markets and 11 demonstration houses/site offices. Sixteen sites for small industry are to be made available within squatter settlements.

The Housing Project Unit itself has carried out the training of community workers, using the facilities of the University of Zambia and the Kitwe Urban Community Development Staff Training College. UNICEF has paid the salary of the trainer and provided vehicles for field training. It also has assigned experienced community development staff as field training supervisors.

3. User Group Participation

Both the technical and social staff work together with the residents of the communities to assure their participation in the later stages of planning, including the location of facilities. In the earlier stages of planning, however, there has been no input from residents. This has been in order not to raise false hopes before money is available. It was originally planned to upgrade all of the squatter areas in Lusaka. In the end, some major areas had been left out. Had these citizens been involved in initial planning, they would have been left with unfulfilled expectations. There has been limited participation in implementation through collective self-help.

4. Difficulties

(a) The original time frame for the project was 1974-1979. It has been delayed by factors external to the project. The government has not been able to finance its counterpart contribution. Also, difficulties in importation have reduced the original scope of the project. The delay has particularly affected the delivery of community development and social services. It was decided to delay the construction of schools, clinics and multipurpose centers while proceeding with infrastructure and housing. As of 1978, only seven of the 17 proposed multi-service centers, three of the proposed 20 primary schools and the three community health centers had been built.

(b) The default rate on service charge payments is around 50 percent, and it is much higher on loan repayments. In most similar projects in Zambia, however, the rate has been even higher.

(c) The problem of poor maintenance, giving the impression that nothing has changed in the slums, has given the residents an excuse for withholding their service payments. The City Council has not been able to provide garbage collection because about 80 percent of the garbage trucks are out of use due to a lack of foreign exchange to purchase spare parts.

The housing project brought an additional 180,000 people under the City Council's authority with added responsibility for roads, drainage, pipelines and water system in addition to garbage collection. In terms of staffing, the Council was barely equipped to carry out its original responsibilities. Many senior Council positions remain unfilled due to a nationwide freeze on government hiring.

(d) The self-help component has not worked out as planned. Out of \$16.2 million budgeted for civil works in the project agreement, \$3.9 million has been allocated for works to be executed through self-help labor. As of 1978, only \$10,000 had been spent. Contractors have been reluctant to work with the communities because it reduces their overheads. It has been difficult for them to provide adequate supervision to unskilled community laborers whose participation increased construction time.

Construction advisors have normally been recruited directly from the building industry. Because they had little experience in dealing with the public, they have received brief community development training courses. This has been done during rather than before the start of the project and has resulted in some inconveniences.

(e) The community development staff of the project unit has not met the expectations of AFSC and UNICEF. Their work has reflected more the priorities of the government and the World Bank than those of UNICEF or AFSC. Attempts to change attitudes in the Community Development Department by training only junior staff have not been effective in bringing about structural change. They have actually led to frustrations among the trainees whose superiors did not understand the non-traditional approach they had been taught.

(f) The objectives of AFSC and UNICEF to implement social and community development components were not fully realized. In his AFSC appraisal of the project, Ledogar states that "while participatory agencies such as UNICEF and AFSC can provide a large urban project with important components such as training which are useful to the accomplishment of the project's goals, it is doubtful that such agencies can accomplish their own goals if these are not essentially identical with the goals, both explicit and implicit, of the project itself."*

5. Accomplishments

The upgrading process which affected about 30 percent of Lusaka's total population has been carried out with a high degree of community acceptance due to the considerable effort of informing and involving community leadership. Some 35,000 to 40,000 former squatters have been given legal tenure to the land they occupy. However, the social service components have not been provided as planned. The role of smaller organizations in a project funded by a large donor, when goals

* The Role of the American Friends Service Committee in the World Bank Funded Lusaka Housing Project, 1973-1978, Robert J. Ledogar, American Friends Service Committee, 1979.

are not identical, should be considered before similar projects are undertaken.

(Source: Based on materials from the World Bank and American Friends Service Committee.)

D. THE INDONESIAN KAMPUNG IMPROVEMENT PROGRAM (KIP)

1. Purpose of the Project

The Kampung Improvement Program in Indonesia began during the First Five-Year Development Plan (1969-74) as an attempt to improve the physical infrastructure in some of the worst kampungs (neighborhoods) in Jakarta. The size and scope of the program have been enlarged substantially since that time. It has added other components in addition to physical improvements, and it has been expanded to other cities.

The Kampung Improvement Program in Jakarta has been quite successful in terms of the number of beneficiaries. It has provided minimum infrastructure to a significant proportion of the urban poor at a reasonable cost. The items delivered include footpaths, secondary roads, surface drainage ditches, water supply systems and public standpipes, individual toilets, (mainly pit privies and some community toilets) and garbage collection facilities. The program also provides elementary schools. In addition, it has included a health and nutrition component which has sought to provide a health post for each 3,000 population. These are simple two-room facilities for general health care and young child care, focusing on nutrition, disease prevention and education of pre-school children. The health posts serve as bases for community health care personnel who make home visits. Training for the health care personnel was also included in the project.

2. Administrative and Financial Arrangements

The Kampung Improvement Program in Jakarta is managed by a separate KIP unit within the city government. Because the program has been assigned a high priority from the beginning, the KIP unit has been able to coordinate effectively with other departments of the city government to provide health and education services to the projects. The KIP unit itself is responsible for the detailed planning and implementation of the projects.

As KIP has been expanded from Jakarta to other cities in Indonesia, the function of nationwide KIP coordination has been assigned to the Cipta Karya Department of the Ministry of Public works. It is expected that each large city (*kotamadya*), of which there are 22, will eventually establish a KIP unit to direct local KIP projects. This has already happened in

Surabaya. The Ministry of Public Works will give technical assistance to the local KIP units. This system may have to be modified when KIP is finally expanded to smaller cities where the establishment of a separate KIP unit may not be economical, and complementary services such as health and education are not readily available within existing city government structures.

The World Bank has provided much of the recent financing for the program, but KIP was already an ongoing program functioning with IMPRESS grant funds from the national government before the World Bank was involved. It was expected in the first World Bank project that some cost recovery would be achieved through an improved property tax system, but this has been slow to develop. The Jakarta government has also considered levying a betterment tax on the beneficiaries, but this would be difficult because no such tax is collected in higher income neighborhoods.

3. User Group Participation

In the Jakarta KIP program, committees at the kampung level are directly involved in the planning, execution and maintenance of KIP works. The organization at the kampung level collects money for kampung maintenance work and distributes money for residents displaced by KIP. The committee is composed of the Lurah's (sub-district chief) staff and other residents. It establishes the priorities of kampung residents and responds to official proposals for social and physical infrastructure. It instructs kampung residents on the use of facilities and helps with the relocation of families displaced by KIP works.

4. Difficulties and Accomplishments

The program has been quite successful in meeting the scale of the problem with a minimal investment of \$59 per person (1976 prices). It has now been expanded to all of the more densely populated kampungs of Jakarta and is being expanded to other cities in Indonesia as well.

In Jakarta, it has been successful because it is managed by a strong KIP unit within the city government which has been assigned a high political priority and controls a special KIP budget. The KIP unit is responsible for planning and implementing physical works. The other components of the program (health and education) are provided by other departments of the city government, generally without resistance because of the high political priority assigned to the

program by the mayor. One of the main problems faced by the program has been the acquisition of land for health centers and schools. This is the responsibility of the five sub-mayors in Jakarta and has been more difficult to coordinate.

Perhaps one of the reasons for the success of the KIP program has been that it has not attempted too many components, and it has expanded slowly in area from a small initial base. The program has focused primarily on physical improvements with only limited health and education components. This has minimized the need for interagency coordination compared with more ambitious IIPUP type programs. It has also expanded slowly from a small, locally-financed base to a larger, internationally-financed nationwide program. This incremental growth has been largely consistent with local implementation capacities.

E. THE KENYA URBAN DEVELOPMENT PROJECT

1. Purpose of the Project

The purpose of this World Bank financed project has been to increase the housing stock for the low income population, improve the supply of basic and essential services to the poor and increase income earning opportunities. Detailed design and engineering began in mid-1978. Overall implementation is expected to take four years.

In addition to the sites and services and physical upgrading components, it is intended to:

- Demonstrate an effective low cost delivery system for health, nutrition and family planning services.
- Stimulate and encourage employment and income generating activities for the urban poor.
- Strengthen the institutional capabilities of government and local authorities for implementing and managing urban development.
- Assist the government in improving the financial resources and management of local authorities.
- Help local authorities control the pattern of urban growth and develop land more effectively.

The project is located in the three largest cities -- Nairobi, Mombasa and Kisumu -- which together contain over 60 percent of the urban population of Kenya.

2. Administrative and Financial Aspects

National ministries are responsible for policy, financing, land acquisition and national level coordination. The local governments in the three cities are responsible for carrying out the project, operating and maintaining facilities and cost recovery. Local charitable organizations, local entrepreneurs and plot allottees contribute to the financing of physical facilities on project land.

The Ministry of Housing and Social Services is the lead agency responsible for coordinating with other ministries for both policy and implementation. A new Sites and Services Unit has been established under the Housing Planning Division for this purpose. The Ministry of Local Government will carry out its usual functions of supervising local governments and providing technical assistance in management, administration, accounting, financial management and property valuation.

Direct responsibility for implementation rests primarily with the city governments where Housing Development Departments (HDD) have been set up with the same status as other city departments except that, rather than reporting to a series of standing committees, they are responsible to a single Housing Development Committee. The members of the Committee are the chairmen of all of the other city standing committees, the mayor and deputy mayor and representatives of the Ministries of Housing and Social Services, Local Government and Finance, and the National Housing Corporation. The provincial or District Commissioners are also members. The Committee is unique in that no meetings are held without central government participation.

Several other groups are involved in specific project components. The Medical Research Center in Nairobi assists the Public Health Department staff in carrying out nutrition baseline and evaluation surveys. Home visits, which will be part of the project's health component, are expected to lead to more effective coordination between the city Public Health Department and the Family Planning Association in Kenya which has had a home visits program in Nairobi and Mombasa for about 20 years. The National Christian Council of Kenya (NCCCK) has had successful programs in job generation and community development in the Nairobi slums for years. Land will be allocated to it at cost for training centers, community development work and workshops for individual entrepreneurs. In Nairobi, serviced land is also being offered at cost to two other non-profit groups. One is a Catholic foundation focusing on training and sponsoring individual entrepreneurs which will build a secondary technical school. The Lions Club is building a dispensary.

World Bank financing to the Government of Kenya of \$50 million will cover almost three-fourths of project costs. The remainder will be paid by the Government of Kenya. The government will lend funds to project cities.

3. User Group Participation

The communities will be informed and consulted on all aspects of development. Community information officers in the Housing Development Departments will give advance notification of the dates structures will be torn down and assist with plot applications and transportation to new sites, if necessary. Community development officers will assist in resettlement.

The final detailed plans for each site will be approved or amended by the residents of the site. Residents will also be involved in phasing decisions so that they can stay in their present dwellings until the new plots are ready.

It is the Government of Kenya's policy that primary schools be constructed using self-help. However, since community groups capable of organizing self-help do not exist in the project areas, building levies will be charged throughout the municipality at a small rate per pupil. All physical project components, including land for small businesses, will be self-financing.

Efforts will be made to attract small contractors from the project towns to construct community facilities by grouping contracts within their range.

4. Difficulties

This project follows the successful first urban project in Kenya. Standards of self-help and self-contracted construction were very high, and cost recovery has been excellent. Difficulties in the first project arose due to government administrative weaknesses rather than shortcomings of the target group. It is predicted that these difficulties will be fewer in the second project because of lessons learned in administrative procedures and because there is greater acceptance of both the concepts of sites and services and upgrading and of the physical standards involved.

Thus far, there have been few delays caused by administrative and political problems. This can be partially attributed to the continuous involvement of all the senior officers of the three City Councils in project preparation, particularly in decisions regarding standards.

5. Accomplishments

This project has not been in operation long enough to list its accomplishments. However, based on the experience of the first urban project in Kenya, it should meet its goals.

(Source: This case study is based on information contained in World Bank documents.)

ANNEX III

CHECKLIST OF DATA REQUIREMENTS FOR
DESIGNING AND EVALUATING
IIPUP PROJECTS

CHECKLIST OF DATA REQUIREMENTS

This annex provides a checklist of data requirements for designing and evaluating IIPUP projects. The types of data which may be required are listed together with brief explanations of why each type of data may be needed. In addition to the sectorial orientation of the list, the data needs are further disaggregated into data on (1) characteristics, needs and behavior of populations and sub-groups; (2) cultural values and beliefs, knowledge, practices (attitudes and opinions) of populations and sub-groups; and (3) institutions.

The annex is intended as a comprehensive checklist. In most cases, this list should be narrowed to a more limited set of data needs to focus on the particular sectors and/or target groups involved in specific IIPUP programs.

DEMOGRAPHIC AND SOCIAL CHARACTERISTICS

DATA NEEDED	USE
<u>A. Demographic Characteristics</u>	
1. Characteristics of individuals in population, subgroups, target groups: Sex Age Marital status Characteristics of households and families in population, subgroups, target groups: Adults and children in immediate household: <ul style="list-style-type: none">● number● sex of each● age of each● relationship of each● economic dependency of each Adults and children in immediate family but living elsewhere (e.g. in home village): <ul style="list-style-type: none">● number● sex of each● age of each● relationship of each● economic dependency of each● distance of place of residence	Information on the basic composition of the population and its subgroups and of households in the population and its subgroups is essential to developing measurements of needs and resources and the number of people who would be potential users or beneficiaries of IIPUP programs. Certain of these data (such as the ratio of the sexes) are also important in the categorization of people into the target groups such as: <ul style="list-style-type: none">● chronically marginal households● single migrants● beachheading households● households renting by choice● consolidating households● female-headed households
2. Attitudes of population, subgroups, target groups: Attitudes regarding household composition, present and possible future	Some IIPUP programs may directly or indirectly affect household composition. It may, therefore, be necessary to have information on people's attitudes and desires with regard to household composition.

continued

Demographic and Social Characteristics (continued)

DATA NEEDED	USE
<hr/>	
B. <u>Social Characteristics</u>	
<p>1. Characteristics and behavior of population, subgroups, target groups:</p> <p>Ethnic group</p> <p>Religion</p> <p>Primary language or dialect</p> <p>Social class or caste</p>	<p>Various societal groups have different mores and cultural patterns that affect the forms poverty takes and affect the potential impact and value of various kinds of programs to combat poverty. It is, therefore, necessary to determine to which groups people belong.</p>
<p>2. Attitudes of population, subgroups, target groups:</p> <p>Mores and customs of the group</p> <p>Self-esteem</p> <p>Aspirations</p> <p>Hopes for the future</p> <ul style="list-style-type: none">● for self● for offspring <p>Trust in government</p> <p>Trust in charitable services</p> <p>Social and political integration</p> <p>Desire for participation in community decision making</p>	<p>Programs to aid the poor can succeed or fail depending on the attitudes and responses of the intended beneficiaries. In addition, these attitudes may condition program participation and involvement in project design and redesign. Information on relevant attitudes is therefore necessary.</p>

ECONOMIC CHARACTERISTICS

DATA NEEDED	USE
A. <u>Income, Net Worth and Expenditures</u>	
1. Characteristics and behavior of population, subgroups, target groups:	Measurement of individual and household or family income, savings, property and debts are needed in order to determine who are poor and how poor they are: the degree of their ability to pay for needed goods and services.
Individual income	
• earnings	
• transfer income*	
• other	
Household or family income	
• earnings	
• transfer income*	
• other	
Savings/Capital	
• money	
• property	
• other	
Debts	
• amount	
• type	
Percent of income spent on	It is necessary to know how income is spent in order to determine whether and how a particular level of income is insufficient for basic needs.
• food and water	
• housing	
• fuel for cooking and heating	
• clothing	
• transportation	
• health services	
• other necessities	
Percent of income paid out in the form of taxes on income, purchases and property owned	
Percent of income sent to immediate family members living elsewhere (e.g. home village)	Information on income sent to family members elsewhere can also help in the categorization of people into the five target groups.

continued

*Welfare payments, food disbursements, rent subsidies, etc.

DATA NEEDED	USE
2. Service delivery:	
<p>National and local government</p> <ul style="list-style-type: none"> ● laws and regulations regarding taxation of income, savings, property ownership and financing <ul style="list-style-type: none"> -- equity of laws and regulations -- manner of enforcement -- degree/consistency of enforcement -- equity of enforcement 	<p>Programs developed to alleviate poverty may need to address the national and local regulations regarding home ownership, land tenure, rental property, home financing, credit and the tax structure if they substantially affect the resources of the poor to pay for needed goods and services.</p>
B. <u>Personal Credit</u>	
1. Characteristics and behavior of population, subgroups, target groups:	
<p>Use of personal credit</p> <ul style="list-style-type: none"> ● purpose/type ● amount ● length of loan ● source ● cost 	<p>Since credit is an important financial resource, or potential resource, for people trying to escape poverty, it is important to have information on people's ability to obtain, and their use of, personal credit. This information can also assist in categorizing people into the five target groups.</p>
2. Attitudes of population, subgroups, target groups:	
<p>Attitudes toward the use of personal credit</p> <p>Attitudes toward institutions and services providing credit</p>	<p>It will be important to know whether there are any prevalent attitudes that may create barriers to people's use of credit where available.</p>
3. Service delivery:	
<p>Institutions or services providing personal credit</p> <ul style="list-style-type: none"> ● how organized and financed ● availability/accessibility ● methods of delivery ● efficiency of delivery ● equity of delivery ● impact 	<p>Information on credit-providing institutions will be important in determining the potential involvement of those institutions in IIPUP programs to increase credit availability to the urban poor.</p>
<p>National and local governments</p> <ul style="list-style-type: none"> ● laws and regulations regarding credit and the institutions and services providing credit ● plans and pending legislation 	<p>Information with regard to laws and regulations that can affect the availability of credit will be particularly important if IIPUP programs are aimed at increasing credit availability.</p>

HOUSING CHARACTERISTICS

DATA NEEDED	USE
<p>A. <u>Housing</u></p> <p>1. Characteristics of housing for population subgroups and/or target groups:</p> <p>Type of housing unit</p> <ul style="list-style-type: none">● conventional -- home, apartment, flat● mobile -- trailer, boat, tent● improvised -- makeshift structures● group quarters -- room, bed <p>Relationship with housing unit</p> <ul style="list-style-type: none">● own● rent● squat <p>Source of housing</p> <ul style="list-style-type: none">● built (or improvised) by resident● private enterprise● government <p>Adequacy of housing</p> <ul style="list-style-type: none">● space, privacy● protection from the elements● heat, ventilation● running water● food preparation and storage● facilities● toilet and washing facilities● sewage facilities <p>Housing materials</p> <ul style="list-style-type: none">● type● degree of permanence <p>Safety of structure and location</p> <ul style="list-style-type: none">● fire● natural disasters (flood, storms, earthquakes)● crime	<p>The characteristics, permanency and adequacy of the housing of individuals and families are important measures of degree of poverty, and can help to categorize people into target groups. This information is also needed in the development of programs designed to upgrade housing.</p>

Housing Characteristics (continued)

DATA NEEDED	USE
<p>2. Attitudes of population, sub-groups, target groups:</p> <p style="padding-left: 40px;">Degree of satisfaction with housing</p> <p style="padding-left: 40px;">Housing desires and preferences</p> <ul style="list-style-type: none"> • location • type <p style="padding-left: 40px;">Security and safety of dwellings</p>	<p>People's attitudes and desires regarding types, locations and security of housing will be important to the design of housing-related programs that will be accepted by the people for whom they are intended.</p>
<p>3. Service delivery:</p> <p style="padding-left: 40px;">Institutions providing mortgages</p> <ul style="list-style-type: none"> • how organized and financed • availability/accessibility • methods of delivery • efficiency of delivery • equity of delivery • impact <p style="padding-left: 40px;">Institutions providing for public safety</p> <ul style="list-style-type: none"> • police and other security services <ul style="list-style-type: none"> -- how organized and financed -- availability/accessibility -- methods of delivery -- efficiency of delivery -- equity of delivery -- impact • fire services <ul style="list-style-type: none"> -- how organized and financed -- availability/accessibility -- methods of delivery -- efficiency of delivery -- equity of delivery -- impact • disaster services relating to floods and severe storms <ul style="list-style-type: none"> -- how organized and financed -- availability/accessibility -- methods of delivery -- efficiency of delivery -- equity of delivery -- impact 	<p>Information about existing institutions providing mortgages will be important, especially in order to assess their potential role in providing mortgage availability.</p>

Housing Characteristics (continued)

DATA NEEDED	USE
National and local government <ul style="list-style-type: none">● policies, practices, laws and regulations regarding housing, safety, zoning, mortgages, etc.	Knowledge of the legal and governmental aspects of housing and security is necessary in the design of programs related to housing.
National housing plans and pending legislation	

HEALTH AND WELFARE CHARACTERISTICS

DATA NEEDED	USE
A. <u>Food and Nutrition</u>	
<p>1. Characteristics and behavior of population, subgroups, target groups:</p> <p>Food consumption</p> <ul style="list-style-type: none">● quantity● nutritional adequacy● wholesomeness, safety● seasonal and weather factors <p>Food consumption in relation to special needs of</p> <ul style="list-style-type: none">● pregnant women● nursing mothers● infants● growing children● the elderly● the sick and disabled <p>Food preparation and storage methods and equipment</p> <p>Sources of food</p> <ul style="list-style-type: none">● home raised● purchased● other	<p>It is necessary to have information on food consumption, nutrition and supplies in order to determine needs and design programs to improve nutrition and alleviate hunger.</p>
<p>2. Attitudes and knowledge of population, subgroups, target groups:</p> <p>Knowledge of nutrition, sources of nutritious foods, preparation methods that preserve nutritious value</p> <p>Knowledge of sanitary methods of preparing and storing foods</p> <p>Attitudes and preferences with regard to</p> <ul style="list-style-type: none">● types of food● preparation methods● storage of food● sources of food	<p>Lack of knowledge regarding nutrition and food sanitation can contribute to malnutrition and health problems. Such knowledge can sometimes serve to improve the welfare of the poor without any change in the food supply. It is, therefore, important to have information on such knowledge.</p> <p>In order to achieve acceptance, programs that improve food supplies will have to take customs and preferences into consideration.</p>

DATA NEEDED	USE
3. Service delivery:	
<p>Markets and other institutions providing food</p> <ul style="list-style-type: none"> ● how organized and financed ● availability/accessibility ● methods of delivery ● efficiency of delivery ● equity of delivery ● impact 	<p>Information about existing stores and other institutions providing food will be important, especially in order to assess their potential role in improving food supplies.</p>
<p>Institutions and other services providing information and education regarding food and nutrition</p> <ul style="list-style-type: none"> ● how organized and financed ● availability/accessibility ● methods of delivery ● efficiency of delivery ● equity of delivery ● impact 	<p>If there are any institutions or services providing information or education on food and nutrition, information on them will be important, especially in order to assess their potential role in any kind of educational program concerning food and nutrition.</p>
<p>National and local government</p> <ul style="list-style-type: none"> ● policies, informal practices, priorities, laws and regulations regarding food and its sources and suppliers 	<p>If there are governmental policies, laws or regulations relating to food or its sources and suppliers, it will be important to take them into consideration in designing programs relating to food.</p>

B. Water: Availability, Accessibility and Utilization

1. Characteristics of water consumption of population, subgroups, target groups:

- Water consumption
- distance to water source
 - adequacy of quantity
 - wholesomeness, safety
 - seasonal and weather factors

If the urban poor, or subgroups or target groups among the urban poor, lack an adequate and steady and affordable supply of wholesome water, that can be a major contributor to health and other problems. It is, therefore, necessary to have information regarding water supplies and consumption.

2. Service delivery

- Water supply systems and water purification plants
- how organized and financed
 - availability/accessibility
 - methods of delivery
 - efficiency of delivery
 - impact

National and/or local policies, plans, programs to increase water availability and accessibility

continued

Health and Welfare Characteristics (continued)

DATA NEEDED	USE
C. <u>Health and Sanitation</u>	
1. Characteristics of the population, subgroups, target groups:	Information on the state of people's health needs to be obtained in order to determine the extent of the needs of health services.
Mortality rates and causes of death for	
<ul style="list-style-type: none">● infants● children● men● women	
Measures of the health status of	
<ul style="list-style-type: none">● infants● children● men● women● pregnant women● nursing mothers● the elderly	
Incidence of diseases, epidemics, mental illness, disabling accidents, handicaps and disabilities	It is necessary to have information on health and hygiene practices in order to judge their adequacy.
Incidence of vermin infestation	
Health and hygiene practices	
<ul style="list-style-type: none">● care of pregnant women<ul style="list-style-type: none">-- pre-natal-- post-natal-- maternal mortality rate● childbirth practices● care of the newborn● care of the sick● first aid<ul style="list-style-type: none">-- accident-- natural disaster● vermin control	
2. Attitudes, knowledge and practices of population, subgroups, target groups:	
Knowledge, attitudes and practices with regard to	Programs relating to health care and health care services will need to work within the context of people's knowledge, attitudes, practices and preferences.
<ul style="list-style-type: none">● care of pregnant women● childbirth● care of the newborn● care of the sick● first aid● vermin control	

continued

Health and Welfare Characteristics (continued)

DATA NEEDED	USE
Attitudes relating to institutions and services providing or potentially providing health care	
3. Service delivery:	
Institutions and services providing preventive and curative care: first aid, treatment for injury and illness, surgery, pre-natal care, obstetrics, care of the newborn, dental care, rehabilitative services, health examinations and screenings, vaccinations, etc.	The urban poor need a variety of health-related services. In order to plan aid programs, it is necessary to have data on the availability and adequacy of the existing services and the role of government in those services.
<ul style="list-style-type: none">● how organized and financed● availability/accessibility● methods of service delivery● efficiency of service delivery● equity of delivery● impact	
National and local government	
<ul style="list-style-type: none">● plans, policies, practices, laws, regulations and pending legislation regarding<ul style="list-style-type: none">-- health care-- institutions providing health care-- institutions and services providing health information and education-- health-affecting substances such as alcohol, tobacco, mind-affecting drugs	
D. <u>Infant and Child Health</u>	
1. Characteristics and behavior of population, subgroups, target groups:	
Infant and child care habits and practices in the home	
<ul style="list-style-type: none">● by mothers● by fathers	The ways in which infants and children are cared for and the availability and adequacy of infant and child care services affect health and welfare and also have a bearing on whether certain adults (usually mothers) can seek and hold employment outside the home.

Health and Welfare Characteristics (continued)

DATA NEEDED	USE
<ul style="list-style-type: none"> ● by other adults in household ● by other children in household 	
<p>Infant and child care habits and practices outside the home</p> <ul style="list-style-type: none"> ● family ● friends ● organized child care services/facilities 	
<p>Adequacy of infant and child care</p> <ul style="list-style-type: none"> ● health and safety ● developmental adequacy 	
<p>2. Attitudes of population, sub-groups, target groups:</p> <p>Attitudes and preferences regarding infant and child care</p> <ul style="list-style-type: none"> ● in the home ● outside the home ● services and facilities outside the home 	<p>Programs aimed at improving infant and child care, inside or outside the home, will have to work within the context of cultural beliefs and attitudes.</p>
<p>3. Service delivery:</p> <p>Institutions and services for the (non-medical) care of infants and children, full-time or part-time</p> <ul style="list-style-type: none"> ● how organized and financed ● availability/accessibility ● methods of service delivery ● efficiency of service delivery ● equity of service delivery ● impact <p>National and local government</p> <ul style="list-style-type: none"> ● plans, policies, practices, laws, regulations related to infant and child care responsibilities of parents and others and related to institutions providing (non-medical) care of infants and children 	<p>The availability and quality of institutions and services for the care of infants and children outside the home can have a major effect on the welfare of children. Information on these institutions will also be needed in order to assess their potential involvement in programs to improve care.</p> <p>If there are governmental policies, laws or regulations relating to infant and child care and institutions providing care, it will be necessary to take them into consideration in designing programs.</p>

continued

Health and Welfare Characteristics (continued)

DATA NEEDED	USE
E. <u>Family Planning</u>	
1. Characteristics and behavior of population, subgroups, target groups:	Fertility and population growth are often major factors in urban poverty. It is, therefore, important to have information on knowledge, practices and attitudes that relate to fertility and its control. This information will also be important in designing programs related to such matters.
Age-specific birth rates Family planning, birth control and abortion practices	
2. Attitudes, values, knowledge of population, subgroups, target groups:	Knowledge and attitudes must be taken into account in IIPUP project design.
Attitudes toward <ul style="list-style-type: none">● children and their importance to the family socially and economically● family planning and birth control● sex preference● abortion● role of women	
Knowledge related to <ul style="list-style-type: none">● family planning and birth control● abortion	
Knowledge of and attitudes toward institutions providing information and services related to family planning, birth control and abortion	
Family planning practices <ul style="list-style-type: none">● prevalence of contraceptive usage by method, continuation rate, parity and sex of living children	
3. Service delivery:	
Organizations and services providing information and education regarding family planning, birth control, abortion <ul style="list-style-type: none">● how organized and financed● availability/accessibility	Information about institutions providing information, goods and services related to family planning will be needed in order to assess the adequacy of services and to assess their role in potential IIPUP projects.

Health and Welfare Characteristics (continued)

DATA NEEDED	USE
<ul style="list-style-type: none">● methods of delivery● efficiency of delivery● equity of delivery● impact	
<p>Markets, stores and other organizations and services providing birth control devices and supplies</p>	
<ul style="list-style-type: none">● how organized and financed● availability/accessibility/cost● methods of delivery● efficiency of delivery● equity of delivery● impact	
<p>Institutions providing family planning services</p>	
<ul style="list-style-type: none">● how organized and financed● availability/accessibility/cost● methods of delivery● efficiency of delivery● equity of delivery● impact● related, dual and multi-service agencies	
<p>National and local government</p>	<p>IIPUP programs related to fertility and its control will have to take into consideration any relevant governmental policies, laws and regulations.</p>
<ul style="list-style-type: none">● plans, policies, laws and regulations pertaining to family size, children born outside marriage, family planning	
<ul style="list-style-type: none">● policies, laws and regulations pertaining to organizations and services providing information and education regarding family planning, birth control	
<ul style="list-style-type: none">● policies, laws and regulations pertaining to institutions providing birth control devices and supplies	
<ul style="list-style-type: none">● policies, laws, regulations pertaining to institutions providing abortion services	

LABOR AND EDUCATION CHARACTERISTICS

DATA NEEDED	USE
<p>A. <u>Employment</u></p>	
<p>1. Characteristics and behavior of population, subgroups, target groups for all appropriate ages:</p>	<p>It is necessary to have detailed information on employment patterns and occupations in order to understand causes of poverty in particular populations, subgroups and target groups so that remedial programs can be developed. Some of these data also aid in the categorization of people into target groups.</p>
<p>Wage earning employment status</p>	
<ul style="list-style-type: none">● full-time or part-time● temporary or permanent● special status such as apprentice● unemployed● unemployed and not seeking work	
<p>If employed</p>	
<ul style="list-style-type: none">● occupation● hours worked per day/week/month/year● permanence of position● type of employer (self-employed, family business, small business, large business, government, agriculture, etc.)● wages, including in-kind, exchanges of services, etc.	
<p>Employment history</p>	
<p>Job-seeking activities of those with no work activity and seeking work</p>	
<p>Employment and work activity pattern in family(s) living in same household</p>	
<ul style="list-style-type: none">● number employed● sex of each● age of each● relationship of each● occupation of each● wages of each	

continued

Labor and Education Characteristics (continued)

DATA NEEDED	USE
<p>2. Attitudes, values and beliefs of population, subgroups, target groups:</p> <p>If employed in a wage earning or home capacity</p> <ul style="list-style-type: none"> ● attitudes toward present job ● desires and aspirations for future employment (type of work, wages) <p>If unemployed and seeking work</p> <ul style="list-style-type: none"> ● desires and aspirations regarding employment (type of work, wages) ● perceived reasons for being unemployed <p>Attitudes and cultural norms with regard to outside employment for particular groups such as</p> <ul style="list-style-type: none"> ● children ● young adults ● married women without children ● mothers ● widows ● the elderly 	<p>Programs to improve employment opportunities will need to take into consideration people's cultural patterns and attitudes toward employment.</p>
<p>3. Service delivery:</p> <p>Institutions providing employment for the poor</p> <ul style="list-style-type: none"> ● how organized and financed ● size, number of employees ● type: business, industry, agriculture, community services, government, etc. ● types of jobs (occupations) ● permanence of employment ● wage scales <p>Institutions or services (if any) aiding the poor to find jobs</p> <ul style="list-style-type: none"> ● how organized and financed ● availability/accessibility/cost ● methods of service delivery ● efficiency of service delivery 	<p>Programs for aiding the poor may focus on providing better opportunities for employment. It will be necessary to have information on existing employers and employment opportunities as a base measure and also in order to assess the potential role of various employers and types of employers in IIPUP programs.</p> <p>If there are existing institutions or services that aid the poor in finding jobs, it will be important to have information on them in order to assess their potential role in IIPUP programs.</p>

DATA NEEDED	USE
<ul style="list-style-type: none"> ● equity of service delivery ● impact 	
<p>National and local government</p> <ul style="list-style-type: none"> ● services or assistance, if any, providing to those who have lost their jobs and are unable to find work ● policies, practices, laws, regulations pertaining to employment, employers and institutions or services for the unemployed 	<p>Information is needed on the roles played by government with respect to employment, unemployment and employing institutions, since IIPUP programs may need to address those matters.</p>
<p>B. <u>Vocational Skills and Training</u></p>	
<p>1. Characteristics and population, subgroups, target groups:</p>	
<p>Skills with vocational significance or potential</p> <ul style="list-style-type: none"> ● from academic education ● from vocational education/training ● from past jobs ● from present job ● from unpaid activities (such as in the home) 	<p>It is necessary to know people's existing qualifications and skills that are or could be put to use in paid employment, in order to guide the development of programs that would improve or better utilize those skills.</p>
<p>Vocational education/training completed or current involvement</p>	
<p>Disabilities/handicaps that limit vocational potential</p> <ul style="list-style-type: none"> ● nutrition ● physical disabilities ● perceptual disabilities such as blindness, deafness ● mental handicaps such as retardation, mental illness ● language or dialect problems 	<p>Planning of programs to upgrade vocational skills would take into consideration the special needs of the handicapped.</p>
<p>2. Attitudes, knowledge of population, subgroups, target groups:</p>	
<p>Knowledge of and attitudes toward various vocations</p>	
<p>Knowledge of and attitudes toward vocational training/education and the institutions that provide it</p>	<p>Information on vocational knowledge and attitudes will be needed as base-points in the development and implementation of IIPUP programs that deal with the upgrading of vocational skills.</p>

Labor and Education Characteristics (continued)

DATA NEEDED	USE
<p>3. Service delivery:</p>	
<p>Institutions and other sources that provide vocational information, education or training</p> <ul style="list-style-type: none"> ● how organized and financed ● availability/accessibility/cost ● methods of delivery ● efficiency of delivery ● equity of delivery ● impact <p>National and local government</p> <ul style="list-style-type: none"> ● plans, policies, laws and regulations regarding vocational skills and training and the institutions that provide them 	<p>Information on institutions and other sources of vocational information and training will be needed in determining their potential involvement in IIPUP programs to improve vocational skills.</p> <p>If there are governmental policies, laws or regulations relating to vocational skills or training or the institutions that provide them, it will be important to take them into consideration in designing programs related to vocational skills or training.</p>
<p>C. <u>Education</u></p>	
<p>1. Characteristics and behavior of population, subgroups, target groups:</p>	
<p>Non-formal education</p> <p>Education -- grades completed</p> <ul style="list-style-type: none"> ● number of years ● primary ● secondary ● verbal ability ● numeracy ● literacy <p>Current educational activities</p>	<p>Education, or the lack thereof, can be a major factor influencing the existence of urban poverty and the ways in which the poverty can be alleviated. It will therefore be important to have data regarding education and the schools, attitudes of the poor toward them and governmental policies and regulations pertaining to them.</p> <p>Education (non-formal and formal) is a factor to be considered in</p> <ul style="list-style-type: none"> ● planning vocational training projects ● organizing income-generating activities ● determining future industrial development and labor market needs ● assessing projects
<p>2. Attitudes of population, subgroups, target groups:</p> <p>Attitudes toward academic education for children</p>	

continued

Labor and Education Characteristics (continued)

DATA NEEDED	USE
Attitudes toward academic education and additional academic education for adults	
3. Service delivery:	
Primary and secondary schools	
<ul style="list-style-type: none">● how organized and financed● availability/accessibility/cost● enrollment as contrasted with total population per age group● age, income and social groups served● curriculum● impact	
National and local government ● plans, policies, practices, laws, regulations related to education and educational institutions	To assess needs in relation to government ● priorities ● plans ● practices ● policies
Other institutions (e.g. religious) providing education to children and/or adults	
<ul style="list-style-type: none">● how organized and financed● availability/accessibility/cost● enrollment● age, income and social groups served● curriculum● impact	

TRANSPORTATION AND COMMUNICATIONS CHARACTERISTICS

DATA NEEDED	USE
A. <u>Transportation</u>	
<p>1. Characteristics of transportation use by the population, sub-groups (e.g. utilization by men and utilization by women), income and target groups:</p> <p>Transportation needs</p> <ul style="list-style-type: none">● to jobs● to sources of food, water, fuel, etc.● to schools, clinics, child care facilities, etc.● to rural homes/villages <p>Ownership/access to personal means of transportation such as bicycles, boats, "jeepnies," "baby taxis," motorbikes, oxen-drawn carts, etc.</p>	<p>To examine the relationship between transportation needs and the utilization of what is available. To assess the role of transportation facilitating/inhibiting factor in relation to the poor benefiting from improved employment opportunities. To assess the role of transportation in meeting the basic food, clothing and shelter needs of the citizenry.</p>
<p>2. Service delivery:</p> <p>Public transportation such as trains, buses, ferries</p> <ul style="list-style-type: none">● how organized and financed● availability/accessibility/cost● safety● efficiency of service● equity of service● impact <p>Public roads</p> <ul style="list-style-type: none">● how built and maintained● availability● level and type of use● adequacy <p>National and local government</p> <ul style="list-style-type: none">● plans, policies, practices, laws, regulations related to roads and public and private transportation media	<p>IIPUP programs related to transportation may need to address governmental policies, plans, laws and regulations that pertain to forms of transportation.</p>

Transportation and Communications Characteristics (continued)

DATA NEEDED	USE
B. <u>Communications</u>	
1. Characteristics communications use by total population, subgroups and target groups:	Public communications media can inform people about programs and services available to them.
Level of exposure to communication media:	
<ul style="list-style-type: none">● newspapers● magazines● radio● community bulletin boards● posters, billboards● telephone● other	
2. Attitudes of population, subgroups, target groups:	
Attitudes related to the believability of communications media	
<ul style="list-style-type: none">● newspapers● magazines● radio● community bulletin boards● posters, billboards● other	
3. Service delivery:	
Communications media available such as newspapers, magazines, radio, community bulletin boards, posters, billboards, other	
<ul style="list-style-type: none">● how organized and financed● availability/accessibility/cost● impact● availability for public service messages● frequency of distribution, broadcasting, etc.● plans for expansion	
National and local government <ul style="list-style-type: none">● policies, practices, laws and regulations related to public communications media	If there are government policies or laws pertaining to public communications media, it will be important to take them into consideration in developing programs that will involve the media.

ANNEX IV
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