



Guide to Monitoring Target 11:

# Improving the lives of 100 million slum dwellers

Progress towards the Millennium Development Goals, Nairobi, May 2003



UN-HABITAT





# Contents

Foreword .....	1
The Millennium Development Goals .....	2
Target 11 in the overall development framework .....	3
Global trends on slums .....	4
People living in slums .....	5
Monitoring Target 11 .....	6
Improving slums: five key dimensions .....	7
Access to safe water .....	8
Access to sanitation .....	9
Secure Tenure .....	10-11
Durability of housing .....	12
Sufficient living area .....	13
Reporting on MDG Target 11 .....	14
What should reports include? .....	15

The designations employed and the presentation of material in this publication do not imply the expression of any opinion whatsoever on the part of the Secretariat of the United Nations concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries or regarding its economic system or degree of development. The analysis, conclusions and recommendations of the report do not necessarily reflect the views of the United Nations Human Settlements Programme (UN-HABITAT), the Governing Council of UN-HABITAT or its Member States.

Excerpts from this publication may be reproduced without authorization, on condition that the source is indicated.

© United Nations Human Settlements Programme (UN-HABITAT), 2003

ISBN: 92-1-131682-0  
HS/690/03E

United Nations Human Settlements Programme publications can be obtained from UN-HABITAT Regional and Information Offices or directly from:  
P.O. Box 30030  
Nairobi, Kenya  
Fax: +(254-20) 624060  
E-mail: [unhabitat@unhabitat.org](mailto:unhabitat@unhabitat.org)  
Website: <http://www.unhabitat.org>

# Foreword



This guide represents a milestone in the efforts of the United Nations to monitor the Millennium Development Goals adopted by the UN member states in the year 2000. These goals address essential dimensions of poverty and their effects on people's lives. They constitute, in themselves, a commitment by the world's leaders to the world's poor, addressing the most pressing issues related to poverty such as health, gender equality, education and environmental sustainability.

UN-HABITAT has been assigned the responsibility to assist United Nations Members States in monitoring and eventually attaining the global "Cities without Slums" target of improving the lives of at least 100 million slum dwellers by the year 2020. To proceed with this task, UN-HABITAT has consulted a number of experts to develop generic and operational definitions of terms and concepts related to urban poverty and slums for use by National Governments, policy makers and their advisors, planners, local authorities, statisticians, survey specialists and the academics. This guide offers not only the definitions but also a hierarchy of indicators at the operational level and specific ways to measure them.

Each country should use this guide to understand the issues and to set its own goals and targets in relation to recognized slum conditions, trends and needs. The "Cities without Slums" targets established by countries should then be carried forward through coordinated policies and actions related to slum-upgrading, environmental management, infrastructure development, service delivery and poverty-reduction at large.

This practical guide, published in conjunction with the first meeting of the Governing Council of the United Nations Human Settlements Programme (UN-HABITAT), promises to contribute to our collective effort to monitor the Millennium Development Goals and to enable the world's cities to improve the lives of slum dwellers. It merits special attention by all partners of the Habitat Agenda at a time when slums are being clearly identified as a crucial development issue around the world.

Mrs. Anna Kajumulo Tibaijuka  
Executive Director  
United Nations Human Settlements Programme (UN-HABITAT)

# The Millennium Development Goals

## Setting goals for the Millennium

The Millennium Development Goals adopted by the UN member states in the year 2000 are broad goals for the entire world. They address essential dimensions of poverty and their effects on people's lives attacking pressing issues related to poverty reduction, health, gender equality, education and environmental sustainability. By accepting these goals, the international community has made a commitment to the world's poor, the most vulnerable, in precise terms, established in quantitative targets.

In order to assist Member States realize the eight goals of the Millennium Declaration, the United Nations System has set numerical targets for each goal. Further, it has selected appropriate indicators to monitor progress on the goals and attain corresponding targets. A list of 18 targets and more than 40 indicators corresponding to these goals ensure a common assessment and appreciation of the status of MDGs at global, national and local levels.

The United Nations System assigned UN-HABITAT the responsibility to assist Member States monitor and gradually attain the "Cities without Slums" Target, also known as "Target 11". One of the three targets of Goal 7 "Ensure Environmental Sustainability," Target 11 is: "By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers".

**Goal 7 Target 11** comes in response to one of the most pressing challenges of the Millennium. By dealing with the people living in the most depressed physical conditions in the world's cities, Target 11 is a direct recognition that slums are a development issue which needs to be faced. Slums cannot simply be considered as an unfortunate consequence of urban poverty but need to be treated as a major issue.

In an effort to advance the monitoring of this target, UN-HABITAT has undertaken the task of defining and articulating relevant indicators, in consultation with activists, practitioners and policy makers with demonstrated experience in reducing urban poverty. The Agency is also keen to collect data globally in order to generate statistically-valid figures and estimates that quantify the magnitude and characteristics of slums as a necessary first step for formulating policy recommendations and actions at the global level. Future steps are envisioned to assist Member States with advocacy instruments, such as the Global Campaigns for Secure Tenure and on Urban Governance, and with technical co-operation on slum upgrading and urban management.

## Goals are not imposed, they are an international call for action

Each country needs to set its own goals and targets in relation to recognized conditions, trends and needs. Targets should be considered as commitments made by countries with the support of the international community. Target 11 calls for coordinated policies and actions related to slum-upgrading, environmental management, infrastructure development, service delivery and poverty-reduction at large.



**"By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers".**

## What are the obstacles?

Poor policies. The failure to plan the city to cater for urban demographic trends. The failure to address people's needs, inequities in access to services, insecurity of tenure, and inequalities between men and women. But there are also other broader issues to consider: the burden of debt, the decline in development aid and, sometimes, inconsistencies in donor policies which hinder faster progress.

## What will it take to overcome these obstacles?

Dialogue to understand the poor's needs and include them in planning the city. Understanding the slum phenomena in its own context, the conditions in which men and women live in slums, through collecting and analyzing adequate information, is part of the response to the problem. City managers and stakeholders should be able to plan slum interventions with a reliable information that should be understood and acknowledged by all.

**If some countries have made great progress in improving the lives of slum dwellers, other can as well.**

Target 11 on slums can be met. But it will take hard work. Success will require stronger voices for the poor that lead to improving their security of tenure, adequate planning and economic stability that favour the development of basic services. It will also take political will to make it a high priority for the Millennium.

The present guidelines provide advice to UN-HABITAT's partners, which include National Governments, the policy makers and their advisors, planners, at the city level, statisticians or survey specialists at the National Statistical Offices, or the academic milieu, in providing the agreed generic and the operational definitions of the concepts of secure tenure and slums. To this aim, the guidelines offer not only the definitions, but also a hierarchy of indicators at the operational level, and the specific ways to measure them.



# Target 11 in the overall development framework

## Target 11 is only a piece of the larger development framework

Within the context of several development goals competing with each other for the attention of policy makers and the world's limited financial resources for international development, it is important to note the selection of goals and targets adopted by the international development community.

## Improving the lives of slum dwellers will be achieved by considering the overall picture

Target 11 deals more specifically with the issue of slums and the improvement of the lives of slum dwellers. However, in order to face the challenge of slum dwellers, one needs to consider the other facets of the problem through the other goals and targets. The conditions of slum dwellers will not improve worldwide if no action is taken in order to eradicate poverty and hunger (goal 1), to reduce child mortality (goal 4), combat HIV-AIDS (goal 6) and develop a global partnership for development (goal 8).

Each country and city should look at the overall development framework proposed in the MDGs and decide which of the goals and targets should be considered in order to improve the lives of slum dwellers. One practical way to go about it is to select key related goals and targets and to **measure progress made in achieving each goal in the slum areas**. Additional targets and indicators can be selected by countries in order to complete the diagnostic of slum conditions. *Example: Target 3. Ensure that all boys and girls complete a full course of primary schooling. Is this achieved in slums as compared to other areas of the city? If not, what should be the next target for years x and y?*

...select key related goals and targets and to measure progress made in achieving each goal in the slum areas.



## Scope of Millennium Development Goals and Targets

### Goal 1. Eradicate extreme poverty and hunger

- Target 1. Reduce by half the proportion of people living on less than a dollar a day
- Target 2. Reduce by half the proportion of people who suffer from hunger

### Goal 2. Achieve universal primary education

- Target 3. Ensure that all boys and girls complete a full course of primary schooling

### Goal 3. Promote gender equality and empower women

- Target 4. Eliminate gender disparity in primary and secondary education preferably by 2005, and at all levels by 2015

### Goal 4. Reduce child mortality

- Target 5. Reduce by two thirds the mortality rate among children under five

### Goal 5. Improve maternal health

- Target 6. Reduce by three quarters the maternal mortality ratio

### Goal 6. Combat HIV/AIDS, malaria and other diseases

- Target 7. Halt and begin to reverse the spread of HIV/AIDS
- Target 8. Halt and begin to reverse the incidence of malaria and other major diseases

### Goal 7. Ensure environmental sustainability

- Target 9. Integrate the principles of sustainable development into country policies and programmes; reverse loss of environmental resources
- Target 10. Reduce by half the proportion of people without sustainable access to safe drinking water
- Target 11. Achieve significant improvement in lives of at least 100 million slum dwellers, by 2020

### Goal 8. Develop a global partnership for development

- Target 12. Develop further an open trading and financial system that is rule-based, predictable and non-discriminatory. Includes a commitment to good governance, development and poverty reduction - nationally and internationally
- Target 13. Address the least developed countries' special needs. This includes tariff- and quota-free access for their exports; enhanced debt relief for heavily indebted poor countries; cancellation of official bilateral debt; and more generous official development assistance for countries committed to poverty reduction
- Target 14. Address the special needs of landlocked and small island developing States
- Target 15. Deal comprehensively with developing countries' debt problems through national and international measures to make debt sustainable in the long term
- Target 16. In cooperation with the developing countries, develop decent and productive work for youth
- Target 17. In cooperation with pharmaceutical companies, provide access to affordable essential drugs in developing countries
- Target 18. In cooperation with the private sector, make available the benefits of new technologies - especially information and communications technologies

## Global trends on slums

Almost two billion people currently live in urban regions of the developing world. This figure is projected to double over the next 30 years, at which time urban dwellers will account for nearly half the global population<sup>1</sup>. Moreover, most of these new urban dwellers are likely to be poor – resulting in a phenomenon termed as the ‘urbanization of poverty’. Slums are a physical and spatial manifestation of increasing urban poverty and intra-city inequality. However, slums do not accommodate all of the urban poor, nor are all slum dwellers always poor.

It is estimated that up to one-third of the World’s urban population lives in slums. The comparatively more rapid growth in the urban areas of developing countries suggests that the problems associated with slum dwelling will worsen in those areas that are already most vulnerable. **More than 70%** of the least developed countries’ (LDCs) and of Sub-Saharan Africa’s urban population lived in slums in 2001 and this is set to increase unless there is substantial intervention. Regardless of the characterization of slums, slum dwellers face higher developmental challenges such as higher morbidity and infant mortality rates than either non-slum dwellers or the rural population.

Although the term ‘slum’ is considered an easily understandable catchall, it disguises the fact that within this and other terms lie a multitude of different settlements and communities. However, slums can be said to divide into two broad classes:

- **Slums of hope:** ‘progressing’ settlements, which are characterized by new, normally self-built structures, usually illegal (e.g. squatters) that are in, or have recently been through, a process of development, consolidation and improvement; and

- **Slums of despair:** ‘declining’ neighborhoods, in which environmental conditions and domestic services are undergoing a process of degeneration.

Slums are now viewed more positively by public decision-makers than in the past. They are increasingly seen as places of opportunity, as ‘slums of hope’ rather than ‘slums of despair’. National approaches to slums have generally shifted from negative policies such as forced eviction, benign neglect and involuntary resettlement, to more positive policies such as self-help and in situ upgrading, enabling and rights-based policies.



### Population living in slums (UN-HABITAT, 2001 estimates)

Major area	Total population (millions)		Total Urban population (millions)		Urban population as % of total population		% urban slum	Urban slum population (millions)
	1990	2001	1990	2001	1990	2001	2001	2001
WORLD	5,255	6,134	2,286	2,923	43.5	47.7	31.6	924
Developed regions	1,148	1,194	846	902	73.7	75.5	6.0	54
Developing regions	4,106	4,940	1,439	2,022	35.0	40.9	43.0	870
Least Developed Countries (LDCs)	515	685	107	179	20.8	26.2	78.2	140

Sources:

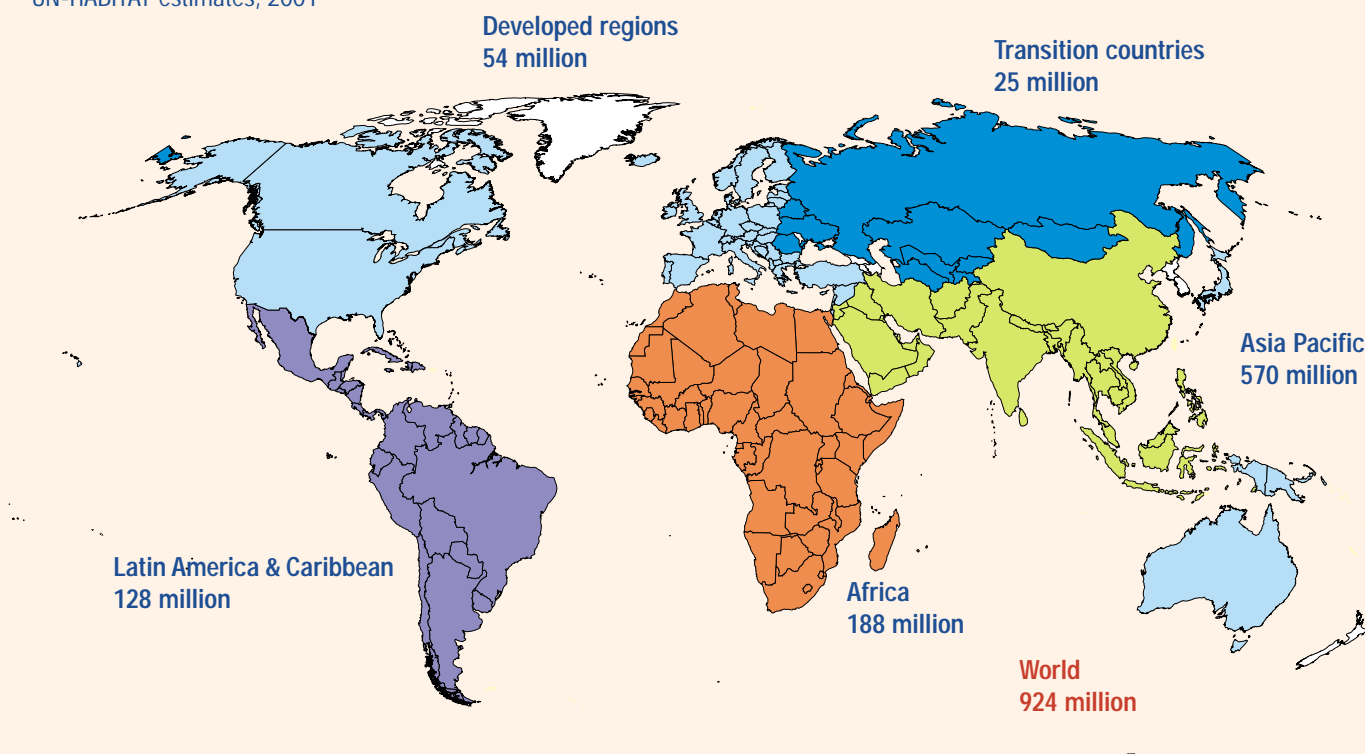
1/ Total and urban population: UN Population Division, *World Urbanization Prospects: The 2001 Revision*, Table A.1;

2/ Slum percentages: DHS (1987-2001); MICS (1995-2000); WHO/UNICEF JMP (1998-1999)

1. United Nations (2002), “World Urbanization Prospects: The 2001 Revision, Data Tables and Highlights”, Population Division, Department of Economic and Social Affairs, United Nations Secretariat, 20 March 2002, ESA/P/WP.173, page 1.

# People living in slums

UN-HABITAT estimates, 2001



## Population living in slums (UN-HABITAT, 2001 estimates)

	Total Urban population (millions)	Urban population as % of total population	Urban slum population (millions)	Slum population as % of total urban population
<b>WORLD</b>	<b>2,923</b>	<b>47.7</b>	<b>924</b>	<b>31.6</b>
<b>Developed regions</b>	<b>902</b>	<b>75.5</b>	<b>54</b>	<b>6.0</b>
Europe	534	73.6	33	6.2
Other	367	78.6	21	5.7
<b>Developing regions</b>	<b>2,022</b>	<b>40.9</b>	<b>870</b>	<b>43.0</b>
Northern Africa	76	52.0	21	28.2
Sub-Saharan Africa	231	34.6	166	71.9
Latin America and the Caribbean	399	75.8	128	31.9
Eastern Asia	533	39.1	194	36.4
Eastern Asia excluding China	61	77.1	16	25.4
South-central Asia	452	30.0	262	58.0
South-eastern Asia	203	38.3	57	28.0
Western Asia	125	64.9	41	33.1
Oceania	2	26.7	0	24.1
<b>Transition countries</b>	<b>259</b>	<b>62.9</b>	<b>25</b>	<b>9.6</b>
Commonwealth of Independent States	181	64.1	19	10.3
Other Europe	77	60.3	6	7.9
<b>Least Developed Countries (LDCs)</b>	<b>179</b>	<b>26.2</b>	<b>140</b>	<b>78.2</b>

Sources:

UN-HABITAT, Global Urban Observatory, 2003. Estimations based on:

1/ Total and urban population: UN Population Division, World Urbanization Prospects: The 2001 Revision, Table A.1;

2/ Slum percentages: DHS (1987-2001); MICS (1995-2000).



## Monitoring Target 11



The United Nations system initially assigned two indicators for Target 11:

- **Indicator 31: Proportion of people with secure tenure;**
- **Indicator 32: Proportion of people with access to improved sanitation.**

However, up to recently, there was no internationally recognized operational definition of slums. Other notions were used instead to document the existence of slums: percentage of population living in informal settlements, the durability, quality and size of housing units, the level of basic services, etc. The same applies for security of tenure, indicator 31.

At its January 2002 meeting in New York, the UN-Inter-Agency Development Group (UNDG) on MDGs expressed concerns that tenure and sanitation did not adequately constitute a complete response to the target of 'improving the lives of 100 million slum dwellers'. UN-HABITAT therefore also proposed to develop a definition and an operational measurement of slum improvement in order to respond more directly to Target 11.

An Expert Group Meeting was held in Nairobi in November 2002 on 'Defining Slums and Secure Tenure'. Experts agreed on the following generic definition of slums:

**A slum is a contiguous settlement where the inhabitants are characterized as having inadequate housing and basic services. A slum is often not recognised and addressed by the public authorities as an integral or equal part of the city.**

The Expert Group Meeting recommended that the adequate monitoring of Target 11 be undertaken through five components, reflecting conditions that characterize slums:

- **Insecure residential status;**
- **Inadequate access to safe water;**
- **Inadequate access to sanitation and other infrastructure;**
- **Poor structural quality of housing;**
- **Overcrowding.**

It was also recommended that a slum index be developed on the basis of the above components through networks of activists, policy makers, scholars and practitioners.

The Expert Group Meeting also agreed on the following definition of secure tenure:

**Secure Tenure is the right of all individuals and groups to effective protection by the State against unlawful evictions.**

*Operational definitions and questionnaires are developed further below.*

### What is a slum household?

A slum household is a group of individuals living under the same roof that lack **one or more** of the conditions listed on the opposite page. According to the situation in the city this can be locally adapted. For example, in cities like Rio de Janeiro where living area is insufficient for both the middle classes and the slum population alike, it could be formulated as two or more of the conditions.



## Improving slums: five key dimensions<sup>2</sup>

### Access to safe water



A household is considered to have access to improved water supply if it has *sufficient amount of water* for family use, at an *affordable price*, available to household members without being *subject to extreme effort*, especially to women and children.

### Access to sanitation



A household is considered to have adequate access to sanitation, if an excreta disposal system, either in the form of a *private toilet* or a *public toilet shared with a reasonable number of people*, is available to household members.

### Secure tenure



Secure Tenure is the right of all individuals and groups to effective protection by the State against forced evictions. People have secure tenure when:

- There is *evidence of documentation* that can be used as proof of secure tenure status;
- There is either *de facto* or *perceived* protection from forced evictions.

### Durability of housing



A house is considered as 'durable' if it is built on a *non-hazardous location* and has a structure *permanent and adequate* enough to protect its inhabitants from the extremes of climatic conditions such as rain, heat, cold, humidity.

### Sufficient living area



A house is considered to provide a sufficient living area for the household members if not more than two people share the same room.

2. As per the recommendations made at the Expert Group Meeting on Urban Indicators held in Nairobi in November 2002 ([http://www.unhabitat.org/programmes/guo/documents/EGM\\_final\\_report\\_4\\_Dec\\_02.pdf](http://www.unhabitat.org/programmes/guo/documents/EGM_final_report_4_Dec_02.pdf))

# Access to safe water



## Significance

Water is one of the great necessities of human life, which is taken for granted in the developed world. A supply of clean water is absolutely necessary for life and health, yet almost 2 billion people lack access to adequate water supply or can only obtain it at high prices. In many cities, households in informal settlements are rarely connected to the network and can only rely on water from vendors at up to 200 times the tap price. Improving access to safe water implies less burden on people, mostly women, to collect water from available sources. It also means reducing the global burden of water-related diseases and the improvement in the quality of life.

## Indicator

**Proportion of households with access to improved water supply.**

## Components

This includes the proportion of households with:

- Direct connection (piped water) to the dwelling or plot
- Access to public stand pipe shared by a maximum of two households
- Access to non-piped water:
  - bore dug well
  - protected spring
  - rain water collection

The water should be **affordable** and at a **sufficient quantity** that is available **without excessive physical effort and time**.

“Not improved” water supply are: unprotected well, unprotected spring, vendor-provided water, bottled water (based on concerns about the quantity of supplied water, not concerns over the water quality), tanker truck-provided water.

## Data sources and methodology

Access to improved water supply is routinely collected by the national and sub-national levels in most countries using censuses and surveys. It is also collected in Multiple Indicators Cluster Surveys (MICS)<sup>3</sup>, Demographic and Health Surveys (DHS), living standard measurement surveys and other surveys.

This indicator requires definitions for several elements:

- **Affordable:** water should not take an undue proportion of the household income, i.e. *less than 10%*;
- **Sufficient quantity:** water should be available at a quantity of *at least 20 liters per person per day*;
- **Without excessive efforts and time:** obtaining water for the households should not take an undue proportion of the household's time (*less than one hour a day* for the minimum sufficient quantity of at least 20 liters per person per day).

These definitions should be adapted to the local contexts.

Definitions, sources and results should be confirmed via focus groups which can include city planners and city managers, experts in the particular area of water supply, selected key informants in slum and non-slum areas, etc.

3. Carried out by UNICEF in several countries worldwide (<http://childinfo.org/MICS2/Gj99306k.htm>).



# Access to sanitation



## Significance

Lack of sanitation is a major public health problem that causes disease, sickness and death. Highly infectious, excreta-related diseases such as cholera still affect whole communities in developing countries. Diarrhoea, which is spread easily in an environment of poor hygiene and inadequate sanitation, kills about 2.2 million people each year, most of them children under five. Inadequate sanitation, through its impact on health and environment, has considerable implications for economic development. People miss days at work due to sickness resulting from excreta-related diseases. Moreover, lack of excreta management poses a fundamental threat to global water resources.

Inadequate sanitation, through its impact on health and environment, has considerable implications for economic development.

## Indicator

**Proportion of households with access to adequate sanitation facilities.**

## Components

This includes the proportion of households with:

- a direct private connection (to the dwelling or plot)
  - to the public sewer
  - to septic system (with sufficient capacity)
- a pour flush latrine, private or shared (not public)
- a ventilated improved pit latrine, private or shared (not public)

Pour flush latrines and ventilated improved pit latrines should be connected to non-clogged sewer systems.

Inadequate sanitation include service or bucket latrines (where excreta are manually removed), public latrines, latrine with an open pit.

## Data sources and methodology

Access to sanitation facilities is routinely collected by the national and sub-national levels in most countries using censuses and surveys. It is also collected in Multiple Indicators Cluster Surveys (MICS)<sup>4</sup>, Demographic and Health Surveys (DHS), living standard measurement surveys and other surveys.

These indicators require **definitions** for several elements:

- **Shared:** the facilities should be shared by a *maximum of two households*;
- **Sufficient capacity:** the septic system should have a sufficient capacity in order not to be clogged.

These definitions should be adapted to the local contexts.

Definitions, sources and results should be confirmed via focus groups which can include city planners and city managers, experts in the particular area of water supply, selected key informants in slum and non-slum areas, etc.

4. Carried out by UNICEF in several countries worldwide (<http://childinfo.org/MICS2/Gj99306k.htm>).

# Secure tenure

## Significance

The objectives of providing legal security of tenure and equal access to land to all people, men and women, are considered key development issues of the slum phenomenon. Objectives include undertaking legislative and administrative reforms to give women full and equal access to economic resources, including the right to inheritance and to ownership of land and other property, credit, natural resources and appropriate technologies.

The granting of secure tenure cannot, in and of itself, solve the problem of homelessness, poverty, unsafe living environments and inadequate housing. However, secure tenure is one of the most essential elements of a successful shelter strategy. It has been shown that insecure tenure:

1. inhibits investment in housing;
2. hinders good governance;
3. undermines long term planning;
4. distorts prices of land and services;
5. reinforces poverty and social exclusion;
6. impacts most negatively on women and children (UNCHS, 1999).

## Indicator

**Proportion of individuals which have secure tenure, i.e. which have:**

1. **evidence of documentation that can be used as proof of secure tenure status;**
2. **either *de facto* or perceived protection from forced evictions.**

## Component Indicator 1

Proportion of urban households **with documents that can be used as evidence of tenure**. This includes households:

- with formal title deeds to both land and residence;
- with formal title deeds to either one of land or residence;
- with enforceable agreements<sup>5</sup> or any document as a proof of a tenure arrangement only;
- with formal rental contracts (tenant households);
- that have customary tenure or irregular occupants, with tax payment documents (property tax, municipality tax, etc.) only;
- with customary tenure or irregular occupants who possess utility bills.

5. Household is given an enforceable agreement by public authorities in cases where the inhabitants do not have a formal title deed, but are protected against eviction for several reasons. Among such reasons are: i) traditional rights to land, customary practices, or ii) the political clout of the illegal occupants. Land which is traditionally owned, without legal documents is generally a rural phenomenon. However, as a result of urban sprawl embracing rural areas, they are managed by public authorities as "urban" land, subject to modern legislation, which may make residents seem "illegal" when, actually they are not. Through individual or organized negotiations the residents can be given documents which protect them from evictions. Another mode in which occupants can get enforceable agreements from public authorities is through civil society movements. In such cases, even though neighborhoods originate from illegal occupation of land, over the years, they can get 'occupancy' rights against being evicted from local authorities.

6. DESA, Statistics Division, Principles and Recommendations for Population and Housing Census (rev. 1), 1998, page 110.



Timurtaş Önen/Tophan Picturepoint/UNEP

## Data sources and methodology

This indicator can be estimated using National Census data on tenure types which are generally the following:

- Member of household **owns** a housing unit
- Member of household **rents** all or part of housing unit
- Member of household rents all or part of housing unit as a **main tenant**
- Member of household rents all or part of housing unit as a **subtenant**
- **Other arrangements**<sup>6</sup>.

Data obtained from the census can be used as a base for estimations. **Other sources** should also be used such as special housing and land studies, studies on homeless and squatters, etc.

An expert group should be formed, including city planners and city managers, selected key informants in slum and non-slum areas, land and housing market specialists, tenure experts, etc. in order to estimate whether the number of households falling in the above census categories can be acknowledged as having or not having sufficient documents in order to qualify to security of tenure. The expert group should first set up the criteria for the local definition of security of tenure, bearing in mind the general definition. i.e. **Secure Tenure is the right of all individuals and groups to effective protection by the State against forced evictions.** All local tenure categories that do not protect effectively against forced eviction should be considered as non secure. Experts should assess which proportion of the reported owners and tenants are likely to have a formal rental agreement or other evidence of tenure which prevent them from being evicted. Specific data obtained on homeless or pavement dwellers should be added to the number of secure households which do not have secure tenure.



## Component Indicator 2

**Evictions:** Proportion of men and women who are evicted from their residence in the past ten years.

### Data sources and methodology

An estimate on the number of persons evicted in the last 10 years provides an indication on the magnitude of the problem. However, it does not indicate the number of persons who lack secure tenure. This information might not be available as official information. It is usually collected through specific studies on the subject. Non-governmental organizations dealing with housing rights issues, including consumer associations, may produce estimates on the number of evicted persons per year.

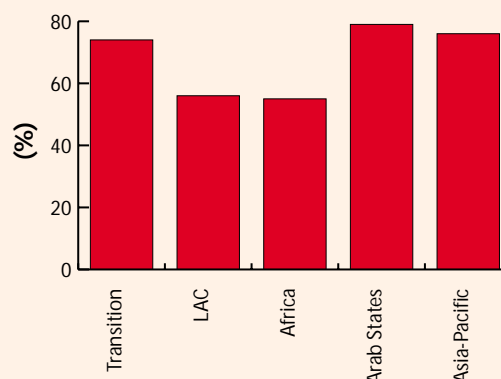
## Component Indicator 3

**Perception of security of tenure:** Proportion of household heads who believe that they will not be evicted from their present residence within the next five years.

### Data sources and methodology

Data for this indicator can be obtained through households surveys asking several questions about the perception that individuals have about their own tenure security.

## Evictions

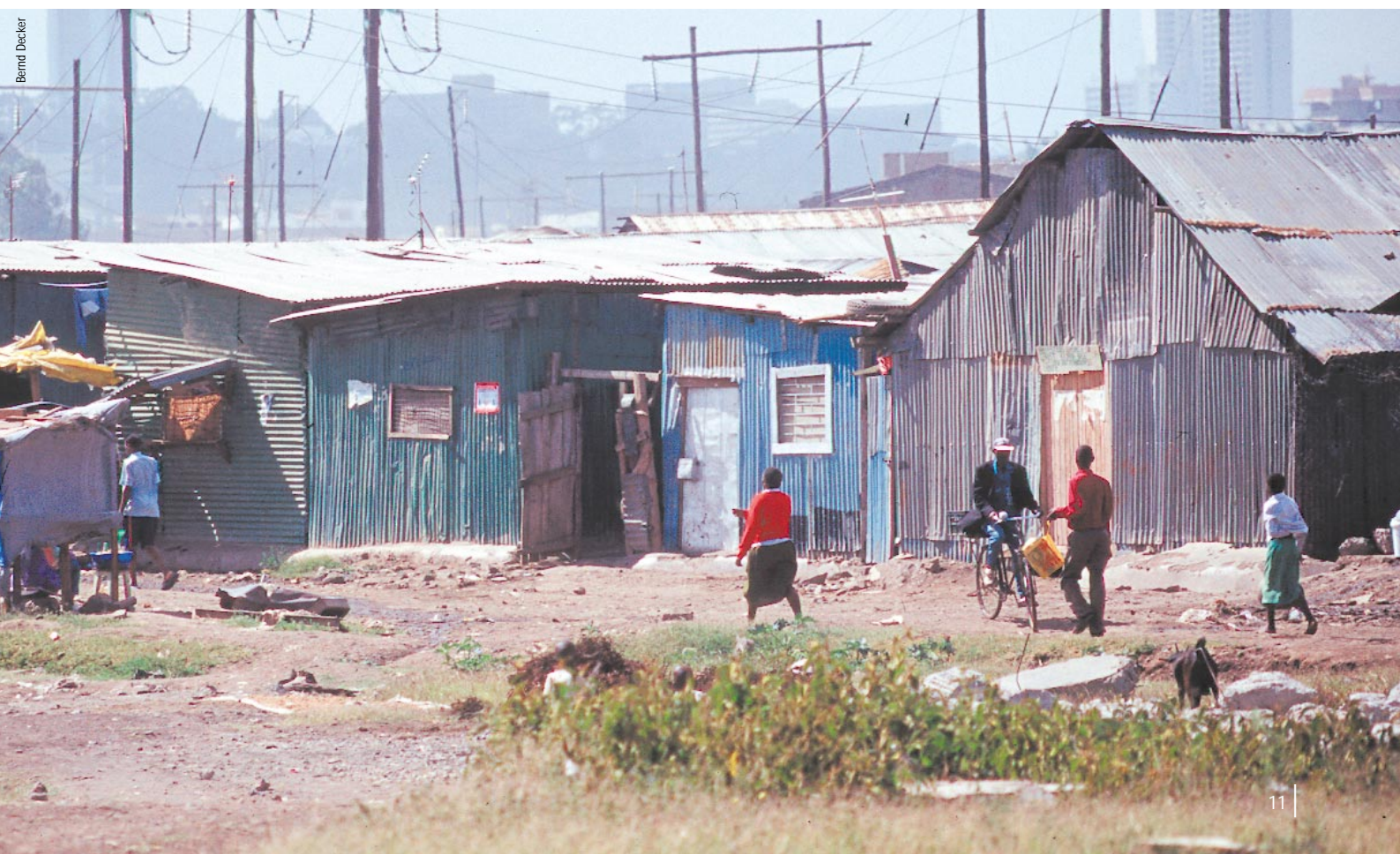


*Proportion of countries with constitutions or national laws that include protections against evictions*

*Source: UN-HABITAT, Global Urban Indicators database 1998*

Household survey questions may include:

- If there is a political change (country/city) do you think your documents proving secure tenure status will still be protecting you from eviction? Yes/ No
- Do you think that there is a possibility that you could be evicted from this dwelling without due legal process? Yes/ No
- If yes, by whom? By my spouse / By other family members / By the public authorities / By my landlord.





# Durability of housing



## Significance

Generally, a housing structure is considered durable when certain strong building materials are used for roof, walls and floor. Even though some houses may be built with materials classified as durable, the dwellers may still not enjoy adequate protection against weather and climate due to the overall state of a dwelling. Alternatively, a material may not look durable, in the modern sense, but is, in the traditional sense, when combined with skills of repair. Such cases are vernacular housing made of natural materials in villages, maintained by its residents annually.

Durability of building materials is to a very large extent subject to local conditions as well as to local construction and maintenance traditions and skills. Which materials are considered durable under local conditions has to be determined by local experts. This is also true for the common problem that dwellings in the semi-urban outskirts of cities of developing countries often follow rural construction patterns by using materials, which can be considered non-durable under urban conditions. In addition, compliance with local regulations and the quality of the location form part of the definition. These two indicators cannot be easily observed as they require specific knowledge about the legal condition and the land use plan as well as skills to determine hazardous areas.

## Indicator

**Proportion of households which live in a house considered as 'durable', i.e. built on a non-hazardous location and has a structure permanent and adequate enough to protect its inhabitants from the extremes of climatic conditions such as rain, heat, cold, humidity.**

## Data sources and methodology

This indicator can be estimated using National Census data on the quality of housing units. Data obtained from the census can be used as a base for estimations. An expert group should be formed, including city planners and city managers, selected key informants in slum and non-slum areas, etc. in order to estimate the number of households living in precarious housing.

The following **locations** should be considered as hazardous:

- Housing settled in geologically hazardous zones (landslide/earthquake and flood areas);
- Housing settled on garbage-mountains;
- Housing around high-industrial pollution areas;
- Housing around other high-risk zones, e.g. railroads, airports, energy transmission lines.

The following **durability** factors should be considered when categorizing housing units:

- Quality of construction (e.g. materials used for wall, floor and roof);
- Compliance with local building codes, standards and bye-laws.



# Sufficient living area

## Significance

This is a key indicator measuring the adequacy of the basic human need for shelter. Reduced space per person is often associated with certain categories of health risks and therefore considered as a key criteria to define the slum.

Overcrowding is associated with a low number of square meters per person, high occupancy rates - number of persons sharing one room - and a high number of single room units. Examples of slums worldwide show that dwelling units are often overcrowded with five and more persons sharing a one-room unit used for cooking, sleeping, and other households activities. Several local definitions of slums include minimum thresholds concerning the size of the area, the number of structures in a settlement cluster, the number of households or people or the density of dwellings units in an area. Examples are the municipal slum definition of Kolkata with a minimum of 700 sq. m. occupied by huts, Bangkok with a minimum of 15 dwelling units per rai (1600 sq. m.) or the Indian Census definition with at least 300 people or 60 households living in a settlement cluster.

## Indicator

**Proportion of households with three persons or more per room.**

## Data sources and methodology

This indicator can be estimated using National Census data on the number of persons per room.

A room is defined as a space in a housing unit or other living quarters enclosed by walls reaching the floor to the ceiling or roof covering, or to a height of at least two meters, of an area large enough to hold a bed for an adult, that is at least four square meters. The total number of types of rooms therefore includes bedrooms, dining rooms, living rooms, studies, habitable attics, servants room, kitchen and other separate spaces intended for dwelling purposes<sup>7</sup>.



Photo by Thierry Geenen for the Nairobi River Basin Project, UNEP

7. DESA, Statistics Division, Principles and Recommendations for Population and Housing Census (rev. 1), 1998, page 106.

## Reporting on MDG Target 11

1. Establish Working Group for Target 11	⇒	National Government National Statistics Office Local Government Research groups Private sector NGOs CBOs
2. Assess availability of data	⇒	
3. Agree on definitions/concepts	⇒	Official statistics Projects data Estimates Maps
4. Add locally-relevant indicators	⇒	
5. Collect Target 11 data Collect secondary data Carry out new surveys if needed Update Census and current households surveys questionnaires	⇒	Official statistics Projects data Estimates Maps
6. Analyse data	⇒	
7. Prepare preliminary report	⇒	National Report on Slums (Target 11)
8. Disseminate report to Working Group	⇒	
9. Review and agree on results	⇒	
10. Official reporting and dissemination	⇒	National & local partners (Target 11)
	⇒	UN-HABITAT      UNDP
	⇒	UNSD      Others



## What should reports include?

Reports should include a national estimation of progress made in improving the lives of slum dwellers for:

- urban areas in the country;
- selected representative cities;
- if possible, for men and women, as this will show how both benefit from progress if any.

Estimates can include:

**1) Data obtained from secondary sources** (Census data, Household survey data, Project related data, etc.) which can show progress towards achieving the goal:

- Using the key indicators proposed by UN-HABITAT in this guide;
- Using additional indicators, which can complement UN-HABITAT criteria for measuring slum conditions.

**2) Data obtained from primary sources** through new households surveys which can show progress towards achieving the goal:

- Using the component indicators and methodology proposed by UN-HABITAT in this guide;
- Using additional indicators and questions that can complement UN-HABITAT criteria for measuring slum conditions.

**3) Number of men and women that have seen their lives improved through slum-upgrading projects, environmental projects and poverty-reduction projects**

- This can be estimated through a review of projects carried out nationally and in cities, whereby targeted population have been reached and tangible results made. In some cities, huge projects can benefit several thousands households. This should be reported as a progress towards the Millennium Development Goal, Target 11 on Slums.

**4) Trends and Projections which set the possible scenarios for the future.**

### Reporting Target 11 Data

It is advised to use the five key dimensions that define the slum (page 7) and the selected key indicators (described on pages 8-13), in order to report. Reporting should be made from a base line year as available and on an annual basis. A national target should also be established for the year 2020, considering that the global target is to improve the lives of 100 million slum dwellers by the year 2020.

Key dimension/ indicator	Base line (year)	2000	2001	2002	...	...	...	...	Target (2020)
<b>Access to water</b>									
Indicator 1									
Indicator 2									
Etc.									
<b>Access to sanitation</b>									
Indicator 1									
Indicator 2									
Etc.									
<b>Secure tenure</b>									
Indicator 1									
Indicator 2									
Etc.									
<b>Durable housing</b>									
Indicator 1									
Indicator 2									
Etc.									
<b>Overcrowding</b>									
Indicator 1									
Indicator 2									
Etc.									

Key dimension/ indicator	Base line (year)	2000	2001	2002	...	...	...	...	Target (2020)
SLUM DWELLERS									

For more information, contact:

The Global Urban Observatory  
**Better Information for Better Cities**

UN-HABITAT  
P.O. Box 30030, Nairobi, KENYA  
Tel: (254-20) 623119, Fax: (254-20) 623080  
E-mail: [guo@unhabitat.org](mailto:guo@unhabitat.org)  
Website: [www.unhabitat.org/guo](http://www.unhabitat.org/guo)



UN-HABITAT