

Dissertation

(Re)thinking housing provision by local governments for Informal Settler Families in Metro Cebu, Philippines

**A dissertation submitted in partial fulfilment of the requirements for
the MSc Urban Development Planning**

10962words

Yuka Aota

MSc Urban Development Planning

Supervisor: Dr. Catalina Ortiz Arciniegas

Candidate number: FYMP3

The Bartlett Development Planning Unit, University College London

19 September 2020

Abstract

As the United Cities and Local Governments (UCLG) promotes ‘right to adequate housing’ as a human right, government-led housing provision is expected to co-produce innovative solutions through public-private people partnerships and integrate urban planning and adequate housing with neighbourhoods. Whilst decentralisation transferred the central tasks to lower government levels, the national government formulates most housing initiatives in the Philippines. Local Government Units are sandwiched between the state-led housing programme and producing the outcomes under insufficient coordination. Highlighting co-production led by grassroots organisations showcases community-centred development explore planning. Rethinking about housing provision through the lenses of community-led practices will enable local governments to explore a new way of supporting Informal Settler Families (ISFs) by engaging with urban actors. This paper examines how local governments in the Philippines can foster a community centred-development approach to housing provision for ISFs.

Keywords: Slum upgrading, Informal Settler Families, Co-production, Public Private People Partnerships, Local government, Philippines, Metro Cebu, Mandaue, Homeless People's Federation Philippines, Inc., United Cities and Local Governments

Acknowledgement

My sincere gratitude goes first to my supervisor, Dr. Catalina Ortiz Arciniegas, who gave me advice during her busy time for working on many tasks including leading academic coursework and her research with international organisations.

I would like to convey my deepest appreciation to people at the University College London (UCL), especially professors in MSc Urban Development Planning: Prof. Caren Levy; Dr. Barbara Lipietz; Ms. Ruth McLeod; Dr. Jordana Ramalho; Dr. Daniel Oviedo Hernandez; Dr. Jorge Fiori; Dr. Harshavardhan Jatkar and teaching assistants, Tim and Gabriela. Their insights and enthusiastic, supportive attitudes lit up my mind, and they encouraged me to keep studying during the entire programme including the time after the COVID-19 pandemic announcement.

I am extremely thankful to Ms. Sonia Cadornigara and Mr. Leopoldo Chavez from the Homeless People's Federation Philippines, Inc. and Ms. Sarah Ansari from the Bartlett DPU alumni for accepting my interviews by email and sharing fruitful information.

Also, it was a great honour for me as a Japanese civil servant to join the fellowship with the United Cities and Local Governments (UCLG). I appreciate all the warm support from Ms. Amanda Flety and Mr. Jaume Puigpinós.

Thank you very much for this opportunity to study with lovely friends at UCL. Finally, my dream which I thought impossible for a long time will come true.

Fellowship with UCLG: Local governments' implementation of the "Cities for housing" declaration

A focus on anti-eviction and slum upgrading strategies linked to the axis 3 and 4 that concern with tools to co-produce public-private community-driven alternative housing and urban planning tools that combines adequate housing with quality, inclusive and sustainable neighbourhoods.

Table of Contents

Abbreviation

List of Figures

List of Table

1. Introduction	1
2. Literature Review	4
2.1 Social Justice and Housing Provision.....	4
2.2 Evolving Urban Planning Frameworks: Insurgent Planning, Collaborative Planning, and Co-production.....	6
2.3 Public-Private-People Partnerships (4Ps).....	10
3. Methodology (Analytical framework)	11
3.1 Methodology.....	11
3.2 Case Selection (Philippines).....	12
3.3 Analytical Framework	13
3.3.1 A Method-based Planning Framework for Informal Settlement	13
3.3.2 Analytical framework for 4Ps.....	15
3.3.3 Analytical Framework for Answering the Research Question	19
4. Case Study Analysis	21
4.1 Social Justice and Land Regulations in the Philippines	21
4.2 Housing Provision for ISFs and Low-income People	22
4.3 Public Private Partnerships and the Missing P	23
4.4 Overview of Metro Cebu.....	24
4.5 Community-led Planning Case for Adequate Housing in Mandaue City	25
4.5.1 Philippine Alliance	26

4.5.2 ISFs on Donated 9.2ha in Mandaue.....	30
4.6 Key Findings.....	32
5. Conclusion and Recommendations	35
5.1 Conclusion.....	35
5.2 Recommendations to Local Governments.....	36
Bibliography	38
Appendices	47

Abbreviation

ACCA	Asian Coalition for Community Action
ACHR	Asian Coalition for Housing Right
CMP	Community Mortgage Programme
CoRe-ACS	Community Resources for the Advancement of Capable Societies
CSR	Corporate Social Responsibility
HPFPI	Philippines Homeless People's Federation, Inc.
ISFs	Informal Settler Families
KSAs	Key Shelter Agencies of the Philippines (Housing and Urban Development Coordinating Council (HUDCC), Home Guaranty Corporation, National Housing Authority (NHA), Social Housing Finance Corporation (SHFCPH), Home Development Mutual Fund (PAG-IBIG Fund), Housing and Land Use Regulatory Board (HLURB), National Home Mortgage Finance Corporation (NHMFC))
LGC	Local Government Code
LGUs	Local Government Units
NGAs	National Government Agencies
NGOs	Non-Governmental Organisations
PACSHI	Philippine Action for Community-led Shelter Initiative, Inc.
PPPs	Public Private Partnerships
PPPPs or 4Ps	Public Private People Partnerships
RDC	Regional Development Council
SDI	Shack/Slum Dwellers International
TAMPEI	Technical Assistance Movement for People and Environment Inc.
UCLG	United Cities and Local Governments
UN	United Nations
UPDF	Urban Poor Development Fund

List of Figures

Figure 1. Map of Metro Cebu by Rochure, 2007.

Rochure (2007) *Map of Metro Cebu*, digital image, viewed 6 September 2020. Available at: <https://commons.wikimedia.org/wiki/File:Metro-Cebu-Map.png>.

Figure 2. Informal and Formal Housing Development Processes by McLeod, 2020.

McLeod, R. (2020) 'DEVP0009 Housing Policies and alternative options', PowerPoint presentation, Lecture "Financing Housing, Infrastructure & Settlement Upgrading" at the Bartlett DPU, UCL, 7 February 2020.

Figure 3. Framework showing the characteristics of successful 4Ps in the city resilience-building process by Marana *et al.*, 2018.

Marana, P., Labaka, L. and Sarriegi, J.M. (2018) 'A framework for public-private-people partnerships in the city resilience-building process', digital image, *Safety science*, 110, pp.44. doi: 10.1016/j.ssci.2017.12.011.

Figure 4. Analytical framework for chapter four based on Table 1 and Figure 3 by Author, 2020.

Arenas, V. (2020) *Icon of slums from the Noun Project*, digital image in Figure 4, viewed 6 September 2020, Available at: <https://thenounproject.com/term/slums/172491/>.

Figure 5. Philippine Alliance by Author, 2020.

Figure 6. Philippine Alliance's city-wide community-driven data collection activities by GLTN, 2019.

GLTN (2019) *Citywide community-driven data collection activities by Philippine Alliance*, digital image, viewed 6 September 2020. Available at: <https://twitter.com/gltntdm/status/1111148691417718784/photo/2>.

Figure 7. Step for community mapping activities by Lipietz & Ortiz, 2016.

Lipietz, B. and Ortiz, C. (eds.) (2016). *Grounded Planning. People-Centred Urban Development Practices in the Philippines*. Available at:

<https://www.ucl.ac.uk/bartlett/development/files/grounded-planning-people-centred-urban-development-practices-philippines>. (Accessed: 3 September 2020).

Figure 8. LTHAI after the fire by ACHR, 2011.

ACHR (2011) *LTHAI after the fire*, digital image, viewed 6 September 2020. Available at:

http://www.achr.net/upload/downloads/file_13022014151358.pdf.

Figure 9. Community-designed and community-built houses in LTHAI by ACHR, 2011.

ACHR (2011) *Community-designed and community-built houses in LTHAI*, digital image, viewed 6 September 2020. Available at:

http://www.achr.net/upload/downloads/file_13022014151358.pdf.

List of Table

Table 1. A method-based planning framework for informal settlement upgrading by Abbott, 2002.

Abbott, J. (2002) 'A method-based planning framework for informal settlement upgrading', *Habitat International*, 26(3), pp. 317–333. doi: 10.1016/S0197-3975(01)00050-9.

(Re)thinking housing provision by local governments for Informal Settler Families in Metro Cebu, Philippines

1. Introduction

After the COVID-19 world pandemic was announced on 13 March 2020, slums became more financially and physically vulnerable due to population density, insufficient basic services (Wilkinson, 2020) and losing jobs by lockdown regulations. According to the UN-Habitat (2016), around a billion people live in slum conditions, and access to affordable and adequate housing with basic services is one of the urgent issues for slum dwellers. Some academic literature has argued that a lack of local governments' capacities has led to urban development failures and created inequalities in which planning was influenced by neoliberalism and globalisation. However, local governments face challenges such as decentralisation, which transfers more responsibilities from the national to lower government levels without enough supports. The United Cities and Local Governments (UCLG), a global network of local governments and cities created the joint declaration 'Cities for Adequate Housing: Municipal Declaration for the Right to Housing and the Right to the City' in 2018¹. In order to achieve 'Axis 3. More tools to co-produce alternative public-private and community-driven housing solutions' and 'Axis 4. Urban planning that combines adequate housing with quality, inclusive and sustainable neighbourhoods', this dissertation will explore how local governments in the Philippines can foster a community centred-development approach to housing provision for Informal Settler Families (ISFs). The case merits analysis because the country aims to adopt a community-driven development approach in shelter provision (NEDA, 2017) and has community-led practices for obtaining lands and housing in collaboration

¹ The Mayor of Barcelona, who was a co-president of UCLG, presented the 'Cities for Adequate Housing' declaration. The document was signed by major cities such as Amsterdam, Barcelona, Berlin, Durban, Lisbon, London, Mexico DF, Montreal, Montevideo, New York, Paris and Seoul, and supported by various organisations and individuals linked to the right to housing.

with grassroots organisations and Local Government Units (LGUs). Additionally, it was awarded first place in most of the stages in Public Private Partnerships (PPPs) in East and Pacific regions in 2017 (WB, 2018).

The Philippines contains 7,107 islands where 5.4% of the urban population of about 2.2 million people live in informal settlements or housing inadequacies due to rapid urbanisation (WB, 2017). Responding to the housing demands, the Philippine government launched programmes focusing on public housing in the 1970s, slum upgrading and joint ventures in the 1980s, security of tenure, and privatised housing in the 1990s and promoted a participatory approach by decentralisation (Ballesteros, 2002). However, governments feel it challenging to produce affordable housing projects with private sector in the enabling market. Whilst the central government made most housing initiatives, LGUs struggle to deliver affordable housing to the urban poor because of the complexity of land use regulations and overlap with Key Shelter Agencies (KSAs) schemes. At the grassroots level, some organisations such as Philippines Homeless People's Federation, Inc. (HPFPI), promote community-centred development for slum upgrading. The HPFPI's branch office is located in Mandaue City in Metro Cebu (Figure 1). Most ISFs are unable to obtain banking loans without a certificate for land tenure and identification and as well as threatened by development projects including Mega Cebu Roadmaps 2050 (JICA, 2015) that may result in their evictions. The Philippine Alliance led by the HPFPI,

supported two community groups on 9.2 hectares of donated land in Mandaue to strategically conduct extensive, on-site upgrading projects, with the support of loans from several funds (ACHR, 2011). Regardless of the supports, ISFs struggle to receive government information, financial assistance, and training to manage their shelter projects (Yu & Karaos, 2004).

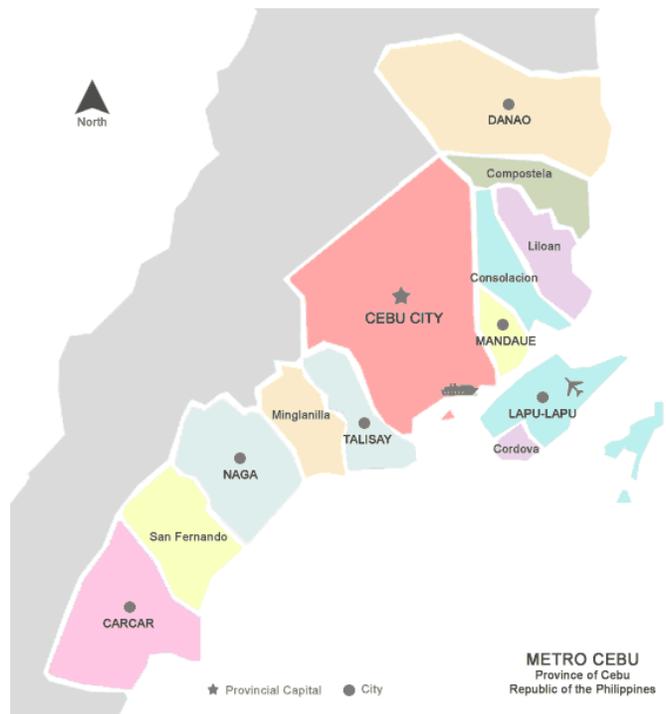


Figure 1: Map of Metro Cebu by Rochure, 2007.

I argue that it is pivotal to explore planning methods and identify the essential elements for supporting community-centred development. Co-production driven by poor communities and grassroots organisations illustrates the form of engagement in planning issues and innovative and potentially positive process of state-society engagement (Watson, 2014). Contrary to theoretical expectations in Abbott's framework (2002) that local governments can support four levels of slum upgrading process by taking different roles, my dissertation shows that understanding of community-centred development practices with grassroots organisations will allow local governments to support ISFs' right to housing in collaboration with different stakeholders based on 4Ps (Marana *et al.*, 2018). It extends current scholarship on co-production by adding collaborative planning and insurgent planning variables to the analysis as planning in practice is often formed with several planning theories.

Whilst the Philippine constitution includes reference to social justice, the planning practices appear to lack sufficient nuance to consider all critical components of social justice that scholarship has articulated: redistribution, recognition, and parity of participation (Fraser, 1998). Governments encourage participatory governance; however, elites could manipulate the process. Collaborative planning (Healey, 2003) creates the institutional form to have a discourse with participants in society, on the other hand, hierarchies and power (Foucault, 1977) oppress marginalised people's voices in the discussion and create antagonism. So, insurgent planning (Miraftab, 2009) attempts to intervene in the formal system influenced by neoliberalism, through community social activism. Developing new ways of planning through co-production challenges planners and formal planning systems, on the other hand grassroots organisations seek the point of the co-productive relationship with governments (Watson, 2014). In order to reflect needs from ISFs on housing projects through PPPs, successful 4P's criteria (Marana *et al.*, 2018) could enhance partnerships with people having different interests.

This paper consists of five sections, including the Introduction. Chapter Two will explore social justice related to the right to housing, three types of postmodern planning (insurgent planning, collaborative planning, and co-production) and 4Ps. These concepts will provide the lenses to look at community-centred development for addressing housing provision to ISFs. Chapter Three will introduce the framework for method-based planning for informal settlement upgrading

(Abbott, 2002) to analyse co-production practices in Mandaue, Metro Cebu and 4Ps in building up resilient cities (Marana *et al.*, 2018). Chapter Four will describe the supporting schemes for ISFs and low-income people to access lands and housing provision with private sector (PPPs and the missing P (People)). Unpacking the case with the analytical frameworks will provide key findings to answer the research question (Lipietz & Ortiz, 2016). Lastly, in Chapter Five, recommendations will be proposed for how local governments can reinforce the partnership among urban actors to realise ISFs' right to housing by promoting co-production and 4Ps. Once local governments become facilitators to raise awareness and understand the process of development with expertise (Kaplan, 1996), co-production initiated by poor communities can cultivate a new path in formal systems towards the right to housing.

2. Literature Review

2.1 Social Justice and Housing Provision

Globalisation and neoliberalism influenced policies and plans and generated enabling markets and more inequalities. Globalisation is described as an ideological construction and a convenient myth that helps to justify and legitimise the neo-liberal global project (Harvey, 2005). It encourages the state to open the domestic market to other countries by promoting privatisation and deregulation (Hirst & Thompson, 2002), therefore, articulates the flows of capital, labour, commodities, and traveller. Globalisation or global neoliberalism created inequality of wages. Neoliberalism has been defined as networks of policy ideologies, values, and rationalities that work together to achieve the capital's hegemonic power (Brown, 2003) in social-economic context. It required both politically and economically constructing a neoliberal market-based populism (Harvey, 2005, p. 42), and has a significant impact on planning and housing systems, including law, policy, and especially housing rights (Kenna, 2008). That enabled global developers to intervene in real estate markets. Neoliberal schemes of governance and the financialisation of housing are deepening injustices.

Based on UCLG's report (2019), low-income families cannot obtain affordable and decent housing due to a lack of available housing finance products and exclusionary prerequisites for obtaining a mortgage. Although most housing affordability indicators are designed on the ratio between prices and income, housing prices have risen faster than incomes in many cities.

Gentrification assists in increasing the rent and land prices and disrupts communities and neighbourhoods in both Global South and North. Buying, building, or renting accommodation in informal markets is the most affordable housing for low-income people. In informal markets, affordable housing is often located in the periphery of the city, which makes it challenging to access socio-economic activities. Most informal settlers are in danger of evictions due to political change, a high land value, and illegality.

'Right to housing' is linked to Henri Lefèbvre's "right to the city" which raised the question of the owner of the city in the context of access to employment, culture, education, adequate housing, security and participation in governance (Fainstein, 2005, p.126). Access to justice for the right to housing was discussed in the 40th session of the UN Human Rights Council in March 2019. It was stated that most countries' constitutions include the right to housing, and courts recognised the right to housing as a component of other rights such as 'right to life'². A shift towards social justice could be more focused if the right to housing could be transformed into a recognised human right, which would offer measurable and concrete standards (UN-OHCHR, 2020a). As access to justice is still limited (UN-OHCHR, 2019), the UN's Special Rapporteur on the right to adequate housing stated that it should not only focus on courts but also analyse administrative procedures and accessible, community-based, informal mechanisms. Local participatory practices are recognised as one of the models for access to justice.

Social justice was defined by Harvey (1973) as a dimension of both outcome and process. Fainstein (2005, p.128) called it a sensitivity towards process co-constituting with substance and discourse. According to Fraser (1998), social justice must include parity of participation in which participants in society interact with each other, which allows governments to distribute material resources and ensures equal respect among participants through redistribution and recognition. The process of producing outcomes through participatory planning is vital for securing socially just planning outcomes. Whilst social justice and rationality have the potential to overcome the challenges to integrate common public interest with diversity (Harvey, 2001; Campbell & Fainstein,

² The 'right to life' in Article Six of the International Covenant on Civil and Political Rights refers to the inherent right of every person to life by adding that the right 'shall be protected by law' and that 'no one shall be arbitrarily deprived of life' (UN-OHCHR, 2020b).

2003), neoliberalism produces the injustices of distribution, poverty, and inequality (Morvaridi, 2008). Power hierarchies that emerge by political wills focusing on economic growth appear to ignore voices from people who cannot directly work in the legitimatised planning process, such as citizens and informal settlers.

The decentralisation of states has also shifted grassroots struggles to burdening local governments. To prevent market-driven planning, planning practices often praise inclusive planning through citizens' participation (Miraftab, 2009). The following section will examine insurgent planning, collaborative planning and co-production to identify which planning components are essential for local governments to support the right to the housing for ISFs.

2.2 Evolving Urban Planning Frameworks: Insurgent Planning, Collaborative Planning, and Co-production

Planning is the ideology of how we define and use space, and local governments use urban planning variously as a tool to build mixed, compact, and polycentric cities (Gunder, 2010). Urban planning contributes to the social, economic and environmental sustainability of the urban fabric, which needs mixed uses in neighbourhoods to avoid urban sprawl and dependence on a market-driven approach (UCLG, 2019). National funding, market deregulation, and housing commodification need improvements to realise the right to housing. Tackling speculation and power over the real estate market, local governments are encouraged to co-produce mixed solutions by combining social fabric and people's knowledge and exploring options (UCLG, 2019).

Insurgent planning practices recognise the importance of counter-hegemonic movements, by choosing their ways of constituting their collectives and participation (Gills, 2001). To promote social transformation, it disrupts attempts of neoliberal governance to stabilise oppressive relationships through inclusion (Miraftab, 2009). Grassroots groups take their collective actions based on social capital, embracing, 'culture, consciousness, community and placeness' (Sandercock, 1999, p.176), and empower their members to address unequal relations and distributions of power, opportunities and resources. Insurgent planning tries to transcend 'dichotomies by public actions spanning formal or informal political arenas and invited or invented spaces of citizenship practice' (Miraftab, 2009).

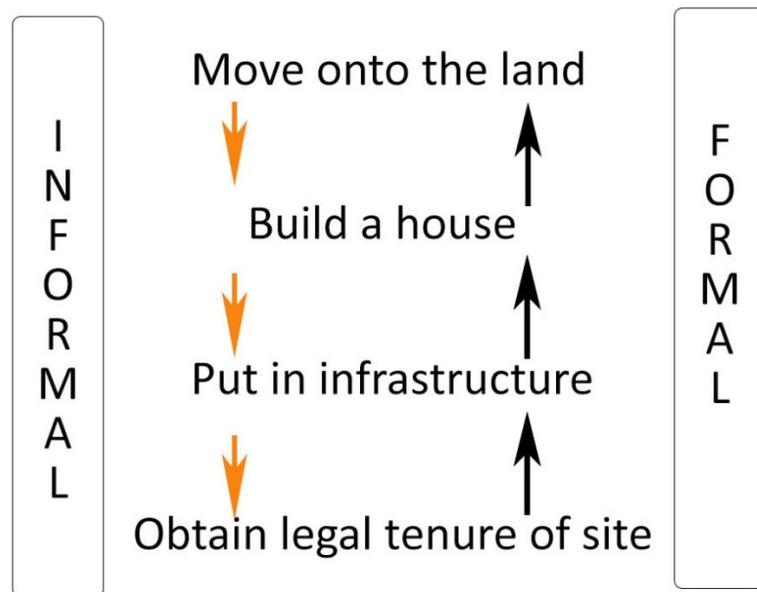


Figure 2: Informal and Formal Housing Development Processes by McLeod, 2020.

However, ‘bottom-up’ focus kept resisting and reworking ‘top-down’ policies (ibid.). As Figure 2 (McLeod, 2020) shows, most slum dwellers develop their homes on informal sites, which occurs the opposite way to the formal system. Historicised consciousness in insurgent planning needs recognition from laws and regulations in formal systems to realise inhabitants’ needs.

Collaborative and communicative planning purport to be interactive processes of community-focused, participatory governance, ideally predicated on social justice and consensual community agreement, intending to enhance the qualities of space and territories (Healey, 2003). It was launched in the mid-1980s, and Thatcherism (effectively, neoliberalism) utilised it for stakeholder engagement in planning, which evolved complex relations among planning intervention, land, property development process and distributive outcomes (Healey, 1991). Hillier (2007) pointed out that these types of planning practices can emerge agonism (Mouff, 2000), conflicts and power relations against domination (Foucault, 1988), and preoccupation with the

decision-making process at the expense of spatial process and outcomes (Huxley & Yiftachel, 2000). Discussions can be manipulated by governments, and political wills with language.

The term ‘co-production’, including service and knowledge, is used in various contexts and had transitions from state-initiated interpretations to social movement-initiated co-production. In earlier, Ostrom’s definition, it was framed as, “a process through which inputs from individuals who are not ‘in’ the same organisation are transformed into goods and services” (1996, p.1073), and Joshi and Moore (2004) interpreted it as ‘institutionalised co-production’ to service delivery. Power hierarchy remains biased in favour of the state, and lay people act as instigators of the relationships. Later, Bebbington *et al.* (2010, p1306) identified co-production as ‘a process of mobilisation’, which sustained across time and space, rather than a specific institution that influences the policy and enhances the state’s engagements at a more fundamental level. Social movements such as collective action, protest, and network will connect actors in the process and bring shifts with the political, economic, and social systems. In the late 2000s, the term ‘co-production’ started to focus on formulating state-society engagement in the Global South, and grassroots organisations such as NGOs often belong to social movements (Mitlin, 2008). Watson (2014) suggested that planning practice developed in the Global North, such as collaborative planning, should now take a ‘view from the South (2009)’. That raised awareness of the complexities of the underlying challenges and contexts and defined the importance of co-production.

State-society engagement on urban planning issues is usually discussed in collaborative and communicative planning. However, Watson (2014) identified several differences in those planning from co-production. Firstly, co-production initiated by social movements often works outside governmental regulations and procedures, as the formal system does not have the channel that satisfies the grassroots’ demands. Secondly, it does not request discussions to shape plans without concerning delivery process and subsequent management. It focuses on producing physical outcomes such as experiential learning, rather than focusing on dialogues. Thirdly, whilst collaborative planning has power in the deliberative planning process, bottom-up co-production acknowledges the conflicts, issues and power struggles within a community, and the relationship as a different form of engagement with the state (Robins *et al.*, 2008). Lastly, grassroots organisations can access networks to scale up from the local to the global level. Although power relations need

consideration, co-production has a high potential to provide a new formal system path. Co-production ideas inspire planning theory and practice to think about how planning might need to operate differently in a changing world (Watson, 2014).

Mitlin (2008) described the form of co-production led by global NGO federations such as Shack/Slum Dwellers International (SDI). The SDI is a global network established in 1996, which supports community-based organisations for the urban poor and engages with governments and international organisations regarding urban issues related to land, shelter and basic services (SDI, 2020). That enabled individual members and their associations to secure effective relations with state institutions and address immediate basic needs (Mitlin, 2008, p. 339). The SDI uses a non-confrontational nature of the process and allows women's participation and better opportunities to secure political gains (Watson, 2014).

Regarding one of the co-production cases by another organisation, the ACHR conducted city-wide slum upgrading named the Asian Coalition for Community Action (ACCA) Programme. The programme helped ISFs in 150 cities in 15 Asian countries to improve their settlement from 2009 to 2012 with local grassroots organisations. It triggered to create a new financial mechanism called the City Development Fund set up for joint funding projects on a larger scale of urban development. Poor communities received support on settlement self-enumeration, and mapping, co-learning, community-saving schemes. They could build relationships with governments to improve the informal settlements. Importantly, the self-enumeration movement articulates power and knowledge in practices that the state makes society visible and ends up creating new social collective forms by acknowledging the capability of the communities (Chatterji & Mehta, 2007). The ACHR and the SDI work as facilitators to share knowledge and supports rather than being technical professionals. Although co-production initiated by social movement gives challenges to planners and planning systems, NGOs take control of all steps in the 'value chain' and decide at what points a co-productive relationship with the state would be appropriated (Watson, 2014).

Albrechts (2013) stated that co-production might be a useful frame for the public sector to develop a more radical approach to strategic spatial planning, which needs a fundamental shift in power balance. Although radical approaches to social change such as insurgent planning may cause undesirable social exclusion (Watson, 2014), communities and grassroots organisations can propose

intervention to formal systems based on their social capital by time and space. To make a bridge between formal and informal systems, co-production should be tailored with formal, institutionalised systems, borrowing from collaborative planning practice. To foster community-centred development for housing provision to ISFs, local governments need to maintain the process by engaging with stakeholders.

2.3 Public-Private-People Partnerships (4Ps)

Engagements with the public sector, private sector and people living in the city are pivotal to co-produce assistance in the right to housing for ISFs. PPPs refer to a tool where private and public sectors agree to share responsibilities, risks and rewards in the funding, construction, and project management, programmes, or services to benefit themselves and the larger society (Irazábal, 2016). PPPs can assist in providing affordable housing when the private sector can fully engage with the project, and design, building and procurement models are maintained (UN-Habitat, 2011). However, affordable housing projects often do not meet low-income families' targets to buy homes in developing countries, including the Philippines (Trangkanont & Charoenngam, 2014). Thus, the PPPs' use in housing are more limited because housing receives no increased revenues from components such as utilities and infrastructure projects associated with volume (Phang, 2013).

PPPs became a form of privatisation under neoliberal policies of decentralisation and weak governments, especially local governments, which cannot lead the partnership process and guide the outcomes due to insufficient resources and capacity (Miraftab, 2004). Communities become the most vulnerable actors in PPPs, and most of them are excluded from the process, outcomes, and development (Irazábal, 2016). Irazábal (2016) believes that social housing programme through 4Ps is possible, when the actors' willingness to collaborate in aims larger than their own self-interest. However, Miraftab (2004) stated that equitable, horizontal power relations amongst participants are impossible unless any discrepancies in their socio-institutional capacities are recognised and addressed. 4Ps, which are the partnerships among public and private sectors and the people, request that governments create processes that lead participants to understand each other, especially marginalised groups' needs and co-production led by communities and grassroots organisations.

A successful PPPs case in affordable housing needs political support and stability, trust and openness, a favourable and efficient legal framework, and appropriate risk allocation and sharing (Alteneiji *et al.*, 2020). The state regulates the politics between the stakeholders to avoid conflicts between the private sector's profit-driven interests and the communities' welfare-driven interests (Miraftab, 2004). Although private firms need to make profits, corporate social responsibility (CSR) policies can positively impact the welfare aims of society and lead to increased financial performance (Husted & Salazar, 2006). Towards realising PPPs for housing projects, governments make efforts to handle the project and power relations to ensure the space for community involvement and reflections.

3. Methodology (Analytical framework)

3.1 Methodology

Local governments have difficulties in delivering affordable and adequate housing to the urban poor with the state-led housing programme and market-driven real estate market. The state decentralisation shifts parts of decision-making and financial resources to local governments or community and private sector actors, with the expectation of political and economic return (Miraftab, 2004). From the perspectives of poor communities, their needs do not fit the formal structure and regulations. According to examples of co-production with the ACHR and the SDI, poor communities can visualise their demands and show them to the governments with supporting agencies. Governments can utilise the community information and practices for promoting housing provision to ISFs. The strength of grassroots movements is critical not only for shaping partnership strategies but also for ensuring support by the local and central governments, including their regulatory capacities (Miraftab, 2004).

To begin answering my research question *on how local governments in the Philippines (Cebu) can foster a community-centred development approach to housing provision for ISFs*, this chapter will outline the reasons to select the Philippine case and introduce the analytical framework to be adopted in Chapter Four. That will contribute to local governments' efforts to promote co-produced housing schemes.

3.2 Case Selection (Philippines)

This dissertation selected the Philippines as a case study to show the local governments' dilemmas for providing affordable and adequate housing to ISFs. The dilemmas were caused by the relations between the state-led housing initiatives and decentralisation. Local political power and an enabling real estate market influenced by globalisation also became obstacles for LGUs to deliver sustainable housing provisions.

Except for the Autonomous Region of Muslim Mindanao, the local governments consist of three types: (1) Province and independent cities (highly urbanised cities such as Mandaue City); (2) municipalities and component cities, and (3) barangays. The head of each is elected by popular elections every three years, except that barangay captains are elected every five years. The Philippines' institutional politics is dominated by traditional politicians, mostly by the land-holding elite and provincial political 'bosses' (Roces, 1994) and attracts global investments in urban development. The Philippines' political scale needs to address the dominant, neoliberal understanding of globalisation's imperatives (Kelly, 1997).

The Philippines' economic trends shifted from agriculture from the 1950s to the 1970s (Cham & Canlas, 2008) to industry promoted by globalisation. The transition let millions of Filipinos migrate from farmlands to cities, aiming for higher salary jobs. This became the beginning of the expansion of informal settlements in urbanised areas in the country. Decentralisation was initiated by the 1987 Constitution and promoted by the 1991 Local Government Code (LGC). Local governments received more local autonomy with assignment functions, revenue sharing between the national and local governments, and resource generation by LGUs (Yilmaz & Venugopal, 2013). Many local governments in urbanised areas could not control the influx of migrants that resulted in overcrowded, unplanned and unregulated informal settlements (HUDCC, 2014). This type of settlement faces economic, social, and spatial exclusion and vulnerabilities (WB, 2017).

Whilst the state established KSAs and designed housing initiatives, the decentralisation tasked LGUs to manage shelter provisions and slum upgrading. ISFs have faced difficulties in using complex governmental supports. For instance, the Community Mortgage Programme (CMP) is a land consolidation and upgrading scheme combined with a large-scale program that gives ISFs

access to formal credit (Berner, 2000). The process often caused delays of the payment by KSAs, and ISFs sometimes missed opportunities to buy the lands. Some poor communities became patrons of politicians during the elections to achieve communities' needs. Under the conditions, some ISFs reached assistance from supportive grassroots organisations like HPFPI and learnt co-production practices. Grassroots mobilisation can be the deciding factor in a partnership's success to pressure the state to play its expected mediating effectively, whilst supporting initiatives by local communities and their organisations (Miraftab, 2004). Reviewing community-centred development conducted by grassroots organisations and ISFs will give clues for replying to the research question and realising the potential of 4Ps.

3.3 Analytical Framework

3.3.1 A Method-based Planning Framework for Informal Settlement

This section will introduce a method-based planning framework for informal settlement, although the private sector is absent from this framework. Abbott (2002) believes that the community is able to provide the best reflection of internal needs, whilst the local authority brings a broader perspective of the city to bear and develop a method-based planning framework for informal settlement upgrading. In this context, the objectives of upgrading should acknowledge the recognition of precarious physical and social conditions, the insufficient opportunities for asset retention and growth, perceptions of poverty, and vulnerability with the compromised use of space (Abbott, 2002). He identified three approaches for informal settlement upgrading by unpacking global practices as follows: (1) Incremental approach to physical provision, (2) micro-planning at community level, and (3) creation of a holistic plan. Having this analysis, the potential of 'space' as a tool for dealing with and integrating diverse needs across the different levels was translated into the method-based planning framework for informal settlement upgrading (Abbott, 2002). The framework aims to achieve social and economic integration which constitutes institutional perspectives, scale, local government role, and spatial perspectives. Local governments are requested to take different roles at each level as Table 1 shows details.

Level of scales	Institutional/organisational perspectives	Actions with levels	Role of local government	Spatial perspectives
1	Consensus decision-making with stakeholders	Decision-making across the settlement – the surrounding areas	Facilitator	Spatial integration with social fabric (This can be translated to Local area spatial development plan)
2	Partnership between community and government	Settlement planning at a macro-level, as a whole settlement with majority of residents	Partner with the community	Movement, reducing physical risk and identifying economic opportunities
3	Community-based participatory planning	Settlement planning at a local level (within the settlement)	Community enablement	Creating effective and sustainable social spaces
4	Community development support	Involvement of individuals/households in the decision-making process	Providing or facilitating social support	Dealing with the residence unit and its improvement

Table 1. A method-based planning framework for informal settlement upgrading by Abbott, 2002.

The analytical framework was evolved from a planning framework for New Rest³ in Cape Town. Four levels of scale show the importance of spatial relationships. At the first level, the integration of the informal settlement into the surrounding areas enables the neighbouring outsiders

³ Slum upgrading of the New Rest, Cape town in South Africa focused on decision-making systems and spatial relationships, especially women’s involvement in the community.

to understand the settlement, which may decrease their fears related to criminal activities' potential. The second level serves to build a partnership between the community and the local authority. In New Rest's case, a university took NGOs' role to support local government and community in the steering committee. The committee allowed the local government to consider the developmental and regulatory functions separately, and the members agreed on changes to standards for house construction. The third level, participatory process, helped community development as social work made effective use of spatial organisation structure and decision-making at the settlement level. The ability allows the community to take the decisions, and the local government's role shifts from being a partner to supporting their activities. New Rest was built on a minimum relocation policy, and small groups discussed issues and made spatial definition by movement corridors. Lastly, the fourth level is decision-making at the individual family or head of household level. As women in New Rest were not represented in any of the project's formal decision-making structures (Friedman, 2001), the informal settlement upgrading meant a lot to marginalised people. Social work and community development teams could reach individual households. Thus, community groups supported developing in-depth demographic, social, and economic surveys of each household with a geo-spatial information management system.

Using different levels of scale enables space to flow over the settlement boundary to the formal city or other settlements (Abbott, 2002) and identifies vulnerabilities, therefore developing community decision-making effectively.

3.3.2 Analytical framework for 4Ps

Abbott's (2002) analytical framework is useful for understanding the co-production process and analysing the slum upgrading among informal settlers, local authorities, and supporting agencies (NGOs and academic authorities). This section will introduce an analytical framework for 4Ps engaging the private sector with the aforementioned urban actors for slum upgrading. Marana *et al.* (2018) developed an analytical framework for 4Ps that facilitates multi-level governance within cities to increase city resilience.

Figure 3 shows sixteen criteria with three dimensions of partnership: (1) stakeholder relationship; (2) information flow; and (3) conflict resolution. Then, three layers which show attributes of the partnership: (1) general characteristics; (2) particular characteristics in the city resilience-building with the type of partners; and (3) specific characteristics with the type of partners (public and private sector, people in the society), without considering the aim of the partnerships. Resilience-building for crisis management is pivotal for stakeholders to address expected and unexpected events (Marana *et al.*, 2018) such as COVID-19. Although the three layers contribute to different dimensions, covering the sixteen criteria could be taken as the shared codes for the partnerships with people with different perspectives to support ISFs.

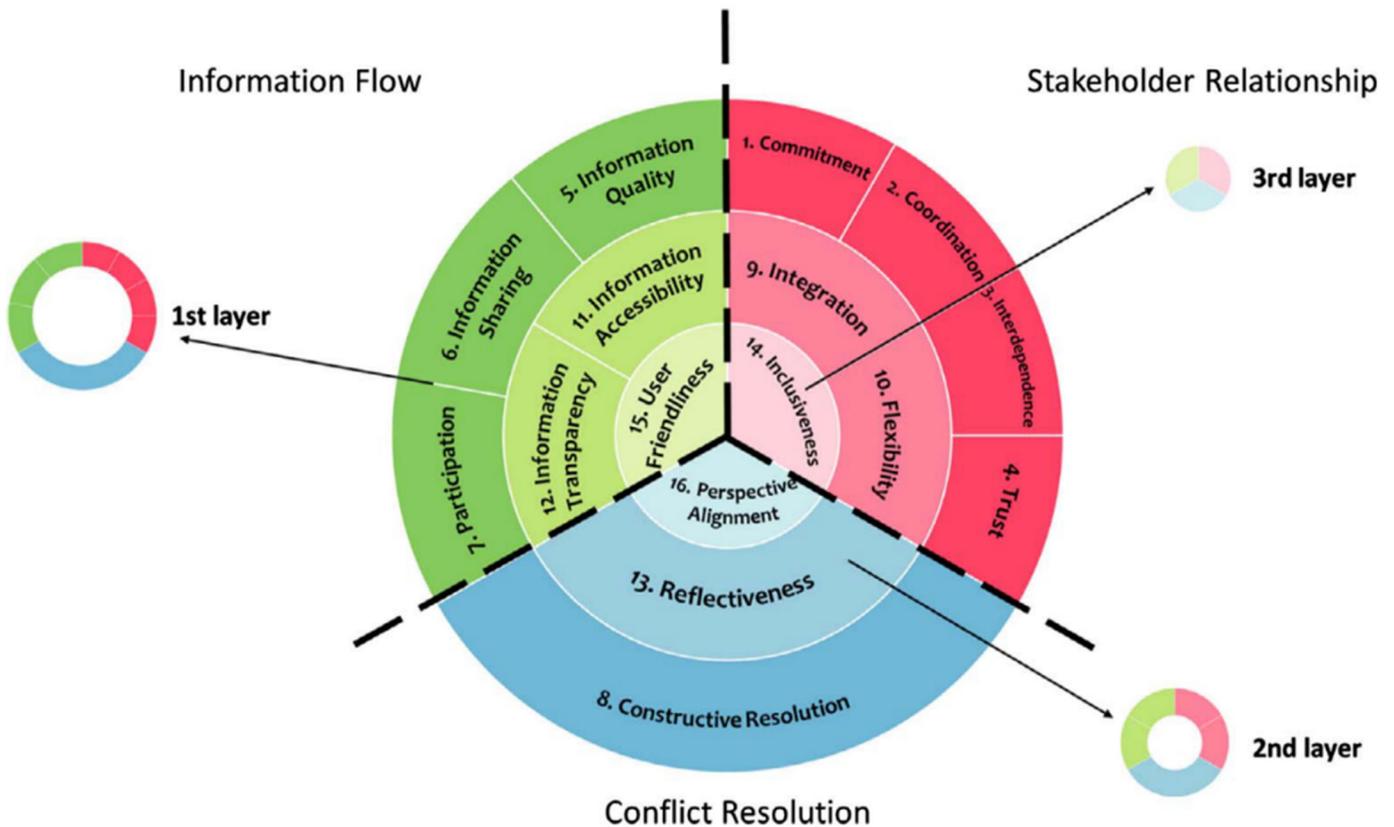


Figure 3. Framework showing the characteristics of successful 4Ps in the city resilience-building process by Marana *et al.*, 2018.

1st layer: Successful characteristics of general relationships

Stakeholder relationship dimension

1. **Commitment** indicates the aspiration to make efforts, and all the stakeholders should acknowledge their abilities and value (Doyle *et al.*, 2015).
2. **Coordination** needs to define each responsibility and task and facilitates access to useful resources (skills, funding, infrastructure or knowledge) (Doyle *et al.*, 2015).
3. **Independence** refers to partners' capacities to achieve beneficial goals mutually. Developing a common vision and planning and identifying the most appropriate people involved are essential (Doyle *et al.*, 2015).
4. **Trust** evolves the belief that partners are reliable to work for shared objects. It enables actors to work beyond organisations and hierarchical restrictions collaboratively (Rogers *et al.*, 2016).

Information flow dimension

5. **Information quality** means promptness, accuracy, and relevance of information, which mobilise discourse among actors to enhance decision-making.
6. **Information sharing** makes people work efficiently and prevents overlaps of efforts and resources.
7. **Participation** refers to partner engagements in planning, setting goals, sharing workloads, and conducting different tasks.

Conflict resolution dimension

8. **Constructive resolution** is how conflicts among partners are resolved with superior solutions to ensure participants' interests.

2nd layer: Successful characteristics of city resilience-building partnerships

Stakeholder relationship dimension

9. **Integration** is the partnerships connecting to systems, organisations, or other partnerships, that have comparable objectives co-producing better outcomes.

10. Flexibility is the adaptability of the partnership when an organisation or an individual faces changing circumstances or crises.

Information flow dimension

11. Information accessibility means the speed of propagating the information to the stakeholders for keeping everyone updated with the same information (Adams, 2016). That will help identify the resources and mitigate cascading effects (Toubin *et al.*, 2015).

12. Information transparency is sharing sensitive and pivotal information that reinforces engagement, co-creates same vision and works efficiently.

Conflict resolution dimension

13. Reflectiveness is the partnerships' ability to learn from each other and utilise past cases for improving future decisions, procedures, and behaviour.

3rd layer: Successful characteristics of 4Ps

Stakeholder relationship dimension

14. Inclusiveness requires the involvement of the representatives from different organisations. Equally shared information and equal opportunities for participation enable stakeholders to co-create a joint vision.

Information flow dimension

15. User-friendliness ensures that every partner understood and use information explained by easily understandable language.

Conflict resolution dimension

16. Perspective alignment is the capacity to examine each interest and discover commonalities considering how to align perspectives to satisfy each worthwhile goal.

Although these criteria for 4Ps need to be translated into the process and policies by identifying resources, such as time and money, considering each characteristic and monitoring the evaluation will reinforce the partnerships (Marana *et al.*, 2018). Towards supporting community-centred development, 4Ps' analytical framework offers the code.

3.3.3 Analytical Framework for Answering the Research Question

Abbott's framework (2002) will examine the co-production of community-centred development and encourage local governments to look at available resources for supporting housing provision to ISFs. To co-produce outcomes with stakeholders and realise 4Ps, Marana *et al.*'s criteria (2018) will help local governments to maintain the discussion platform and the process in housing provision to ISFs by ensuring inclusive process, and reflecting ISFs' opinions and avoiding market-led partnerships. However, in this dissertation, the framework will investigate community-centred development led by grassroots organisations such as HPFPI. Miraftab (2004) indicated that the condition of recognising grassroots mobilisation — with the premise of the poor as powerful organisations and relying on the partners' mutual interests reinforces the partnerships. As partners, grassroots communities must be nurtured so that they can exert and hold their interests in PPPs processes (*ibid.*). Whilst they are not legitimised authorities nor can they establish regulations, interestingly, they take parts of the role of local government in Abbott's framework (2002) and accomplish the sixteen criteria of 4Ps in the community-centred development. In the summary of my analytical framework, 4Ps criteria (Marana *et al.*, 2018) will be used as the principles for the partnerships among stakeholders on supporting ISFs' slum upgrading, and Abbott's framework (2002) will provide lenses to see the community-centred development and extract the elements of how local governments can support ISFs with the grassroots organisations. As Figure 4 shows, one more level will be added above the first level. Local government can foster support to ISFs with the involvement of private sector actors and other supporting organisations. Therefore, this framework will be applied for slum upgrading cases with ISFs and grassroots organisations in Mandaue in the Philippines.

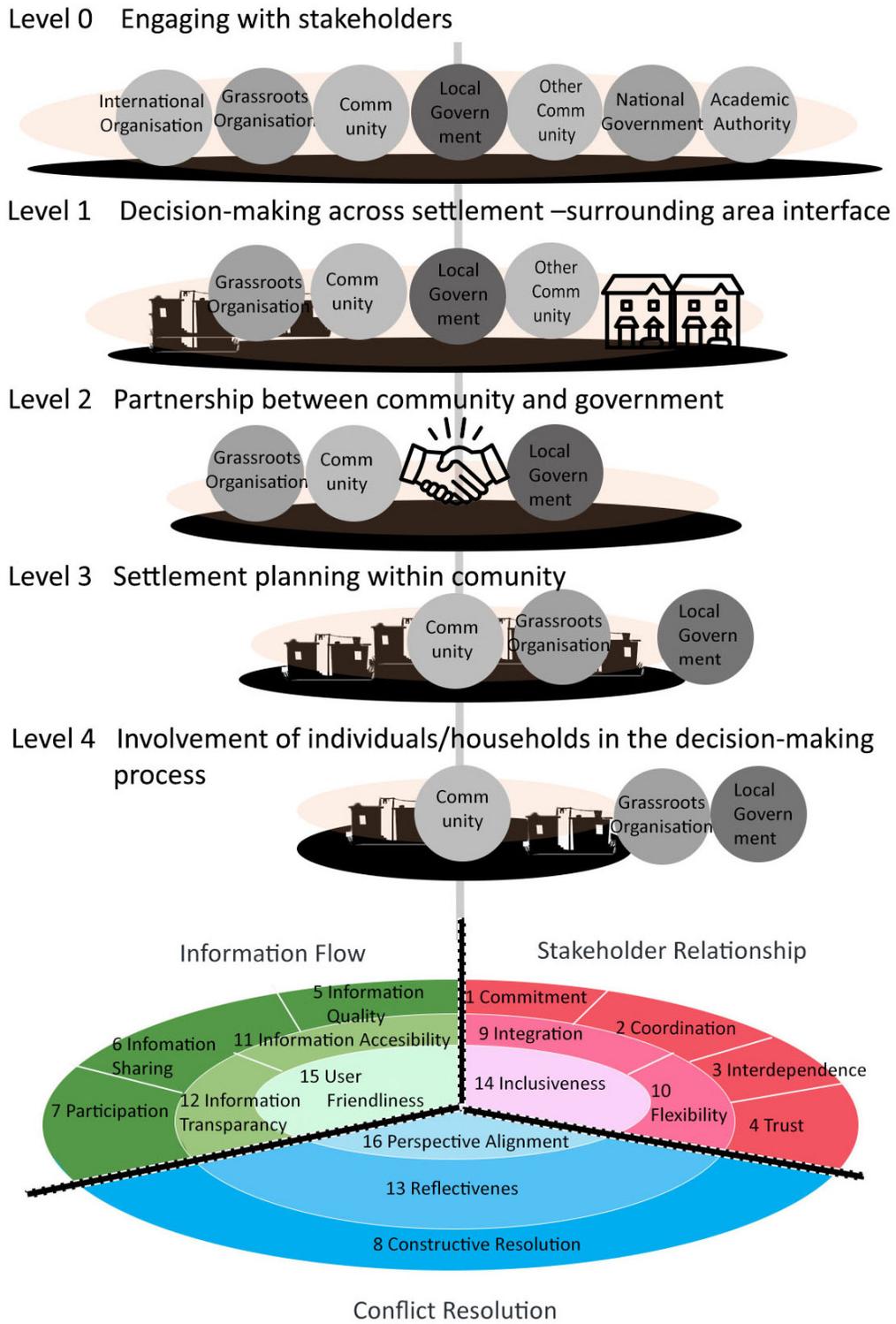


Figure 4: Analytical framework for chapter four based on Table 1 and Figure 3 by Author, 2020.

4. Case Study Analysis

Chapter Four will describe the Philippines' housing situation by unpacking social justice, housing policies, land use, PPPs, and governments' housing provision interventions in the Philippines. Following that, the framework proposed in the Chapter Three (Abbott, 2002; Marana *et al.*, 2018) will analyse the existing community-led activities in Mandaue, Metro Cebu, which accommodated 4Ps' criteria, to seek local governments' roles for supporting community-centred development approach to housing provision for ISFs.

4.1 Social Justice and Land Regulations in the Philippines

The 1987 Philippines Constitution states, 'the promotion of social justice shall include the commitment to create economic opportunities based on freedom of initiative and self-reliance.' (Philippine Government, 1987). It describes a social dimension that offers principles related to land and properties, including promoting social justice, human rights, and rural development. Land-related codes such as land classification, land use, planning and land taxation emerged from the Constitution (Teodoro & Co, 2009). Although the 1987 Philippine Constitution established by President Aquino echoed the right to adequate housing and the right against forced evictions, Marcos' Presidential Decree 722, which remained in force from 1975 to 1997, could punish people who illegally occupied on public or private land without the consent of the landowner(s) by imprisonment or fine unlawfully. This led to mass relocation of squatters, and some of them were suddenly relocated to 30-40km outside the city or dumping sites (Berner, 2000). Regardless of the government's aim to achieve social justice and the 'inalienable' right to adequate housing, ISFs experienced forced evictions by inhumane and ineffective regulations. Social justice in the Constitution was used for 'schemes that enhance capital accumulation to the detriment of ordinary citizens' (Fainstein, 1996, p. 21). The Philippine government's assistance to ISFs lacked a participatory process, which resulted in sudden, forced evictions and expansion of informal settlements.

As indicated in Chapter Three, decentralisation shared many portions of burdens in housing provision to LGUs through the LGC of 1991. LGUs have challenges in efficient housing delivery caused by the state-led, complex housing administrative machinery and overlapping charter

mandates (Teodoro & Co, 2009). The LGC of 1991 mandated that LGUs must cover urban land inventory, strengthening poor urban consultation, and public land proclamations. However, a recent study shows that less than half of the 25 leading LGUs complied with the mandates (Dizon *et al.*, 2000). Social justice should consider ‘distributive patterns and relationships that can produce and reproduce those patterns’ (Young, 2011, p241). To redistribute social justice from governments to ISFs, there must be not only an institutionalised structure to coordinate housing provision between the state and LGUs, but also coordination with the private sector, NGOs and ISFs. The state’s regulatory capacity is not likely to serve the interests on the partnerships of the poor marginalised people unless strong grassroots organisations and their democratic participation prompts it to do so (Abers, 1998; Brown, 2000). The next section will look at how the Philippine government provides physical and financial assistance for housing to ISFs and low-income people.

4.2 Housing Provision for ISFs and Low-income People

The rapid population growth, urbanisation, and rural-urban migration put pressure on essential service provision, including shelter. The Philippines’ total housing need remains a high number at around 6.80 million units for the period 2017 to 2022, based on a housing backlog of 2.02 million as of December 2016 (NEDA, 2017, p. 12-5). To increase the housing stock for low-income sectors, the National Shelter Programme was launched including CMP, financing and security of tenure (UN-Habitat, 2009, p.6).

The Philippine Development Plan (PDP) 2017-2022 (NEDA, 2017) showed multiple plans for improving housing provisions such as institutionalising the national planning and budgeting process for housing and resettlement. The government encourages stakeholders to reinforce partnerships, including NGOs, academics, private firms, and international organisations, through a participatory approach and PPPs for housing projects. Additionally, a community-driven development (“peoples’ plan”) approach in shelter provision will be promoted to involve the beneficiaries in the entire development process and collection of housing loan payment.

In order to implement the PDP in practice, it is essential to consider the actual process to deliver the outcomes. The plan encourages governments to facilitate the programmes with the stakeholders in delivering housing to the people. LGUs will be burdened to follow the plan and

translate the state-led housing plans to LGUs initiatives in accomplishing the country's housing demands. Coordination on budget, plan, and utilising available resources with National Government Agencies (NGAs) will be a key factor for LGUs as the decentralisation is planned to be further reinforced.

4.3 Public Private Partnerships and the Missing P

The 1987 Philippine Constitution defined the indispensable role of the private sector as the main engine of national growth, under process led by President Aquino. Socialised housing, which is government or private sector housing projects, provides housing and lots of packages or home lots to underprivileged and homeless citizens. The development with private sector involvement have three methods:(1) Government offers tax incentives for low-income housing;(2) Unified Home Lending Program which provides development finance at lower than market interest rates;(3) the Urban Development Housing Act (UDHA) of 1992 required private developers to set aside 20% of the total project cost of non-socialised housing developments for socialised housing investments (Ballesteros, 2002). However, the ceiling cost targets at low-income households widened the gap between supply and demand, and the financial crisis discouraged the private sector from joining socialised housing projects. Additionally, joint ventures for housing projects lacked the coordination between the National Housing Association (NHA) and the National Home Mortgage Finance Corporation (NHMFC) which challenges managing substantial risks and responsibilities. Thus, a more holistic approach for settlement planning based on partnership with stakeholders is demanded. Given this, it is observed that LGUs need assistance and coordination to achieve state-led housing goals. The private sector seeks better incentives to participate in social housing programmes supported by governments.

In 2017, the Philippines' PPPs ranked first on preparation, procurement, contract management, and third on unsolicited proposals, among East Asia and Pacific economies (WB, 2018). Whilst the Philippines have infrastructure project through PPPs such as water supply project for the urban poor through PPPs in Manila named as Public-Private Community Partnerships (Franceys & Weitz, 2003), there are relatively few affordable housing projects. The government tasked KSAs to plan, finance and produce affordable housing and did not positively administrate

housing projects because the real estate industry is one of the country's largest and most energetic business sectors (Kritz, 2016). Thus, creating innovative PPPs projects in housing became challenging. Planning lacked the process of engaging with the people and perspective alignment. "P", as in 'people', is missing from PPPs.

4.4 Overview of Metro Cebu

Zooming into Metro Cebu, it is comprised of three independent cities (Cebu, Mandaue, Lapu-lapu), four component cities (Carcar, Danao, Naga, Talisay), and six municipalities (Compostela, Consolacion, Cordova, Liloan, Minglanilla, San Fernando) (DILG Region VII, 2020). In the 1950-60s, Cebu Province was the frontier of the out-migration of neighbouring Mindanao. In contrast, since the 1970s, the in-migration of Metro Cebu started (Flieger, 1994). Globalisation arrived at Cebu in the late 1980s, owing to sugar production and the growth of international trade (Kampen & Naerssen, 2008). The expansion of the manufacturing sector by developing Mactan Export Processing Zone (MEPZ) attracted real estate developers such as Ayala Land Incorporation to build shopping malls and high-end housing (Sajor, 2013). Engaged with the economic growth, infrastructure such as an international airport, maritime port, roads, and tourist accommodations were set up. Whilst speculation on land prices became an obstacle for LGUs to provide mass shelter to poor communities, developers' interests focused on increasing the housing prices.

As Cebu became advanced compared to many other cities in the Philippines by per capita income, the social polarisation was growing. Squatters were prevalent due to the inaccessibility of jobs, safety, health, secure housing tenure and basic services. For instance, South Road Property was developed in the 1990s as a 300ha land reclamation with six-lane coastal roads connecting the business district to the south of the city. This project pushed out thousands of families dependent on fishing along the former coastline (Kampen & Naerssen, 2008). Local political families dominate the politics in Cebu. That led some poor community groups in Cebu to choose political patronage, supporting candidates in order to obtain adequate housing (Yilmaz & Venugopal, 2013).

Based on an interview with the HPFPI in Mandaue (Chavez, 2020), the private sector may come to the local executive's office as 'courtesy call' to explain the project plan on the site. They ask the executive for a permit or Memorandum of Agreement to conduct an enumeration survey for

determining the number of households, families or ISFs to be affected by the project. The government gives discretion to the private sector to supplement the demands of the affected ISFs that depend upon the negotiation result. The City policy provides ISFs a choice between financial assistance or a relocation site, and the private sector accommodates the finance for the ISFs based on the UDHA rights. The ISFs can negotiate with the government without the presence of the private sector, to access another support from the government even by the resources and manpower alone.

4.5 Community-led Planning Case for Adequate Housing in Mandaue City

Regardless of the Philippine government initiatives in different levels, governments have room for improvement to deliver housing to ISFs and low-income communities. Regulations caused duplications, and state-led planning for housing provision lacked participatory process and coordination with stakeholders for the decentralisation process.

Communities and the Philippine Alliance led by the HPFPI played the local government's roles listed in Table 1 (facilitator, partner, community enablement, and providing or facilitating social support). In this section, their community-centred development with ISFs and the Philippine Alliance will be interpreted into four levels of scales from Abbott's framework (2002) with the sixteen criteria in successful 4Ps, components of which will be **bolded** in the section. Although the activities at each level often happened in parallel, the Philippine Alliance supported the process. It provided tools for community-centred development for ISFs in the third (within a community) and fourth (households) levels. Following this, they try to engage with outside communities with the visualised data developed in the community in the first (with other neighbouring communities) and second levels (with the government). Following this, the ISFs' co-production in Mandaue, which received support from the Philippine Alliance, will show the implementation of the community-led plans with different funds. Local government can utilise the key findings to formulate partnerships to support ISFs' right to housing by inviting urban actors such as private and academic sectors.

4.5.1 Philippine Alliance

As ISFs cannot rely only on government assistance, some take community-centred development approaches in collaboration with supportive grassroots organisations. Figure 5 shows the partnership among five urban organisations which supports ISFs' community-centred development in Mandaue City, Metro Cebu,



Figure 5: Philippine Alliance by Author, 2020.

The HPFPI takes the lead of the Philippine Alliance and uses three methods to support the members for community development: mobilising communities; encouraging savings-based financial strategies; and engaging with the public sector. The methods make them build community infrastructure, as well as their financial and social capital (**trust**) in the Philippines (Yu & Karaos, 2004). The members generated 35.3 million pesos with 39,000 members as of December 2002

(ibid.). Technical Assistance Movement for People, and Environment Inc. (TAMPEI), which comprises of young architects, and the HPFPI work together to deliver holistic and **participatory** approaches through continuous involvement and representation of the communities' needs. Philippine Action for Community-led Shelter Initiative Inc. (PACSII) is an NGO supporting the HPFPI and the Philippine Alliance. Lastly, LinkBuild and Community Resources for the Advancement of Capable Societies (CoRe-ACS) are a social enterprise and a microfinance institution supporting community financing, respectively. The process of the Philippines Alliance activities can be classified into four stages: mobilisation; savings; planning and design; and project implementation (Lipietz & Ortiz, 2016). Each organisation, with different strengths in the Philippine Alliance, supported the process of community-centred development.

Mobilisation (Levels 3, 4):

At community and household levels (third and fourth levels), bringing people together, generating interest and taking collective actions enabled the community to tackle and identify their community members challenges. The community can recognise issues, people's abilities and government support through regular activities such as gathering money. Solutions come from discussion, and collective actions including data gathering will be a strong base for realising the needs. As a part of community enablement, the Philippine Alliance provides facilitating tools for creating effective and sustainable social spaces. However, they try not to pressure the community if the community is not ready to take actions. After they identify their leader in the community, relationships will become more solid to pursue the activities. Mobilisation through collective activities encourages the community to complete the long process for obtaining adequate and affordable housing with ownership. This enhanced: **commitment; coordination; interdependence; information elements (sharing, accessibility, transparency); participation; integration; reflectiveness; and inclusiveness.**

Savings (Levels 3, 4):

At community and household level (third and fourth level), saving has been done with a minimum of ten neighbours. Each saver has a passbook to keep track on deposits and withdrawals and can use community saving for individual emergency purposes. The HPFPI encourages community to use the following models: collecting five pesos a day; Urban Poor Development Fund (UPDF)⁴; group savings; and part of the monthly fund was secured for sustaining the activities. Saving enables the community to share information at the collecting point, develop financial and social capital for community-led activities and plan their own developments. Maintaining the preconditions for ISFs to use their savings such as purchasing lands and negotiating with the government, they must legally register as homeowners' association. Savings promoted: **commitment; coordination; interdependence; trust; information elements (sharing, accessibility, transparency); participation; integration; flexibility; reflectiveness; inclusiveness and user-friendliness.**

Planning and Design (Levels 1, 2, 3, 4):

The Philippine Alliance used a series of steps to create the planning process, which has been adapted through practices to increase the number of participants, data gathering and community organisation (third and fourth levels), community-level planning (third level), and area-wide planning (first and second levels). At the third and fourth levels for gathering data, the Philippine Alliance supported community mapping as Figure 6 and 7 shows, which enabled communities to collect information and identify the issues by building technical and organisational capacities by participatory workshops specifically with the HPFPI. The TAMPEI supported visualisation of the essential issues by identifying, categorising and prioritising issues and establishing the plan for the next steps with timelines and roles after recognising stakeholders. Although information sometimes needs to be verified through dialogues, community-led planning with the gathered data helped to co-produce solutions with stakeholders.

⁴ The UPDF was launched by the HPFPI to address the slow processing of the CMP. It offers a long-term financing facility for shelters such as land purchases by bridge financing which is filled through borrowers' repayment over a long period of time.



Figure 6. Philippine Alliance’s city-wide community-driven data collection activities by GLTN, 2019.

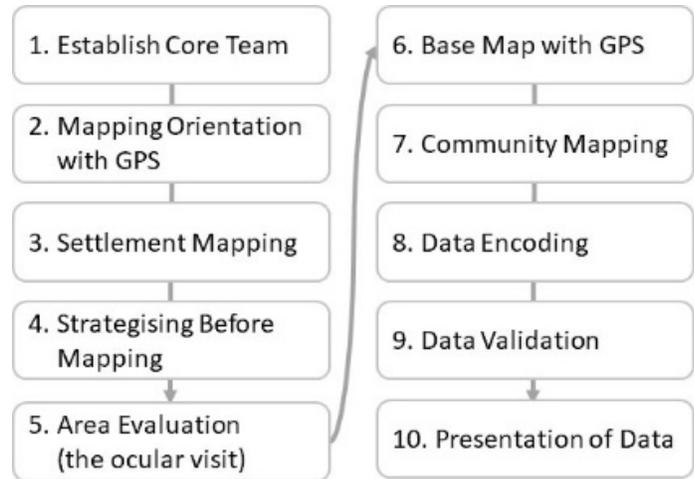


Figure 7. Step for community mapping activities by Lipietz & Ortiz, 2016.

At the second level that community members can directly talk with local authorities, it is pivotal to maintain a non-intimidating environment so that all the participants can understand and respect the bottom-up approaches. Land inventory with the ownership gathered by communities helped the participants to find suitable and affordable land, although undocumented ownership was found. At the first level, when the community talked with neighbouring communities, an area-wide approach infused the perspective of city-wide upgrading, which served to specify the common issues with other groups and discuss those challenges on a larger scale with local governments. Through the whole level, the Philippine Alliance took all the local government role in Abbott’s analytical framework (2002) alongside communities and mitigated the conflicts and fear. Local authorities recognised the efforts. However, particular residents opposed mapping because it might reveal certain situations undesirably. Planning strengthens: **commitment; coordination; interdependence; trust; information elements (quality, sharing, accessibility, transparency); participation; integration; flexibility; reflectiveness; inclusiveness; user-friendliness and perspective alignment.**

Project implementation (Levels 0, 1, 2): Above or at the first and second levels to have discussions with neighbouring communities and the government, project implementation requests communities to escalate issues regarding housing, land, and services to the stakeholders at different levels. Land ownership is often the topmost matter. After tough negotiations to obtain land and seek to use a financial scheme such as CMP⁵, housing is ready to install. In some cases, everyone in the community is involved in the implementation process, and communities operated the project, such as managing materials, labour, and procurements, with the Philippine Alliance. Before the implementation, the sixteen criteria should be developed to accomplish the project implementation smoothly.

4.5.2 ISFs on Donated 9.2ha in Mandaue

An electoral promise made by Thadeo Ouano before the 1988 City election resulted in the donation of 9.2ha to ISFs (Lipietz & Ortiz, 2016). Vincentian Priests mobilised the HPFPI, the original savings, and the Federation of Mandaue City Urban Poor, Inc. to realise the promise. The land was donated under the Federation's name after years of eviction threats. Beneficiary Selection Committees administrated allocating land titles to beneficiaries with the lists. Although getting the individual ownerships took time, many families felt the land tenure security was protected under the name of the Federation. The Philippine Alliance assisted the ISFs in improving their built environment with their savings and different funds.

Lower Tipolo Homeowners Association, Inc. (LTHAI) with 269 households, which is one of five poor communities in the 9.2ha donated lot, conducted community savings since 1996 with support from the HPFPI at the community and households (third and fourth) levels. On the first and second levels that communities and government discuss, the LTHAI joined the government's 9.2 Task Force Committee with the other association which lives on the same donated lot. The joint community-city mechanism provided the platform to develop subdivision plans, re-block and initiate a land ownership transfer process. From the assistance from the ACHR, the ACCA was

⁵ See page 12

implemented in Mandaue including the 9.2-hectare Urban Poor Network with 162 poor people's organisations (ACHR, 2011).

The LTHAI experienced a fire in 2001 (see Figure 8), which destroyed the settlements and left the whole community homeless. They strategically utilise various funds with assistance from grassroots organisations. Part of their saving and a four million-peso loan from the UPDF allowed the community to rent the equipment to complete landfilling (ACHR, 2011). Following that, the LTHAI surveyed the 1.6ha of the lands for developing subdivision plan and affordable housing mode at the third and fourth levels. Community-Led Infrastructure Finance Facility (CLIFF)⁶ assists in implementing basic infrastructure such as drains, water supplies and shared septic tanks. With support from the PACSII, the community designed and built two-story starter houses, and the HPFPI borrowed USD 10,000 from the ACCA for the LTHAI, which was used to procure housing materials. The housing loans were designed to be repaid in five years at six percent annual interest (three percent for the community savings group, the remaining three percent for the UPDF). The community also offered labours for the construction and tried to reduce the costs by leaving the second floor unfinished and letting the residents recycle other materials (see Figure 9). The LTHAI's case shows the strengths in: **commitment; coordination; interdependence; trust; information components (quality, sharing, accessibility, transparency); integration; flexibility; participation; constructive resolution; inclusiveness; reflectiveness; perspective alignment.**

⁶ CLIFF is capacity grants and revolving capital funds towards addressing housing and basic services of slum dwellers. It is funded by the UK Department for International Development (DFID) and the Swedish International Development Cooperation Agency (SIDA).



Figure 8. LTHAI after the fire by ACHR, 2011.



Figure 9. Community-designed and community-built houses in LTHAI by ACHR, 2011.

4.6 Key Findings

At the first level, poor community groups on the 9.2ha in Mandaue were **integrated** and organised to the Federation of Mandaue City Urban Poor, Inc. They addressed the same challenges to secure the land. With the **coordination** by the HPFPI, the community scaled up the discussion from community-scale to a city-wide level, which allowed them to **align the perspective** of their challenges with other communities and government authorities. The HPFPI recognises information as a creative entry point to begin an initiative with LGUs (Yu & Karaos, 2004). Local government should provide available assistance to ISFs and reflect their demands and **information** to the existing or future initiatives. It could be more beneficial for ISFs if different communities are involved in the same slum upgrading projects or within the same city simultaneously such as ACCA.

At the second level, the government's 9.2 Task Force Committee became a discussion platform among LTHAI, other community and government. The **constructive resolution** process accommodated **inclusiveness** and **participation** by **sharing information**. The platform for sharing information is pivotal among urban actors because ISFs sometimes cannot access to the information that government owns. Discussions with governmental authorities provide opportunities to get financial and physical assistance by sharing their challenges. Communities developed a subdivision plan and re-block and land ownership transfer process and shared their needs by mapping, with the

Philippine Alliance support. The **information quality** was improved by the support from the Philippine Alliance's capacity-building workshops. Through this, they could **reflect** their needs and **access to the information** in the formal process. Also, the **community's information (information transparency)** can be integrated with the government's information which enables LGUs to request budget allocation more effectively from the central government or call on the support for ISF housing provision from different stakeholders.

At the third level, the Philippine Alliance held workshops to enhance community capacity to identify their challenges by mapping. The workshop promoted community-saving and enhanced the understanding of government financial assistance (**Information sharing, user-friendliness**). The **participatory** planning process enabled the members to foster social capital and identify each resident's strengths (**independence**) and sustainable social space. The process built **trust** and **integration**, contributing to the **commitment** and continuous **participation**. Developing a common vision through collective activities helped to identify leaders and tasks (**coordination**). To reduce the construction expenses, the communities **flexibly** reduced the cost by making the uncompleted second floor. However, the needs from each household **were reflected (reflectiveness)** to build their starter houses. By interweaving the ISFs' demands and the government plan, the local government can co-produce new ways of housing provision with communities and grassroots organisations as good partners, partners who know the grassroots information the most.

At the fourth level, the Philippine Alliance provided technical support. It facilitated community activities for collecting the settlements' data, which were integrated into the plan to be shared with governments. Leaders identified by the communities encouraged the members to join the process. However, some individuals opposed data gathering and community plans, which affected **information quality**. In the case, informal focus group discussion, one-to-one conversation, and participatory methodologies are fundamental for a **constructive resolution** to bring people together.

Three challenges were found through the process. First, conflicts within or outside of the communities may happen, and some who could not find the benefit did not join the process in the case. In the Philippines' different areas where the Philippine Alliance provided support,

mobilisation through mapping faced internal division and an explicit spatial division between Muslim and Christian communities (Lipietz & Ortiz, 2016). Should LGUs take community-led planning as a part of the city planning and provide further assistance such as tools or funds for community activities including collecting the community data, more individuals would join the process. Second, power relations may cause the over-participation of more powerful residents, which may oppress marginalised community members' needs in terms of gender, age, (dis)ability, livelihoods or religion (Lipietz & Ortiz, 2016). Diverse aspirations and self-appointed leaders can dominate discussions, that has risks of eliminating marginalised voices and being manipulated by people with power. Outside of the settlements, local politics are mostly controlled by powerful political elites in the Philippines (Lacaba, 1995) that sometimes lead community members to be patrons for elections. Local government can enhance the partnerships with grassroots organisations to identify the issues and seek methods for how local government can support. Third, the HPFPI and communities faced struggles in getting themselves taken seriously by government and private agencies and sometimes by other NGOs (Yu & Karaos, 2004). Although the legislative context seems to promote participatory governance, poor citizens struggle to access information and transparency regarding government development and funding schemes.

These points were analysed from ISFs and grassroots organisations' perspectives, so local governments may have different perspectives. However, as the case described, when grassroots organisations cover some of the local government's role, local governments can consider strengthening the partnership and supporting the co-production by engaging with other sectors such as KSAs and private sectors at the zero level of the analytical framework. As the level of scales is expanded, local governments must take the facilitating role by understanding power hierarchies to avoid conflicts and making non-intimidating circumstances among stakeholders. Accommodating the sixteen criteria in a successful 4Ps will help transform informal settlements to be more inclusive and interactive by exploring ideas towards co-creating innovative initiatives for the right to housing for ISFs.

5. Conclusion and Recommendations

5.1 Conclusion

Taking the unprecedented moments as reading and widening cracks (Healey, 1996), local government can consider a housing right as a human right and begin accumulating support for housing provision to the urban poor. Slums dwellers are vulnerable to contagious viruses due to inadequate housing and services and lack of job opportunities, as the COVID-19 crisis demonstrates, especially in the Global South. In the Philippines' Constitution, social justice is indicated and interpreted into the land regulations and housing provision programmes. However, distribution, recognition and participation were not reflected in the initiatives, which ultimately expanded inequality. Whilst governments promote participatory process, power hierarchies oppress marginalised people and deprived them of chances to reflect their voices on the plan. Thus, insurgent planning and co-production were emerged by poor communities and grassroots organisations, and they cultivated their ways of planning to intervene in the formal system through collective actions. Following the assumption that the poor know best how to live in poverty (Watson, 2014), they invented community-centred development for realising the right to adequate housing and access to services in collaboration with grassroots organisations. Whilst grassroots organisations have already played the role accorded to the local government in the analytical framework, they cannot legalise the process or particular situations and need government assistance. If local government can take co-production as an innovative solution and better understand its potential, public and private sector actors can consider helping ISFs by interweaving the existing community resources with governments' initiatives and the private sectors' resources. The government's intervention of the PDP 2017-2022 indicated co-producing housing projects through PPPs and solutions by collaborating with different actors including a national government, LGUs, KSAs, NGOs, and communities. Therefore, 4Ps could be developed between and among Public-Private-People stakeholders for housing provision by government-led arrangements. As discussions on the Philippines' PPPs projects were mostly disclosed to the public, the analysis had limitations in this dissertation. In realising 4Ps under the hybrid conditions of decentralisation and the state-led housing policies, local governments should take the facilitator's role to maintain the space for inclusive discussion and encourage participants to recognise the sixteen criteria of a successful 4Ps. To foster support from different sectors, local governments should consider the

process for information sharing opportunities or platforms to ensure ISFs' right to adequate housing. That will help the stakeholders to co-produce sustainable, urban development planning and solutions. Lastly, local governments can also learn from one another by knowing practices through their networks, such as UCLG.

5.2 Recommendations to Local Governments

Two types of recommendations in line with the right for housing declaration will be presented.

1. Co-production tools for public-private and community-driven housing solutions

The Philippine Alliance takes the major roles of facilitator, partner and community enabler and provides tools and knowledge to ISFs whilst supporting community-centred development. As the Philippine Alliance also covers the sixteen criteria in successful 4Ps, the local government can invite the Philippine Alliance to develop the supporting methods for ISFs together. For instance, the HPFPI, which has the experience to support land acquisitions for ISFs, joined the City Housing and Land Management Office (CHLMO) under General Santos, after building up their relationships (Yu & Karaos, 2004). The grassroots organisations can also share their co-production practices and their networks, such as the ACHR and the SDI did. Therefore, the local government's facilitating skills are essential to smoothly deliver processes and outcomes to realise the right to housing for ISFs, especially by engaging with private sectors whilst avoiding profit-oriented purposes only. In relation to this, the capacity building for local government staff should be enhanced towards successful housing provision. This is true in the specific Philippine context, as the central government designated major housing financial assistances, and Llanto *et al.* (1996) pointed out the room for improvements which may apply for other countries: (1) Improve information structure of LGUs; (2) Review regulatory framework on LGU deposits and borrowing limits; (3) Provide a complementary mechanism for the private sector and government funding; (4) Improve design, marketability and competitiveness of LGU bond issuances. Looking at other cases in the Philippines will expand local governments' viewpoints. For instance, the Social Housing Finance Corporation with assistance from the World Bank, the HPFPI, the NGO Foundation for the Development of the Urban Poor and the ACHR conducted Barangay-wide mapping and planning in Valenzuela, and Talisay in Metro Cebu joined the workshop too (ACHR, 2014).

2. Urban Planning including housing projects through 4Ps

Promoting socially just planning needs a participatory process for decision making. To foster support from the public and private sectors and civil society, a platform where people can engage with different sectors will offer a space for discussions and enable stakeholders to share resources and knowledge. The urban development planning could also be integrated with housing projects if supporting organisations such as HPFPI can represent the ISFs with stakeholders. This type of platform could be online, particularly in light of after the COVID-19 pandemic. A platform to discuss housing provision for ISFs through 4Ps, including NGOs, academics and private firms through a participatory approach, should be considered.

Metro Cebu has a Regional Development Council (RDC) for setting all the socio-economic projects and asks the state for the funds' allocations as the highest policy-making government body to coordinate governments in the region. Metro Cebu Development Coordinating Board (MCDCB)⁷, which was established with the NGAs, LGUs, NGOs and academics, discusses Metro Cebu-wide urban development plans with multi-stakeholders including private sectors and brings them to the RDC. When the MCDCB started and during the roadmap development phase, it considered the housing situation from an urban planning and urban design perspective, and even with this, only to a limited extent as LGUs have the primary mandate for land use planning. More detailed discussions on housing, particularly for ISFs, were conducted when the MCDCB lobbied to implement flood control projects subsequent to the completion of the Metro Cebu Drainage and Flood Control Masterplan Study. In this case, the focus was on Project Affected Families (Nacario-Castro, 2020). MCDCB could be a platform for 4Ps if LGUs take it as the platform for urban planning that combines adequate housing projects with sustainable neighbourhood. Civic solidarity and multi-stakeholder partnerships are key to overcoming the COVID-19 crisis on housing to protect the most vulnerable (UCLG, 2020a). This unprecedented time could be catalytic to scale up co-production enhanced by partnerships among different urban actors.

⁷ Ramon Aboitiz Foundation Inc. operated the Secretariat and researches, but the role was shifted to Cebu Leads Foundation.

Bibliography

Abbott, J. (2002) 'A method-based planning framework for informal settlement upgrading', *Habitat International*, 26(3), pp. 317–333. doi: 10.1016/S0197-3975(01)00050-9.

Abers, R. (1998) 'Learning democratic practice: Distributing government resources through popular participation in Porto Alegre, Brazil', in Douglass, M. and Friedmann, J. (ed.), *Cities and citizens*, New York, pp. 39-66.

Adams, L.M. (2016) 'Promoting disaster resilience through use of interdisciplinary teams: A program evaluation of the integrated care team approach', *World Medical & Health Policy*, 8(1), pp. 8–26. doi:10.1002/wmh3.176.

Albrechts, L. (2013) 'Reframing strategic spatial planning by using a coproduction perspective'. *Planning Theory*, 12(1), pp. 46–63.

Alteneiji, K., Alkass, S. and Abu, S.D. (2020). 'A review of critical success factors for public–private partnerships in affordable housing', *International Journal of Systems Assurance Engineering and Management*. India: Springer. doi: 10.1007/s13198-020-00976-x.

Asian Coalition for Housing Rights (2011) *Philippines ACCA Update*. Available at: http://www.achr.net/upload/downloads/file_13022014151358.pdf. (Accessed: 3 September 2020).

Asian Coalition for Housing Rights (2014) *Barangay-wide Mapping and Planning in the Philippines*. Available at: <http://www.achr.net/upload/files/Phil%20p%208ACHR%20E-news%20July-October%202014%20copy.pdf>. (Accessed: 3 September 2020).

Ballesteros, M.M. (2002) 'Rethinking Institutional Reforms in the Philippine Housing Sector', *Philippine Institute for Development Studies Perspective Paper Series*, 11.

Bebbington, A. J., Mitlin, D., Mogaladi, J., Scurrah, M. and Bielich, C. (2010). 'Decentring poverty, reworking government: Social movements and states in the government of poverty'. *Journal of Development Studies*, 46, pp.1304–1326.

Berner, E. (2000) 'Poverty alleviation and the eviction of the poorest: Towards urban land reform in the Philippines', *International Journal of Urban and Regional Research*, 24(3), pp. 554–566. doi: 10.1111/1468-2427.00265.

Brown, E. (2000) 'Social movements, the state and civil society', in G. Mohan, E. Brown, B. Milward, and A. B. Zack-Williams (eds.), *Structural Adjustment. Theory, Practice and Impacts*, New York: Routledge. pp.171-190.

Brown, W. (2003) 'Neoliberalism and the End of Liberal Democracy', *Theory & Event*, 7(1).

Campbell, S. and Fainstein, S. (eds.) (2003). *Readings in planning theory*, Blackwell, Malden and Oxford.

Cham, M.R.M. and Canlas, D.B. (2008) 'Notes on Philippine Economic Growth and Its Sources', *The Philippine Review of Economics*, University of the Philippines School of Economics and Philippine Economic Society. Vol. 45, June, pp. 1-14. Fainstein, S. (2003) New directions in planning theory. In S.

Chatterji, R. and Mehta, D. (2007). *Living with violence: An anthropology of events and everyday life*. New Delhi: Routledge.

Chavez, L. (2020) Interviewed Mr. Leopoldo Chavez, HPFPI in Mandaue by author's email on 30 August 2020, for HPFPI's activities, owing to the assistance with Ms. Sonia Cadornigara from HPFPI in Iloilo.

DILG Region VII (2020). *LGU's Provinces and Independent Cities*. Available from: <http://dilgregion7.net/LGUs/>. (Accessed: 3 September 2020).

Dizon, A.M., Quijano, S.B., Lachica, I. and Leyesa, R. (2000). 'The UDHA Challenge: Monitoring Local Government Unit Compliance, Issues and Developments in Local Housing', *PHILSSA Project-SHELTER Summing-up Activity, Ateneo de Manila University, Quezon City*, 28 March.

Doyle, E.E.H., Becker, J.S., Neely, D.P., Johnston, D.M. and Pepperell, B. (2015). 'Knowledge transfer between communities, practitioners, and researchers: a case study for community resilience in Wellington, New Zealand', *The Australasian Journal of Disaster and Trauma Studies*, 19 (2).

- Fainstein, S. (1996) 'Justice, politics, and the creation of urban space', in Merrifield, A. and Swyngedouw, E. (eds.), *The urbanization of injustice*, Lawrence and Wishart, London.
- Fainstein, S. (2005). 'Planning theory and the city', *Journal of Planning Education and Research* 25 (2), pp.121–130. doi: 10.1177/0739456X05279275.
- Flieger, W. (1994) 'Cebu: A Demographic and Socioeconomic Profile based on the 1990 Census', *Monograph No 1*, Manila: National Census and Statistics Office.
- Foucault, M. (1977). *Discipline and Punish: the Birth of the Prison*, New York: Random House.
- Foucault, M. (1988). Technologies of the Self. In Martin, L., Gutman, H. & Hutton, P. (eds.) *Technologies of the Self: A seminar with Michel Foucault*. pp. 16-49. The University of Massachusetts Press: Amherst.
- Franceys, R. and Weitz, A. (2003) 'Public-private community partnerships in infrastructure for the poor', *Journal of International Development*, 15(8), pp. 1083–1098. doi: 10.1002/jid.1052.
- Fraser, N. (1998) *Social justice in the age of identity politics: redistribution, recognition, participation*. WZB Discussion paper No. FS 98-108. Berlin: Wissenschaftszentrum Berlin für Sozialforschung (WZB). Available at: <http://hdl.handle.net/10419/44061>. (Accessed: 3 September 2020).
- Friedman, M. (2001). *Gender and poverty study for the new rest informal settlement Cape Town*. A document prepared for the Cape Metropolitan Council, March 2001. Unpublished.
- Gills, B. (2001) 'Introduction: Globalization and the Politics of Resistance', in Gills, B. (ed.), *Globalization and the Politics of Resistance*, New York: Palgrave, pp. 3–11.
- Gunder, M. (2010) 'Planning as the ideology of (neoliberal) space', *Planning Theory*, 9(4), pp. 298–314. doi: 10.1177/1473095210368878.
- Harvey, D. (1973). *Social justice and the city*. London.
- Harvey, D. (2005). *A Brief History of Neoliberalism*. Oxford.
- Healey, P. (1991). 'Researching Planning Practice', *Town Planning Review*, 62(4), pp. 447–459. Doi: 10.2307/40113111.

- Healey, P. (1996) 'The Communicative Turn in Planning Theory and its Implications for Spatial Strategy Formation', *Environment and Planning B: Planning and Design*, 23(2), pp. 217–234. doi: 10.1068/b230217.
- Healey, P. (2003) 'Collaborative Planning in Perspective', *Planning Theory*, 2(2), pp. 101–123. doi: 10.1177/14730952030022002.
- Hillier, J. (2007) *Stretching Beyond the Horizon: A Multiplanar Theory of Spatial Planning and Governance*.
- Hirst, P. and Thompson, G. (2002) 'The Future of Globalization', *Cooperation and Conflict*, 37(3), pp. 247–265. doi: 10.1177/0010836702037003671.
- HUDCC (2014) *Developing a National Informal Settlements Upgrading Strategy for the Philippines*. pp. 1–251. Available at: [http://www.hudcc.net/sites/default/files/styles/large/public/document/NISUS Final Report_July2014.pdf](http://www.hudcc.net/sites/default/files/styles/large/public/document/NISUS_Final_Report_July2014.pdf). (Accessed: 3 September 2020).
- Husted, B.W. and Salazar, J.D.J. (2006) 'Taking Friedman Seriously: Maximizing Profits and Social Performance', *Journal of Management Studies*, 43(1), pp. 75–91.
- Huxley, M. and Yiftachel, O. (2000). 'New Paradigm or Old Myopia? Unsettling the Communicative Turn in Planning Theory', *Journal of Planning Education and Research*, 19(4), pp. 333-342. 10.1177/0739456X0001900402.
- Irazábal, C. (2016) 'Public, Private, People Partnerships (PPPPs): Reflections from Latin American Cases'. in Lehari, A. (ed), *Private Communities and Urban Governance*. Springer. pp. 191-214.
- JICA (2015) *The Roadmap Study for Sustainable Urban Development in Metro Cebu*. Available at: http://open_jicareport.jica.go.jp/pdf/12235529.pdf. (Accessed: 3 September 2020).
- Joshi, A. and Moore, M. (2004). 'Institutionalised Co-production: Unorthodox Public Service Delivery in Challenging Environments', *The Journal of Development Studies*, 40 (4), pp. 31-49. doi: 10.1080/00220380410001673184.

Kampen, M.V. and Naerssen, T.V. (2008). 'Globalization and urban governance in two asian cities: Pune (India) and Cebu (The Philippines)', *European Planning Studies*, 16(7), pp. 941–954. doi: 10.1080/09654310802163736.

Kaplan, A. (1996). *The Development Practitioners' Handbook*. Pluto Press.

Kelly, P.F. (1997). 'Globalization, Power and the Politics of Scale in the Philippines', *Geoforum*, 28(2), pp. 151–171. doi: 10.1016/s0016-7185(97)00009-2.

Kenna, P. (2008). 'Globalization and Housing Rights', *Indiana Journal of Global Legal Studies*, 15(2), pp. 397–469. doi: 10.2979/gls.2008.15.2.397.

Kritz, B. (2016) 'Tap the PPP program to solve the housing shortage', *The Manila Times*, 6 June. Available at: <https://www.manilatimes.net/2016/09/17/business/columnists-business/tap-the-ppp-program-to-solve-the-housing-shortage/286236/286236/>. (Accessed: 3 September 2020).

Lacaba, J.F. (1995) 'Boss: Five Case Studies of Local Politics in the Philippines'. *Philippine Center for Investigative Journalism*. Institute for Popular Democracy.

Lipietz, B. and Ortiz, C. (eds.) (2016). *Grounded Planning. People-Centred Urban Development Practices in the Philippines*. Available at: <https://www.ucl.ac.uk/bartlett/development/files/grounded-planning-people-centred-urban-development-practices-philippines>. (Accessed: 3 September 2020).

Llanto, G.M., Manasan, R.G., Lamberte, M.B. and Laya, J.C. (1996). 'Local Government Units' Access to the Private Capital Markets'. *Philippine Institute for Development Studies*. Makati City.

Marana, P., Labaka, L. and Sarriegi, J.M. (2018) 'A framework for public-private-people partnerships in the city resilience-building process', *Safety science*, 110, pp.39-50. doi: 10.1016/j.ssci.2017.12.011.

Miraftab, F. (2004). 'Public-Private Partnerships: The Trojan Horse of Neoliberal Development?', *Journal of Planning Education and Research*, 24(1), pp. 89–101. doi: 10.1177/0739456X04267173.

Miraftab, F. (2009). 'Insurgent Planning: Situating Radical Planning in the Global South'. *Planning Theory*, 8(1), pp. 32–50. doi: 10.1177/1473095208099297.

- Mitlin, D. (2008). 'With and beyond the state – co-production as a route to political influence, power and transformation for grassroots organizations'. *Environment and Urbanization*, 20(2), pp. 339–360. doi: 10.1177/0956247808096117.
- Morvaridi, B. (2008) 'Neoliberalism and Social Justice', in: *Social Justice and Development*. Palgrave Macmillan, London.
- Mouffe, C. (2000) *The Democratic Paradox*. London: Verso.
- Nacario-Castro, E.N. (2020). Interviewed as a former employee of Ramon Aboitiz Foundation Inc. and currently an independent observer of MCDCEB.
- National Economic and Development Authority (2017) *Philippine Development Plan 2017-2022*. Available at: <http://pdp.neda.gov.ph/>. (Accessed: 3 September 2020).
- Ostrom, E. (1996). 'Crossing the Great Divide: Coproduction, Synergy, and Development'. *World Development*, 24(6), pp. 1073–1087. doi: 10.1016/0305-750X(96)00023-X.
- Phang, S. (2013) *Housing finance systems: Market failures and government failures*. London: Palgrave Macmillan. doi:10.1057/9781137014030.
- Philippine Government (1987) *THE 1987 CONSTITUTION OF THE REPUBLIC OF THE PHILIPPINES – ARTICLE XIII*. Available at: <https://www.officialgazette.gov.ph/constitutions/the-1987-constitution-of-the-republic-of-the-philippines/the-1987-constitution-of-the-republic-of-the-philippines-article-xiii/>. (Accessed: 3 September 2020).
- Robins, S., Cornwall, A. and von Lieres, B. (2008). 'Rethinking "Citizenship" in the Postcolony'. *Third World Quarterly*, 29(6), pp.1069–1086. doi:10.1080/01436590802201048.
- Roces, M. (1994). 'An Anarchy of Families: State and Family in the Philippines'. (ed) McCoy, A.W, Madison: Center for Southeast Asian Studies, University of Wisconsin-Madison, *Journal of Asian Studies*. 53(4), pp. 1322–1324. doi: 10.2307/2059319.
- Rogers, P., Burnside-Lawry, J., Dragisic, J. and Mills, C. (2016). 'Collaboration and communication: building a research agenda and way of working towards community disaster resilience'. *Disaster Prevention and Management*. 25 (1), pp.75–90.

Sandercock, L. (1999) 'Knowledge Practices: Towards an Epistemology of Multiplicity of Insurgent Planning', *Plurimondi*. 1(2). pp.169-179.

SDI (2020). *Slum Dwellers International*. Available at: <https://skoll.org/organization/slum-dwellers-international/>. (Accessed: 3 September 2020).

Teodoro, J.I.E. and Co, J.C.R. (2009) 'Community-driven land tenure strategies: The experiences of the Homeless People's Federation of the Philippines', *Environment and Urbanization*, 21(2), pp. 415–441. doi: 10.1177/0956247809344362.

Toubin, M., Laganier, R., Diab, Y. and Serre, D., (2015) 'Improving the Conditions for Urban Resilience through Collaborative Learning of Parisian Urban Services'. *Journal of Urban Planning and Development*. 141(4).

Trangkanont, S. and Charoenngam, C. (2014). 'Private partner's risk response in PPP low-cost housing projects'. *Property management*. 32(1). pp.67–94. doi: 10.1108/PM-02-2013-0008

UCLG (2018) *Right to Housing and Right to the City: cities from across the world come together to launch a common message*. Available at: <https://www.uclg.org/en/media/news/right-housing-and-right-city-cities-across-world-come-together-launch-common-message>. (Accessed: 3 September 2020).

UCLG (2019) *Rethinking Housing Policies*. Available at: <https://www.gold.uclg.org/reports/other/rethinking-housing-policies>. (Accessed: 3 September 2020).

UCLG (2020) *Housing: ensuring everyone can safely #StayAtHome Briefing & Learning Note on April 1st, 2020*. Available at: https://www.uclg.org/sites/default/files/eng_briefing_housing_1le1.pdf. (Accessed: 13 September 2020).

UN Human Rights Office of the High Commissioner (2019) *Access to justice for the right to housing*. Available at: <https://www.ohchr.org/EN/Issues/Housing/Pages/AccessToJustice.aspx#:~:text=Access%20to%20justice%20is%20a%20cornerstone%20of%20the%20right%20to%20housing.&text=They%20have>

%20no%20effective%20access,rights%20violations%20requiring%20effective%20remedies.
(Accessed: 3 September 2020).

UN Human Rights Office of the High Commissioner (2020a) *Special Rapporteur on adequate housing as a component of the right to an adequate standard of living, and on the right to non-discrimination in this context*. Available at:
<https://www.ohchr.org/EN/Issues/Housing/Pages/HousingIndex.aspx>. (Accessed: 3 September 2020).

UN Human Rights Office of the High Commissioner (2020b). *International Standards*. Available at: <https://www.ohchr.org/EN/Issues/Executions/Pages/InternationalStandards.aspx>. (Accessed: 13 September 2020).

UN-Habitat (2009) *Community-based Housing Finance Initiatives*. Nairobi: UN-Habitat. Available at: <https://unhabitat.org/community-based-housing-finance-initiatives>. (Accessed: 3 September 2020).

UN-Habitat (2011) *Public Private Partnerships in Housing and Urban Development*. Available at: <https://unhabitat.org/public-private-partnership-in-housing-and-urban-development>. (Accessed: 3 September 2020).

UN-Habitat (2016) *Slum Almanac 2015-2016*. Nairobi: UN-Habitat. Available at: <https://unhabitat.org/slum-almanac-2015-2016>. (Accessed: 3 September 2020).

Watson, V. (2009). 'Seeing from the south: Refocusing urban planning on the globe's central urban issues'. *Urban Studies*, 46(11), pp.2259–2275.

Watson, V. (2014) 'Co-production and collaboration in planning - The difference', *Planning Theory and Practice*, 15(1), pp. 62–76. doi: 10.1080/14649357.2013.866266.

Wilkinson, A. (2020). 'Local response in health emergencies: key considerations for addressing the COVID-19 pandemic in informal urban settlements', *Environment and Urbanization*. doi: 10.1177/0956247820922843.

World Bank (2017) *Promoting Inclusive Growth by Creating Opportunities for the Urban Poor*. Available at: <https://documents.worldbank.org/en/publication/documents->

reports/documentdetail/904471495808486974/promoting-inclusive-growth-by-creating-opportunities-for-the-urban-poor. (Accessed: 3 September 2020).

World Bank (2018) *Procuring Infrastructure PPPs 2018*. Available at: <https://ppp.worldbank.org/public-private-partnership/library/procuring-infrastructure-ppps-2018>. (Accessed: 3 September 2020).

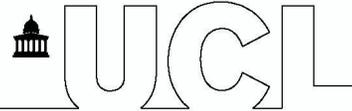
Yilmaz, S. and Venugopal, V. (2013). 'Local Government Discretion and Accountability in Philippines', *Journal of International Development*, 25(2), pp. 227–250. doi:10.1002/jid.1687.

Young, I.M. (2011) *Justice and the Politics of Difference*, Princeton: Princeton University Press.

Yu, S. and Karaos, A.M. (2004) 'Establishing the role of communities in governance: the experience of the Homeless People's Federation Philippines', *Environment and Urbanization*, 16(1), pp. 107–120. doi: 10.1177/095624780401600109.

Appendices

1. The Bartlett Development Planning Unit: Ethical Approval Form



The Bartlett Development Planning Unit: Ethical Approval Form

ALL fields must be completed. The form should be completed in plain English understandable to anyone unfamiliar with your topic.

Your supervisor MUST have discussed this form's contents with you. Your form MUST be signed by BOTH you AND your supervisor – unsigned forms will not be approved.

Thinking about ethics in research is not a matter of completing forms. It is a process of deep thought and critical reflection on issues that concern personal safety and security, relationships of power between the researcher and the researched, and behaviours appropriate to the context and environment where you are conducting your research.

All researchers have a responsibility to think carefully about how they identify and approach ethical issues in their study. Your responses to the questions asked in this form reflect this responsibility. Whether or not your study is granted ethics approval will depend on the level of thought that has gone into completing this form.

It is essential that you discuss your project, methods and ethical issues with your supervisor BEFORE submitting this form.

When completing the form, you must consider the key principles of ethical research:

• **Informed consent**

In order to make a fully informed decision about whether or not to participate in research, all participants must be fully informed of the study and what is being asked of them, including the potential risks and benefits. Consent must be an active step on behalf of the participant and not due to any inducement, coercion or perceived pressure to participate. This is required of all participants in a research study, except, in rare instances, where there is a justification for covert research or deception (such cases must be considered on an individual basis and will require additional detail on the methodologies and safeguards that will be employed to ensure the research conforms to appropriate ethical standards).

• **Benefit not harm**

Research involving human participants must have a benefit to society and the risks involved to participants

• **Confidentiality**

All participants have the right for their participation to remain confidential in that only the researcher will be aware who has participated unless they expressly give their consent for their identity to be revealed. There are exceptions, for instance where participants wish to be identified or they cannot realistically have their identities kept confidential, but informed consent must be obtained from the individual participant in advance of the research and, where possible, that consent should be provided in writing (the only exception being in the case of illiterate participants, who should nevertheless provide tangible evidence of their consent).

You must also consult the following guides to complete this form and confirm that you have read them.

I have read:

- | | | |
|---|---|-----------------------------|
| • UCL Approved Code of Practice (UCL ACOP) | YES <input checked="" type="checkbox"/> | NO <input type="checkbox"/> |
| • UCL Statement of Research Integrity | YES <input checked="" type="checkbox"/> | NO <input type="checkbox"/> |

Further information on [Research Ethics at UCL](#) is available.

Note that there are two level of ethical approval for postgraduate research:

- The DPU Research Ethics Committee – for MSc dissertations, the authority of this committee is devolved to the research supervisor. The supervisor can approve most student projects.
- The UCL Research Ethics Committee – this level of approval is required for work directly involving children and vulnerable adults (e.g. adults with a learning disability or cognitive impairment), or work deemed a high

Created: 09/06/17

risk (e.g. studies involving deception or highly sensitive topics). MSc dissertations should not require this level of ethical approval.

This form should be submitted directly to your research supervisor in the first instance. Your supervisor will advise you if your research needs approval from the UCL Research Ethics Committee.

NAME Yuka Aota

DEGREE PROGRAMME MSc Urban Development Planning

SPECIFIC MODULE FOR WHICH PROJECT IS UNDERTAKEN Development and Planning Dissertation
2019/20

PROPOSED START DATE OF FIELD WORK [Click here to enter a date.](#)

PROPOSED END DATE OF FIELD WORK [Click here to enter a date.](#)

EMAIL yuka.aota.19@ucl.ac.uk

TELEPHONE 07541363098

ADDRESS Room415, John Dodgson House, 24-36, Bidborough St, London WC1H 9BL

NAME OF SUPERVISOR Dr. Catalina Ortiz Arciniegas

1. PROJECT TITLE AND DESCRIPTION

Provide a brief summary of the project and your proposed fieldwork. Include the project aim, where fieldwork will be based, why fieldwork is necessary to your project etc. Maximum 300 words.

In the relation to my dissertation, I will not conduct fieldtrip but conduct interviews with the following three persons. My dissertation will explore how local government supports Informal Settlers Families (ISFs) to realise slum upgrading in the Philippines. My research question will be explored by the interviews. Additionally, (1) Grassroots activities and stakeholder relationships that I cannot understand from literature and (2) The feasibility of the recommendations in my dissertation will be asked to them.

- Ms. Sara Ansari (Stavrakakis) who worked for Homeless International (HI, now called Reall) for five years and closely worked with the FPHPI and PACSII staff.

- Ms. Sonia Fadrig, Homeless People's Federation in the Philippines

- Ms. Evelyn Naccario, Cebu Leads Foundation (The Secretariat of the Metro Cebu Development Cooperation Board)

2. PLACE OF STUDY

Explain where the study will take place (institution/country). Explain if you will require research permission/permits from any institution or body other than UCL. Explain if these are in place or will be in place prior to your field work.

Online discussion platform (Zoom meeting) or emails

3. METHODOLOGY AND METHODS

Briefly explain the research methodology and provide details of all the methods you intend to use. Maximum 300 words.

Online discussion platform (Zoom meeting) or emails

Created: 09/06/17

4a. RESEARCH PARTICIPANTS

Describe the research participants in your study. Include a description of their age range, gender and social characteristics. Explain how they will be recruited to the study.

- Ms. Sara Ansari (Stavarakakis) who worked for Homeless Internaional (HI, now called Reall) for five years and closely worked with the FPHPI and PACSII staff.

- Ms. Sonia Fadrig, Homeless People's Federation in the Philippines

- Ms. Evelyn Naccario, Cebu Leads Foundation (The Secritariat of the Metro Cebu Development Cooperation Board)

4b. RESEARCH PARTICIPANTS

Answer each question below by selecting yes/no as appropriate:

(i) Will the research involve gathering personal information or confidential information on identifiable living individuals?

YES NO

(ii) Will the research involve participants who are particularly vulnerable or unable to give informed consent?

YES NO

(iii) Will the research require the co-operation of a 'gatekeeper' (e.g. a parent or community leader) for initial access to the groups or individuals who are to be studied?

YES NO

(iv) Will it be necessary for participants to take part in the research without their knowledge and consent at the time (e.g. research involving deception or covert observation)?

YES NO

(v) Will the research involve discussion of sensitive topics?

YES NO

(vi) Are drugs, placebos or other substances (e.g. food substances, vitamins) to be administered to participants, or will the research involve invasive, intrusive or potentially harmful procedures of any kind?

YES NO

(vii) Is pain or more than mild discomfort likely to result from the research?

YES NO

(viii) Could the research induce psychological stress or anxiety or cause harm or negative consequences beyond the risks encountered in normal life? This may include stress, anxiety or harm to research participants, or to the researcher?

YES NO

(ix) Will financial inducements other than reasonable expenses and compensation for time be offered to participants?

YES NO

5. SAFEGUARDING PARTICIPANTS

If you selected 'YES' to any of the questions in 4b explain the safeguards you will/have put in place to manage the ethical issues arising.

[Click here to enter text.](#)

6. INFORMED CONSENT

Describe the process you will use when seeking and obtaining consent. You must include copies of Participant Information Sheet(s) and Consent Form(s).

I will send the consent form to the interviewees beforehand and share them with my supervisor before conducting interviews.

7. PERSONAL DATA

Explain how you will manage, store and anonymise personal data gathered in the course of the research so that the information you gather is secure and protects the identity of your research participants.

After collecting my data through the interviews, I will ask interviewees to check of the contents that I will use for my dissertation by email. Also, I will send my draft of my dissertation in the mid of August and plan to receive the consent in the end of August. After this check, I will submit my dissertation through Turnitin.

DECLARATION

I confirm that these details are correct and that I will report any changes in the project to the relevant supervisor.

Signed Yuka Aota

Date 10/07/2020

FOR SUPERVISOR ONLY

- Approve** (research meets necessary ethical standards and can proceed without revision)
- Refer to UCL Research Ethics Committee** (research appears sound, but involves significant ethical risk that requires approval at the UCL level)
- Request for revision** (research is fundamentally ethically sound, but requires specific adjustment before approval or referral)
- Exempt** (research is exempt from the need for approval)
- Reject** (research raises significant ethical concerns which are unresolvable in the present form)

Additionally,

- I have met with and advised the student on the ethical aspects of this project design.
- I am satisfied that the research complies with current professional, departmental and university guidelines including UCL's Risk Assessment Procedures and insurance arrangements.
- I am satisfied that the risk assessment has been satisfactorily completed.
- I am satisfied that appropriate insurance procedures are in place, or will be prior to the commencement of field work.

If you are not satisfied with any of these student actions, please advise your student appropriately and to your satisfaction.

Signed CATALINA ORTIZ

Name Catalina Ortiz

Date 17/08/2020

Created: 09/06/17

CONSENT FORM

If you would be glad to participate in this study, please complete this consent form and return to Yuka Aota via email address below.

	YES	NO
1. I have read and had explained to me the Information Sheet relating to this project.	<input type="checkbox"/>	<input type="checkbox"/>
2. I have had explained to me the purposes of the project and what will be required of me, and any questions have been answered to my satisfaction. I agree to the arrangements for my participation as described in the Information Sheet.	<input type="checkbox"/>	<input type="checkbox"/>
3. I understand that my participation is entirely voluntary and that I have the right to withdraw from the project any time.	<input type="checkbox"/>	<input type="checkbox"/>
4. I agree with the contents of this Consent Form and have received the accompanying Information Sheet.	<input type="checkbox"/>	<input type="checkbox"/>

Name:

Signed:

Date:

Yuka Aota
MSc Urban Development Planning, Bartlett Development Planning Unit
University College London
34 Tavistock Square, Bloomsbury, London WC1H 9EZ
yuka.aota.19@ucl.ac.uk

Information Sheet

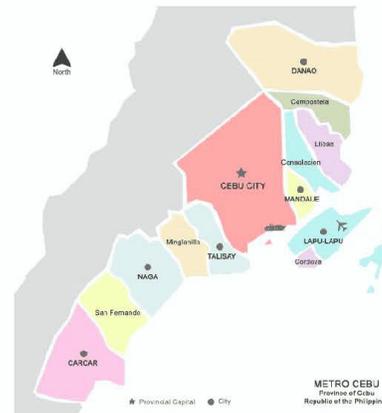
Background

My dissertation will highlight on how local governments can foster community centred urban development in Metro Cebu, Philippines. With a fellowship with United Cities of Local Governments (UCLG), it will also follows Local governments' implementation of the "[Cities for housing](#)" declaration which focus on anti-eviction and slum upgrading strategies linked to the [axis 3 and 4](#) that concern with tools to co-produce public-private community-driven alternative housing and urban planning tools that combines adequate housing with quality, inclusive and sustainable neighbourhoods. As a civil servant of the City of Yokohama, Japan, I am delighted to focus on Metro Cebu, Philippines where the City supported sustainable urban development with Japan International Cooperation Agency (JICA). In order to realise the needs from Informal Settlers Families (ISFs) to obtain the right to housing and avoid undesirable evictions, the dissertation will seek for the community-centred urban development and Public Private People Partnerships (4Ps).

Metro Cebu

The Philippines with 7,107 islands where 5.4% of the urban population or about 2.2 million people of the urban population live in informal settlements or housing inadequacies due to rapid urbanisation (WB, 2017). The population is expected to reach 142 million in 2045 from 109.5 million in 2015 (Philippine Statistics Authority). Metro Cebu, it comprises of three independent cities (Cebu, Mandaue, Lapu-lapu), four component cities (Carcar, Danao, Naga, Talisay), and six municipalities (Compostela, Consolacion, Cordova, Liloan, Minglanilla, San Fernando) (DILG Region VII, 2020).

Mactan Export Processing Zone (MEPZ)'s expansion of manufacturing sector attracted real estate developers to build shopping malls and high-end housings (Sajor, 2013)¹. For instance, South Road Property was developed as a 300ha land reclamation with six-lane coastal roads connecting business district to the south of the city in 1990s. This project pushed thousands of families dependent on

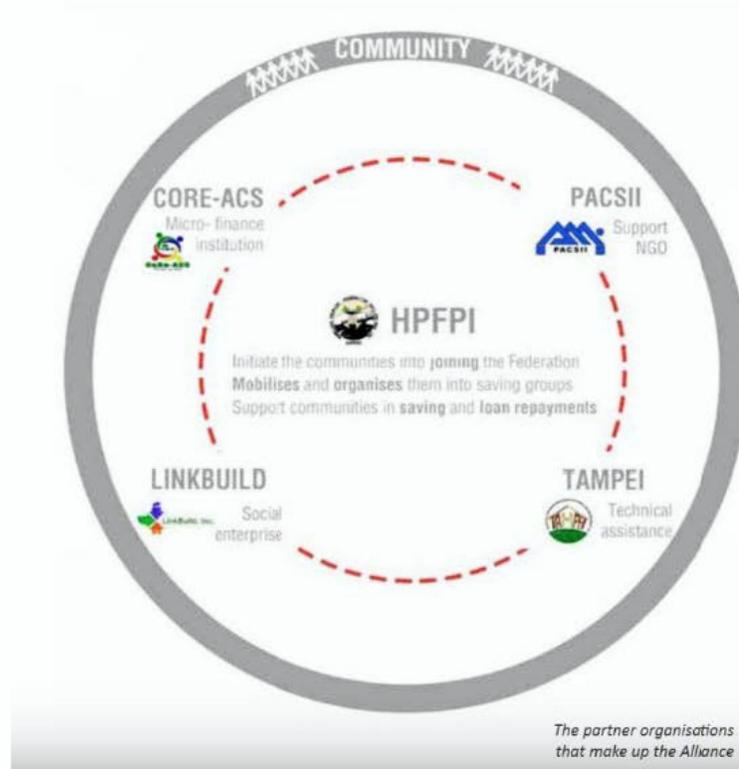


¹ Beerepoot, N. & van Westen, A. (2001) The Mactan Export Processing Zone in comparative perspective, *Philippine Quarterly of Culture and Society*, 29, pp. 226–251.

fishing along the former coastline (Kampen & Naerssen, 2008). Rapid urban growth increased the land and housing price and threaten ISFs from the evictions.

Community-centred urban development

Community-led planning in Metro Cebu was supported by Philippine Alliance (See the figure below) led by Homeless Peoples' Federation Philippines Inc. (HPFPI), which branch is located in Mandaue City. The Philippine Alliance which is comprising of five organisations supported mapping issues and needs. The process of the Philippines Alliance can be classified into four stages: mobilisation, savings, planning and design, and project implementation (DPU, 2016). Each organisation with different strengths in the Alliance supported the process and mobilised discourse by themselves through learning skills.



2. DPU Dissertation Report Declaration of Ownership and Copyright Form

DPU DISSERTATION REPORT DECLARATION OF OWNERSHIP AND COPYRIGHT FORM

All students **MUST** complete one copy of this form and return via email to your designated administrator. Students on MSc BUDD, MSc DAP, MSc HUD and MSc UDP should return their form to Ms Róisín Breen roisin.breen@ucl.ac.uk. Students on MSc ESD, MSc SDP and MSc UED should return their form to Ms Aoife Nevin a.nevin@ucl.ac.uk.

If you fail to submit this statement duly signed and dated, your dissertation cannot be accepted for marking.

1. DECLARATION OF COPYRIGHT

I confirm that I have read and understood the guidelines on plagiarism produced by DPU and UCL, that I understand the meaning of plagiarism as defined in those guidelines, and that I may be penalised for submitting work that has been plagiarised.

Unless not technically possible and with the prior agreement of the Course Director for my MSc programme, the dissertation report must be submitted electronically through TurnitinUK®. I understand that the dissertation cannot be assessed unless it is submitted by the deadline stipulated.

I declare that all material is entirely my own work except where explicitly, clearly and individually indicated and that all sources used in its preparation and all quotations are clearly cited using a recognised system for referencing and citation.

Should this statement prove to be untrue, I recognise the right of the Board of Examiners to recommend disciplinary action in line with UCL's regulations.

2. COPYRIGHT

The copyright of the dissertation report remains with me as its author. However, I understand that a copy may be given to my funders (if requested and if appropriate), alongside limited feedback on my academic performance.

I also understand that a copy may also be deposited in the UCL E-prints public access repository and copies may be made available to future students for reference.

Please write your initials in the box if you DO NOT want this report to be made available publicly either electronically or in hard copy.

YOUR NAME:	Yuka Aota
DISSERTATION TITLE	(Re)thinking housing provision by local governments for Informal Settler Families in Metro Cebu, Philippines
MSC PROGRAMME:	MSc Urban Development Planning
SIGNATURE:	

DATE:	19 September 2020
-------	-------------------

[end of document]