

---

**Submission of Proposals: Application Form.** Please read carefully the "Guidelines for the Submission of Proposals" which outline the modalities for application and the criteria for the selection of proposals spelled out in the Cities Alliance Charter. Please ensure that all necessary supporting documentation is attached to this form. Additional information may also be enclosed, **but total submission should not exceed 12 pages.**

---

DATE: rec'd 15 November 2010

**1. TITLE of PROPOSAL: Developing a National Slum Upgrading Strategy for the Philippines**

**2. PROPOSAL SUBMITTED BY<sup>1</sup>:**

Name and Title: Nestor P. Borromeo, Secretary General  
Organization : Housing and Urban Development Coordinating Council  
Address: 15F, BDO Plaza, Makati Avenue, Makati City  
Telephone/Fax/E-mail: (0632) 811-4168,

Name and Title: Wendel Avisado, Deputy Secretary General  
Organization : Housing and Urban Development Coordinating Council  
Address: 15F, BDO Plaza, Makati Avenue, Makati City  
Telephone/Fax/E-mail: (0632) 811-4116, gemavisado@gmail.com

**3. CITIES ALLIANCE MEMBER(S) SPONSORING THE APPLICATION:**

Name and Title: Christopher T. Pablo, Senior Operations Officer and Task Team Leader  
Organization : The World Bank Office Manila  
Address: 20/F, Taipan Place, Emerald Ave., Ortigas Center, Pasig City, Metro Manila, Philippines  
Telephone/Fax/E-mail: +632-917-3065/632-937-5870/ [cpablo@worldbank.org](mailto:cpablo@worldbank.org)

Name and Title:  
Organization :  
Address:  
Telephone/Fax/E-mail:

**4. RECIPIENT ORGANISATION: – organization that will receive and execute the grant:**

Task Manager Name & Title: Wendel Avisado, Deputy Secretary General  
Organization : Housing and Urban Development Coordinating Council  
Address: 15F, BDO Plaza, Makati Avenue, Makati City  
Telephone/Fax/E-mail: (0632) 811-4168

**5. OTHER IMPLEMENTING PARTIES (if any):**

Name & Title: Organization: Address:  
Contact Person/Title:  
Telephone/Fax/E-mail:

---

<sup>1</sup> Country-specific proposals typically originate from local authorities, but must be sponsored by at least one member of the Cities Alliance (see [Cities Alliance Charter](#), Section D.14).

## INFORMATION ON PROPOSED PROJECT:

6. Type of activity (check one):  
City Development Strategy  Slum Upgrading  Both
7. Geographic Scope of Activity (specify):  
City:  
Country: Philippines  
Global/Regional/Multi-country:
8. Expected Duration: 18 months

## BUDGET SUMMARY

9. Amount of total budget requested from Cities Alliance funding: **US Dollars 500,000**
10. Co-financing amount of total budget, including local partners: **US Dollars 500,000**
11. Total project budget cost: **US Dollars 1,000,000**
- 

## DESCRIPTION OF PROPOSED PROJECT

### 12. Background: *(Issues to be addressed and scope of the Project)*

The Philippines is among the rapidly urbanizing countries in Asia with 60% of its total population living in urban areas. At its current urbanization rate, it is expected that the urban population will account for 75% of the total national population in 25 years and 84% by CY2050<sup>2</sup>. The urban economy likewise exhibits significant growth. In 2007, the urban sector accounted for 70% of the country's Gross Domestic Product (GDP) with Metro Manila contributing about 33%. This expansion of the urban economy steadily attracts an increasing number of people thereby causing strain on the capability of existing urban systems to provide the required level of services to people. Rapid urbanization and economic growth present both opportunities and challenges and if left unmanaged and without adequate preparation, these could pose overwhelming concerns especially among countries where the rate of urbanization is greater than the capability of the government to institute readiness measures. In the Philippines, an important challenge is improving the poor condition of slum communities and addressing their impact on the larger society and the economy.

**Increasing Slum formation.** The continuous formation of slum communities is largely manifested in Metro Manila, the main urban metropolis of the country. In CY2000, it was estimated that about 727,000 families were living in slums and according to the most recent Family Income and Expenditure Survey in CY2006, the proportion of households living in informal settlements in Metro Manila had risen from 5.3% to 9.6%. With the steady rate of urbanization, a proportionate increase in the number of slum communities is expected among the country's urban areas.

**Poor condition of Slum Communities.** Slum communities in the Philippines endure very poor living conditions such as cramped living spaces, lack of proper housing and insecure tenure, inadequate access to basic services such as water and sanitation, and exposure to health risks. Slum dwellers also often suffer from the stigma and isolation from the larger community thereby hindering their integration into mainstream society and their access to other opportunities.

**Exposure to Natural and Man-made Risks.** Vulnerability to natural and man-made disasters is another problem that confronts slum communities. In September and October 2009, Typhoons Ondoy and Pepeng hit Metro Manila, Central Luzon and Northern Luzon and caused substantial damage to lives and properties.

---

<sup>2</sup> Benjamin Cariño and Arturo Corpuz, "Toward A Strategic Urban Development and Housing Policy for the Philippines". July 2009

An estimated 220,000 houses, most of which belonged to informal settlers, were damaged and destroyed. As climate change brings forth new threats of heavy rains and flooding, an estimated 83,000 families mostly composed of slum dwellers, living along flood prone areas are in danger of inundation and will require relocation as a pre-emptive measure<sup>3</sup>. In April 2010, an estimated 3,000 families in a slum community in Quezon City, one of the heavily populated cities in Metro Manila, lost dwelling units and properties from a fire that gutted 1,500 houses. A few months before, in December of the previous year, the same community was razed by fire rendering about 200 families homeless.

**Inadequate Slum Information Systems.** The lack of updated and national data on slum communities affects the capability of government to formulate well-targeted and responsive policies and programs to address the conditions of slum communities and their impact on society. There are no firm estimates on the number of informal settlers in the country based on an identifiable data set or statistically valid estimating methodology<sup>4</sup>. Oftentimes, the numbers depend on the agency or the organization counting and tend to focus on government-led interventions. For instance, the CY2000 census estimated around 239,000 informal households for the entire country but for the same year, the HUDCC reported about 727,000 informal households in Metro Manila alone. On the other hand, the approach used by some non-government organizations (NGOs) and government agencies to estimate informal settlers as 30% of the total urban population will give a figure of about 3.1 million informal households in the country. The numbers related to housing backlog also exhibit similar inconsistencies. While the HUDCC estimates the national housing backlog for the period CY2005 to CY2010 at 1.17M housing units, the National Housing Authority (NHA) has reported that the CY2007 backlog for Metro Manila alone already stood at 544,000 housing units for informal settlers. Aside from the numbers, there is limited qualitative information that accurately captures the varied nature and characteristics inherent to slum communities that will allow a more comprehensive understanding of slums and the complexities of the systems by which they subsist.

### 13. Objectives

The proposal aims *to develop a National Slum Upgrading Strategy to guide the National Government and local government units (LGUs) in the preparation and implementation of effective policies and programs on slum upgrading*. The strategy is expected to provide reference and support the key thrusts of the Government to develop “Sustainable Communities” and formulate a “National Government Resettlement Policy”, as well as present inputs in updating the National Urban Development and Housing Framework (NUDHF). It is envisioned to align and feed into the preparation and implementation of the CY2010–2016 Medium Term Philippine Development Plan (MTPDP), which focuses on promoting inclusive growth and addressing inequity as a central theme. The strategy is also envisaged to promote awareness, involvement, ownership, accountability and partnerships in slum-upgrading initiatives among the concerned stakeholders such as LGUs, national government agencies, the slum communities, NGOs, the private sector, and civil society.

### 14. Methodology

The **Housing and Urban Development Coordinating Council (HUDCC)**, as implementing agency, will develop the general work plan for this project. A **Project Advisory Committee**, composed of key agencies such as the National Economic and Development Authority (NEDA), will be constituted to oversee the progress of the project. The periodic progress and outputs of the assignment will be presented to the **Philippine Urban Consortium (PUC)**<sup>5</sup>, launched in August 2009 as a platform for active discussion on issues and policies related to urban development, to ensure that project activities and outputs benefit from a multi-stakeholder perspective and that these are advocated and mainstreamed in related policies and

---

<sup>3</sup> Post Disaster Needs Assessment -Philippines, November 2009.

<sup>4</sup> Philippine Asset Reform Report Card. PhilDHRRA, May 2008.

<sup>5</sup> The Philippine Urban Consortium is composed of the Working Group on Urban Competitiveness chaired by the NEDA; Working Group on Shelter and Basic Services chaired by the HUDCC; Working Group on Planning and Management Systems chaired by the Department of the Interior and Local Government (DILG); and Working Group on Sustainable Communities chaired by the League of Cities of the Philippines (LCP). Each working group is actively attended by representatives from government, slum communities, non-government organizations, private sector, civil society and the academe.

programs. The project will actively engage key institutions, such as the Department of the Interior and Local Government (DILG), through consultations and focus group discussions to get their inputs on the design and implementation of the technical assistance and ensure that the assignment is supportive of government directions and responsive to the needs of concerned stakeholders. The assignment will primarily involve the following approaches:

- A. Consolidation and Review of Secondary Data.** An inventory and analysis of information from past and current slum upgrading initiatives by government and other stakeholders will be undertaken. This will include: a.) Examination of government policies and strategies related to slum upgrading; b.) Documentation and assessment of successful and non-successful slum upgrading programs (local and international) by national government agencies, LGUs, and NGOs; and c.) Identification of the lessons and the factors that contributed to successes or failures for consideration in the design of the strategy.
- B. Knowledge Sharing.** The Cities Alliance has funded successful slum upgrading initiatives in Brazil and South Africa that produced practitioners who now offer a wealth of knowledge that the assignment will use as reference and build upon. The assignment will also pursue partnerships with Vietnam, and Indonesia<sup>6</sup>, which are now implementing similar projects, to facilitate exchange of implementation experiences. This collaboration is expected to pave the way for a possible regional program on slum upgrading that will allow for more strategic, holistic and replicable interventions to address slum upgrading issues in the region. Along this line, the knowledge sharing approach is envisioned to initiate the formation of a **Community of Practice** among slum upgrading practitioners within the country and in the region to allow for continuous capacity development and technology transfer in this subject.
- C. Consultations, Workshops, Validation and Assessment.** The findings of the secondary data review will be supplemented and verified through onsite consultations, workshops, and focus group discussions with concerned stakeholders such as slum communities, national agencies and LGUs, NGOs, private sector, and civil society organizations. Appropriate instruments and methods will be employed to facilitate the effectiveness of these activities.
- D. Feeder Studies and Surveys.** As necessary, rapid feeder studies and surveys will be conducted to provide updated technical reference for specific issues and supply the necessary evidence to guide and support the findings and recommendations under the different phases of this assignment.

The project will be undertaken in sequenced phases to facilitate the processing of outputs that feed into the different implementation stages. These phases are described as follows:

### **Phase1. Preparatory Activities**

This phase will focus on the readiness of institutions involved in the assignment and will involve establishing the implementation arrangements and the conduct of a preparatory workshop to launch the project and obtain local and global insights that could feed into the design and implementation of its different phases.

**Activity 1.1 Defining Implementation Arrangements.** This activity will involve setting-up the implementation structure and arrangements to initiate project start and will include: 1.) *Establishment of the Project Advisory Committee*; 2.) *Preparation of the Work and Financial Plan (WFP) and Detailed Implementation Plan (DIP) outlining the specific activities under the assignment*; and 3.) *Preparation of the Terms of Reference (TOR) for concerned consultancy services and Partnership Agreements (PA) with institutional and individual practitioners.*

---

<sup>6</sup> The projects of these countries include "Enhancing Access of the Urban Poor and Vulnerable Groups in Vietnam to Basic Infrastructure and Housing"; "Indonesia Slum Alleviation Policy and Action Plan (SAPOLA)"; and "Brazil National Urban Development Policy: Support to the National Program for Land Tenure Regularization and Socio-Environmental Risk Prevention in Precarious Settlements."

**Activity 1.2 Preparatory Workshop.** An initial workshop will be held to take stock of current trends and initiatives related to slum upgrading. Local and international institutions and professionals who have been recognized for best practices in slum upgrading will be invited to participate and share with stakeholders their knowledge and experiences. The workshop is expected to offer a broad body of evidence-based experiences to serve as initial reference for designing and pursuing the various phases of the project.

## **Phase2. Comprehensive Assessment**

The lack of national, comprehensive and updated information about slum communities is seen as a critical limitation in the development and implementation of more responsive slum upgrading policies and programs and in monitoring the extent to which these have been effective. Relative to this, a comprehensive assessment of the conditions, issues, opportunities and risks confronting slum communities will be undertaken to provide the necessary information and serve as anchor for the formulation of a National Slum Upgrading Strategy. This phase is expected to produce a **Comprehensive Assessment Report** that is envisioned as a definitive study to establish the baseline information about Philippine slum communities and serve as reference for further interventions related to slum upgrading. A number of interrelated activities will comprise this phase as follows:

**Activity2.1 Inventory and Assessment of Policies, Programs, Processes and Institutions.** The experiences and lessons of policies, programs, and processes undertaken by the government, NGOs, and private sector organizations to address the concerns of slum formation and slum upgrading have been varied. While a number of these have been successful, there are those that have resulted to minimal success. A comprehensive evaluation of the effectiveness of these policies, programs and processes will be complemented by an equally comprehensive analysis of the institutions vested with interests and mandates related to slum upgrading.

- The Urban Development and Housing Act of 1992 mandates the national government and local government units (LGUs) to provide for the basic services of informal communities, yet even communities in government resettlement programs suffer from lack of access to basic services such as electricity and water<sup>7</sup>.
- The Comprehensive Land Use Plans (CLUP) and the Comprehensive Development Plan (CDP), which are mandatory LGU planning instruments, very seldom capture the needs of slum communities and provide direction as part of the local planning and resource programming agenda of LGUs.

This activity will include: 1.) *Inventory and analysis of national and local government policies, programs and processes related to slum upgrading;* 2.) *Examination of options for integrating effective slum upgrading approaches of government and non-government organizations;* 3.) *Institutional analysis of government agencies, NGOs, and private sector organizations to determine their actual capacity to implement and support related policies, programs and processes;* 4.) *Institutional analysis of slum communities to identify options for developing their capacity in relation to slum upgrading;* and 5.) *Identification of options to develop partnerships among the different institutions in the implementation of joint slum-upgrading programs.*

**Activity 2.2. Inventory and Assessment of Slum Issues.** Developing an effective slum upgrading strategy requires a sound understanding of the complex issues, diverse conditions, and risks confronting slum communities to establish the baseline information on which the strategy will be anchored. Relative to this, it is essential to gather and analyze both numeric and qualitative information such as the institutional relationships, the structures, and the systems that characterize the different slum communities to define how they actually “work and exist”. A key challenge, however, is the lack of common and national level information on slum communities to facilitate a comprehensive analysis of these issues. While there are efforts by concerned government agencies and NGOs to collect data about slums, these are mostly limited to slum communities that are recipients of specific assistance programs.

---

<sup>7</sup> Philippine Asset Reform Report Card. PhilDHRRA, May 2008.

This activity will involve: 1.) *Consolidation and analysis of secondary information to establish the conditions and the “cause and effect relationships” of issues faced by slum communities*; 2.) *Conduct of a **Small Area Survey** for a sample set of slum communities to validate and substantiate the findings of the secondary data analysis and to collect and analyze information that characterize slum communities such as physical traits, cultural and institutional structures, political and governance systems, and socio-economic conditions among others*; 3.) *Characterization of the different slum communities and establishment of a proposed “typology of slum communities” as well as common “slum related terminologies” to guide policy development and planning processes*; 4.) *Development of criteria for prioritizing and ranking the issues per type of slum community*; 5.) *Development of a **Model Slum Database Information System***; and 7.) *Development of **Guidelines for Conducting Survey of Slum Communities** for possible undertaking by the Government (at national and local levels) or NGOs.*

Preliminary and related work at gathering secondary data has been initiated through the CAPSTONE Program of the World Bank and New York University (NYU) and this could serve as initial input to this activity. The small area survey, which will comprise of quantitative and qualitative aspects, will be conducted using a combination of appropriate methodologies such as household level surveys and statistical sampling. Available and validated data from LGUs, NGOs, and concerned organizations will also be utilized.

### **Phase3. Strategy Formulation**

The **National Slum Upgrading Strategy** will be formulated taking into account the findings and recommendations of the Comprehensive Assessment Report under Phase2. The current directions and priorities of the new Government will also be considered and reviewed to ensure that the strategy is aligned with these and that it is able to provide inputs to the concerned agencies in designing related programs. The strategy is expected to support the formulation of the National Government Resettlement Policy by HUDCC by providing the results of the qualitative assessment and characterization of slum communities as analytical reference. These findings are envisaged to provide an enhanced understanding of the conditions and the needs of the different types of slum communities, beyond what is physically appreciated, to ensure that resettlement programs are well-planned by the concerned institutions, effectively undertaken in a “just and humane” manner, and allows for the sustainability and improvement in the living standards of the resettled communities. The HUDCC also places among its long term thrusts the development of Sustainable Communities through the engagement and collaboration among the private sector, communities, LGUs, NGOs, civil society organizations, and NGAs. Among the outputs of the strategy are the analysis of concerned institutions and the development of options for developing partnerships among the different stakeholders in undertaking joint efforts related to slum upgrading. In the same vein, these outputs are expected to provide initial basis for identifying the key institutions as well as the necessary conditions for pursuing and establishing effective multi-stakeholder partnerships as envisioned under the Sustainable Communities initiative.

The strategy will be subject to a series of consultations with concerned stakeholders and it is expected to have the following elements, among others: a.) Vision and General Principles that frame the strategy; b.) Action Plan outlining the process to implement the strategy at the national and LGU levels; c.) Investment Plan identifying and estimating the inputs and resource requirements of the strategy; d.) Institutional Arrangements identifying the institutions, actors and policies necessary to support the action plan and mainstream the strategy in government planning processes such as in the MTPDP, the NUDHF, and in national and local development planning systems such the preparation of the CLUP and CDP; e.) Framework for adoption and implementation of the Slum Database Information System and the conduct of a National Survey on Slum Communities; and f.) Targets and Performance Indicators to eventually monitor and assess the implementation and effectiveness of the strategy.

The primary outputs of this phase will include: 1.) *Draft and final versions of the National Slum Upgrading Strategy*; 2.) *Presentation of the draft and final versions of the strategy to the PUC in a plenary meeting attended by representatives from local stakeholders, such as concerned government agencies, LGUs, NGOs, private sector, civil society, slum communities and international experts*; 3.) *Communications Plan*

presenting the key activities to promote and support the approval and adoption of the strategy; and 4.) Regional presentations of the final strategy.

## 15. Deliverables

Phase	Activities	Outputs
Phase 1: Preparatory Activities	Activity 1.1 Institutional Arrangements	<ol style="list-style-type: none"> <li>1. Establishment of the Project Advisory Committee</li> <li>2. Work and Financial Plan and Detailed Implementation Plan</li> <li>3. Terms of Reference for Consultancy Services and Partnership Agreement</li> </ol>
	Activity 1.2 Preparatory Workshop	<ol style="list-style-type: none"> <li>1. Preparatory Workshop conducted</li> <li>2. Workshop Report and Knowledge Product</li> </ol>
Phase 2: Comprehensive Assessment	Activity2.1 Inventory and Assessment of Policies, Programs, Processes and Institutions	<ol style="list-style-type: none"> <li>1. Report on Inventory and analysis of government policies and processes related to slum upgrading</li> <li>2. Report on Inventory and analysis of past and current slum upgrading programs by government and NGOs</li> <li>3. Report on Institutional analysis of government agencies, NGOs, private sector organizations involved in slum upgrading</li> <li>4. Report on Institutional analysis of slum communities</li> <li>5. Report on options for integrating effective government and NGO approaches and developing partnerships among institutions concerned with slum upgrading</li> <li>6. Report on Consultation Workshops with Stakeholders</li> </ol>
	Activity2.2 Inventory and Assessment of Slum Issues	<ol style="list-style-type: none"> <li>1. Report on the inventory and analysis of secondary data pertaining to conditions and issues per type of slum community</li> <li>2. Report on the proposed “slum related terminologies” and “typology of slum communities” for the Philippines</li> <li>3. Small area survey conducted and results integrated with findings of the secondary data analysis</li> <li>4. Criteria for prioritizing issues per type of slum community developed</li> <li>5. Report on available data and information systems on slums and development of a Model Slum Database and Information System</li> <li>6. Guidelines for conducting a Survey of slum communities developed</li> </ol>

		7. Comprehensive Assessment Report 8. Report Consultation Workshops with Stakeholders
Phase 3: Strategy Formulation		1. National Slum Upgrading Strategy 2. Presentation of draft and final versions of the strategy to the PUC Plenary Meeting 3. Communications Plan prepared 4. Regional presentations of the strategy conducted

### 16. Expected Outcomes and Related Monitoring Indicators and Plans

Outcomes	Indicators	Means of Monitoring	Agency Responsible
1. National Slum Upgrading Strategy mainstreamed in national and local government planning processes.	• Executive Issuance adopting the National Slum Upgrading Strategy.	• Executive Issuance	• PUC and HUDCC
	• Department Order from concerned agencies mandating the incorporation of the National Slum Upgrading Strategy in the CLUP and CDP process.	• Department Order	• PUC and concerned agencies
2. Increased knowledge and involvement of stakeholders on issues and in initiatives related to slum upgrading.	• Active participation of representatives from slum communities, civil society, NGOs, government, private sector, and academe in PUC discussions on slum related issues and interventions.	• PUC Agenda and Attendance Report	• PUC Core Secretariat

**17. Sources of Investment to Implement the CDS Programme.** Once adopted and implemented, the National Slum Upgrading Strategy is expected to facilitate the identification of specific infrastructure investments related to slum upgrading. The Support for Strategic Local Development and Investment Project (SSLDIP), which the Bank currently supports, and the Regional Infrastructure for Growth Project (RIGP), which is presently being prepared, are possible sources of financing for these investments.

**18. Partnerships.** The creation of the Project Advisory Committee outlines the partnership between the concerned government agencies in the preparation of National Slum Upgrading Strategy. Wider partnership among the different stakeholders is expected through the PUC, which serves as the venue for pursuing wider and national collaboration and consensus on the subject.

**19. Government Commitment and Approval.** The development of a National Slum Upgrading Strategy is a firm commitment by the Government of the Philippines (GOP) as indicated in the Partnership Agreement and Joint Work Program between the GOP and the Cities Alliance (CA). The commitment of HUDCC as implementing agency will be secured through formal confirmation from the concerned officials of said office.

## 20. Implementation and Financing Plans

PROJECT COMPONENTS	Consulting Services	Workshops	Dissemination	Others	Total
<b>Part A. Project Phases and Activities</b>					
Phase 1: Preparatory Activities	10,944	27,361			38,306
Phase 2: Comprehensive Assessment	210,444	16,944			227,389
Phase 3: Strategy Formulation	75,389	51,694	22,222		149,306
<b>Subtotal: Part A</b>	<b>296,778</b>	<b>96,000</b>	<b>22,222</b>	<b>-</b>	<b>415,000</b>
<b>Part B. Project Administration and Supervision</b>					
1. Independent Audit				10,000	10,000
2. Supervision Cost - HUDCC				30,000	30,000
3. Supervision Cost - World Bank				45,000	45,000
<b>Subtotal: Part B</b>				<b>85,000</b>	<b>85,000</b>
<b>Total Cities Alliance Grant Request (A+B)</b>	<b>296,778</b>	<b>96,000</b>	<b>22,222</b>	<b>85,000</b>	<b>500,000</b>
<b>Part C. Co-Financing</b>					
1. In-kind contribution (Government and stakeholders)				500,000	500,000
<b>Subtotal: Part C</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>500,000</b>	<b>500,000</b>
<b>Total Project Cost (A+B+C)</b>	<b>296,778</b>	<b>96,000</b>	<b>22,222</b>	<b>585,000</b>	<b>1,000,000</b>

The project is estimated to cost USD1M. This will consist of a USD500,000 grant from the CA covering **Part A-Project Phases and Activities** estimated at USD415,000 and **Part B-Project Administration and Supervision** at USD85,000. Part B will comprise of USD10,000 for Independent Audit; USD3,000 for Incremental Operation Cost of HUDCC; and USD45,000 for the Supervision Cost of the World Bank. An equivalent USD500,000 in the form of in-kind contribution will be provided by the government implementing agencies as well as stakeholders who will be involved in the different phases of the assignment.

## 21. Project Schedule and Delivery Targets

Project Activities and Milestones	Months																	
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
<b>I. Phase 1-Preparatory Activities</b>																		
1: Defining Implementation Arrangements	■	■																
2: Preparatory Workshop		■																
3: Procurement of Consultants		■	■	■														
4: Inception Report					■													
<b>II. Phase 2-Comprehensive Assessment</b>																		
1. Inventory and Assessment of Policies, Programs, Processes and Institutions						■	■											
2. Inventory and Assessment of Slum Issues						■	■											
3. Small Area Survey and Characterization of Slum Communities						■	■	■										
4. Preparation and Presentation of Small Area Survey Results								■	■									
5. Preparation of Model Slum Database and Information System and Guidelines for Survey of Slum Communities								■	■	■								
6. Preparation of Draft Comprehensive Assessment Report									■	■	■							
7. Series of Consultation Workshop with Communities and Stakeholders						■	■	■	■	■								
8. Final Comprehensive Assessment Report												■						

III. Phase 3-Strategy Formulation															
1. Preparation of Draft National Slum Upgrading Strategy															
2. Series of Consultation Workshops (Stakeholder Discussion-Draft Strategy)															
3. Finalization of Strategy															
4. Presentation of Final Strategy to the Philippine Urban Consortium															
5. Communication and Advocacy (Publication, Regional Presentations, Media Coverage)															
IV. Administrative Milestones															
1. Bi-Monthly Reports															
2. Mid-Term Evaluation															
3. End of Project Evaluation															
4. Draft Final Report															
5. Final Report															

**22. Expected Currency of Expenditure.** US Dollars and Philippine Peso

**23. Co-financing Arrangements.** The concerned parties, such as the HUDCC and the PUC will provide counterpart in-kind contributions, in the form of staff time, office space allocation, and staff transportation expenses during the workshops. The concerned stakeholders (e.g. National Government Agencies, LGUs, NGOs, slum communities, private sector and civil society representatives, etc.) will likewise provide counterpart in terms of staff time and transportation expense. Co-financing is estimated at USD500,000.

**24. Costing Assumptions.** Exchange rate between US Dollars and Philippine Peso assumed at 1:45.