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Gender sensitive Livelihoods systems analysis

FREETOWN, 21-25 FEBRUARY 2017

Training Pack

Trainers:

Braima Koroma, IGDS, Njala University, SLURC Co-Director
Braima Koroma is a development and sustainable development planner. He holds a BSc (Hons) in Environment and Development (First Class) and two MSc degrees in Development Studies (University of Sierra Leone, 2002) and Environment, Management and Sustainable Development with Distinction (Manchester Metropolitan University, UK, 2003). He has a special interest in urban livelihoods, environmental management, climate change and development impact evaluation. He is currently a lecturer in the Institute of Geography and Development Studies, School of Environmental Sciences, Njala University. He has over 10 years' experience of teaching, research, training and facilitation, and consultancy on a broad spectrum of interdisciplinary research to examine complex development problems. Braima have worked as an environment and development consultant for clients that have included the African Development Bank, the World Bank, Japan International Cooperation Agency, UK Department for International Development (Justice Sector Development Programme), German Technical Cooperation Agency, UNEP, the World Food Programme, Ministry of Lands, Country Planning and the Environment, Ministry of Finance and Economic Development, NASSIT, NaCSA, Plan International-Sierra Leone, World Vision International. He is presently the Science and Technology Correspondence for the United Nation Convention to Combat Desertification and Land Degradation. His recent research has been on improving the living conditions of communities and ecosystems facing land degradation and climate change in Sierra Leone.

Julian Walker, The Bartlett Development Planning Unit, University College London
Julian Walker is the Co-Director of the MSc Programme in Social Development Practice, the Director of the DPU's Training and Advisory Services, and the Co-Director of the DPU's Gender Policy and Planning Programme
I am a social development practitioner, with a background in social anthropology. Starting with work on involuntary resettlement, my original interest in social development was focused on how 'social' impacts of infrastructure and economic development projects are defined and addressed, and how they can be managed to ensure more equitable outcomes, by promoting the active participation of affected citizens and the protection of their rights. This emphasis on equity has led me to also focus on issues of gender equality and social diversity more generally.
My social assessment work has included work with both donor funded infrastructure projects (in China and the Philippines) and private sector infrastructure projects in the oil and gas industry (in the Russian Federation and Egypt). My work on gender equality and social diversity has included support to development organizations which are working to bring a gender equality perspective to their interventions, including housing and infrastructure projects, rural livelihood projects and health programmes, with a specific focus on HIV/AIDS. I have carried out this programmatic work on gender equality with organizations working in Africa, Asia, Eastern Europe and Central Asia. In addition my work has included support to the development of institutional strategies for mainstreaming gender equality into the work of multi-lateral and bi-lateral development agencies. A key component of this institutional capacity building work has been the development and implementation of training on gender policy and planning for development professionals.

Andrea Rigon, The Bartlett Development Planning Unit, University College London
Andrea is a Lecturer at The Bartlett Development Planning Unit of University College London with a background in development studies and research, consultancy and project management experience in several countries. He is particularly interested in the upgrading of informal settlements in the context of pre-existing social conflict. He also has a research interest in the ethnographic study of the practices of development organizations and social movements, particularly in terms of internal power relations and knowledge production. Andrea is a member of the SLURC project management team with strategic direction, capacity development and financial accountability responsibilities.

Sudie Austina Sellu, SLURC Livelihoods Research Officer
Sudie Austina Sellu is a prospective graduate in Applied Accounting with Diploma and certificate in Business & Financial Management from the Association of Business Executives (Abe-UK) and the Institute of Public Administration and Management (IPAM-USL) respectively. She brings a four-year work experience as Data and Field Officer from Centre of Dialogue on Human Settlement and Poverty Alleviation (CODOHSAPA) and Restless Development Sierra Leone. She has built a career in working with people living in deprived communities within and outside Freetown on Data collection and Management, Sexual Reproductive Health, Gender Based Violence, livelihoods and women empowerment. Her aspirations yearn for having equal and improved welfare, opportunities and chances for the deprived and less privileged people especially women and girls in society.

With the support of Akopon J. Bertin and Sulaiman Foday Kamara

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Livelihoods Systems Analysis
Workshop 21 – 25 February 2017

Braima Koroma

February 2017

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Presentation:
- Objective of the training
- Purpose of the wider research project
- Research: areas of enquiry
- Brief overview of the livelihoods of people living in informal settlements in Freetown
- Plan of the week
- Ground rules

Objective of the training:

- Be able to analyse and understand livelihoods system and their importance for the wellbeing of women and men
- Gain an increased understanding of the importance of livelihoods for the wider city
- Be able to understand how women and men participate differently in various livelihoods activities

- Become familiarised with different conceptual and methodological approaches to urban livelihoods
- Be able to apply basic fieldwork methods
- Be able to communicate objectives, findings and aims of future research in a succinct, and accessible manner.

Purpose of the wider research project:

1. Demonstrate the importance of informal livelihoods
2. Evaluate/compare different livelihood arrangements
3. Reveal the differentiated experience of livelihoods
4. Understand the spatial dimensions of livelihoods
5. Produce knowledge to inform livelihood strategy development

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Research: Areas of enquiry

1. Livelihood systems: mapping livelihood systems
2. Context: mapping the context of livelihoods systems and aspects of this may enable or disable livelihood strategies
3. Adaptive strategies: examining individuals, households and other livelihood units' adaptive strategies in response to risks, shocks and trends
4. Livelihood outcomes: documenting the outcomes of the different livelihood strategies both for the well-being of those involved, and for the wider well-being of Freetown and its residents

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Research methods:

- Research will be conducted in four settlements:
  - Two coastal settlements – Cockle Bay and Portee/Rokupa
  - Two hillside – Dwarzack and Moyiba
- Four criteria was used for the study area selection:
  - Settlement type
  - Place of location
  - Amount of existing knowledge on the settlement
  - Frequency of disaster risk
- Three measures to identify the final selection for inclusion
  - Presence of PSPP grantees
  - Offer opportunity to do research
  - Opportunity to generalise findings
- Combine both qualitative and quantitative methods of data collection and analysis through a concurrent mixed methods research design.
- Units of analysis: households
- Purposive non-random sampling

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Brief overview of the livelihoods of people living in informal settlements in Freetown

• Petty trading/small businesses • Fishing • Stone quarrying • Backyard/market gardening • Housemaid • Hired labour /carrier of goods • Street vending and selling • Formal employment as watchmen, domestic workers etc.	• Driving and transport work • Casual labourers in factories and Construction work • Personal servicing • Shop assistant • Garbage picking • Artisans • Hairdressing salons and dressmaking shops

Slide 1

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Plan of the week:

	Tuesday	Wednesday	Thursday	Friday	Saturday
9.00	Intro/welcome/overview of the research project (BK)	Informal economy: definitions and message (AR)	Travel to settlements	Analysis of field findings	Communication of preliminary findings to a wider range of stakeholders
9.45	Presentation of livelihoods scoping in the 4 settlements (AS)	Group work 4: spatial mapping of sector activities	Introduction to community		
10:30 – Break					
11.00	Introduction to sustainable livelihoods framework (AR)	Presentation and discussion of GW 4	Focus group discussion (fishing and quarrying)	Analysis of findings	Planning next steps Certificates
11.30	Group work 1: mapping livelihood systems: 3 trade cases	Presentation for fieldwork (teams and responsibilities, information, ethics etc)	•Sector system map •Spatial livelihoods map		
12.15	Presentation and discussion of group work	Travel to settlements			End
13:00 – Lunch					
14.00	Introduction to gender	Introduction to settlement leaders	Individual interviews 2	Preparation of communications/research outputs	
14.20	Group work 2: daily activities of women and men	Transect walks – focus om key locations for livelihoods)			
14.50	Presentation and discussion of GW2				
15:30 – Break					
15.45	Gender analysis tools (JW)	Individual interviews (daily activities and personal histories)		Preparation of communications/research outputs	
16.15	Group work 3: livelihood personal histories				

Slide 2

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Ground Rules:

- **Punctuality:** Arrive on time to each workshop session. Arriving late is a sign of disrespect to the trainer and to your fellow participants
- All participants' inputs are equally valued.
- Participants are expected to share all relevant information.
- The sessions will start and end on time and will start on time after breaks.
- Only one conversation will go on at once (unless subgroups are working on a topic).
- The group is responsible for the deliverables.

Ground Rules:

- Cell phones should be turned off at the beginning of the workshop and should remain off until the end except during breaks
- Ask Questions: There are no stupid questions. If you do have a question you don't want to ask in front of others, ask it privately during a break. Please do not think any question you have is unimportant
- Give your honest feedback after the training session. Constructive criticism is appreciated and is the only way that we can improve.

# Livelihood Scoping in Cocklebay, Dworzark, Moyiba and Portee/Rokupa

Sudie Austina Sellu

Support: Sulaiman & Akopon

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Presentation outline

- Purpose of scoping
- Scoping activity
- Communities covered
- Settlement overview
- Sectors identified
- Where the activities take place
- supports from NGO
- Difference in women & men participation
- Why women & men engage in such sectors

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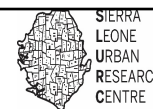
Purpose of the scoping

The purpose of the initial scoping activity is to:

- Identity key livelihood sectors of interest to the research
- Understand sectors most representative of informal sector residents' livelihood activities in Freetown
- Understand specific livelihood sectors peculiar to the 4 case study settlements
- Assess the value of particular livelihood sectors for women and men in the settlements
- To identify key sectors for women and for men.
- To begin to understand the spatial dimensions of key livelihood sectors

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Describe scoping activities

Duration : 5 working days

Communities: Portee/Rokupa, Moyiba,
Dworzark and Cocklebay.

Engaged about 8-10 people per community
in Focus Group Discussions for key
information gathering

Methodology: Qualitative Data collection
using semi-structured interviews

Category of people engaged: Chiefs,
councillors, youth leaders, heads of
livelihood organisations and unions,
women's leaders and community members

Overview of the settlement

Community	Geographical location	Estimated Population	Distance from the city centre	Challenges
Dworzark	Hill/ mountain top	>16,500 SDI/YMCA	3.5km	Flooding, mud & rock slides, erosion, water and sanitation
Cocklebay	coastal	20,000 YMCA	5.5km	Eviction, Health & sanitation
Portee/ Rokupa	Coastal	45,000 SDI/YMCA 6000 BRAC	10km	Wind Storm, Flooding, health and roads
Moyiba	Hill/mountain top	> 37,000 by community	5km	Flooding, Landslide, road infrastructure

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Sector	Activity	Main type of employment	Location
Stone	stone quarrying	Self employed/ household	Moyiba, Dworzark
Sand	sand mining	Self employed /household	Cocklebay
Fishing	Fish mongering, drying)	Self employed/ household	Portee/Rokupa, Cocklebay
Trading	scrap metal, Cooking condiments & basic food stuff trading, cosmetic, clothing, wood and charcoal, stationary, betting and gambling vendors, mobile scratch cards sales)	Self employed/small businesses	All communities
Transport	bike riding, Vehicle driving, Auto mobile mechanics		
Construction work	Mason, Carpentry, plumbing, welding,		
Personal Service	hair dressing, barbing, Tailoring,, Baking, Electrician, Commercial Sex Work, Baby-sitting and domestic work, car wash, Artistic/Artisan designing, manual labour,		
Agriculture	vegetable gardening	Self employed	
Professional services	Nurses, Pharmacist, Teaching, security, printing	Formal	
Culture	secret & groups traditional herbalist/healers, witch doctors	Self employed	
Housing Rental	Landlord services	Self employed	

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Where do these activities take place?

- Within the communities
- Neighbouring communities
- The wider city (city centre and across)

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What kind of support do NGOs offer?

- Self employment-Skills training & start-up kits
- small & medium enterprises- financial support & business skills
- Urban agriculture (seedlings)
- Health-campaign(stipend)

Difference in women and men participation in those sectors

Sector	Dominance	% of dominance (estimate from community members
Trade	Women & men	70%women 30% men
Fishing	Women and men	60%women 40%men
Quarrying	Women and men	50%men 50%women
Men focused		
Mining	men	100%
Transport	men	100%
Women focused		
Service (House and child care giving, commercial sex work)	women	100%

why women and men choose to engage in those sectors

- skills, education and experience required
- Closeness, availability and access to raw material
- Availability and accessibility to finance and support services like training
- Level of risk involved
- Economic benefits
- Amount of income
- Cultural(stereotypic psyche, societal expectation)
- Unemployment

Thanks for listening!

Any question, query or concern?

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Understanding urban livelihoods

Andrea Rigon, February 2017

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livelihood

a means of securing the necessities of life

It comprises the assets and activities required for a means of living

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The Sustainable Livelihoods Framework

Vulnerability Context
Shocks
Seasonality
Trends
Changes

H

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P   F

influence

Policies Institutions Processes

Livelihood Strategies

Livelihood Outcomes

Livelihoods assets

Human Capital

Social Capital

Natural Capital

Women & men

Physical Capital

Financial Capital
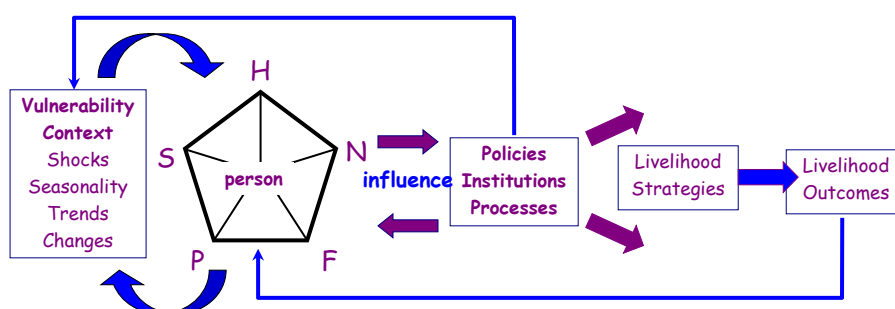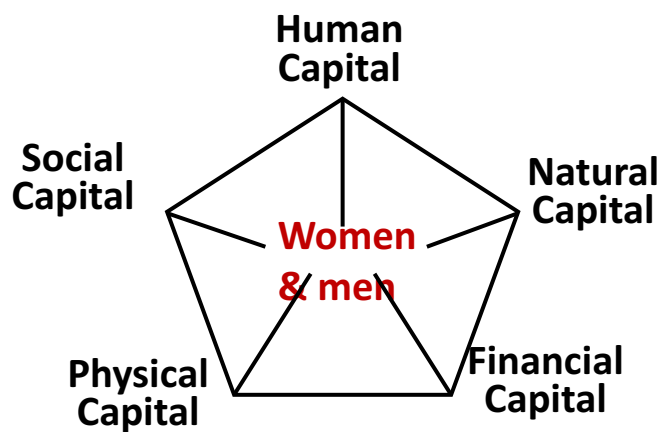
Different households with assets mix

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Human Capital

- Health
- Nutrition
- Education
- Knowledge and skills
- Capacity to work
- Capacity to adapt

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Natural Capital

- Land and produce
- Water & aquatic resources
- Trees and forest products
- Wildlife

- Wild foods & fibres
- Biodiversity
- Environmental services

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Social Capital

- Networks and connections
  - o patronage
  - o neighbourhoods
  - o kinship
- Relations of trust and mutual support
- Formal and informal groups
- Common rules and sanctions
- Collective representation
- Mechanisms for participation in decision-making
- Leadership

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Physical Capital

- Infrastructure
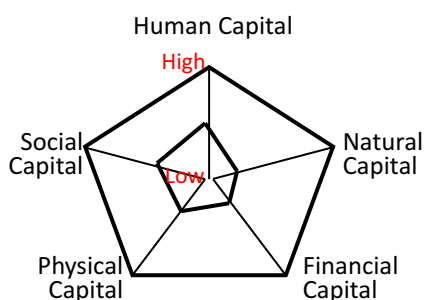 - transport - roads, vehicles, etc.
  - secure shelter & buildings
  - water supply & sanitation
  - energy
  - communications
- Tools and techology
  - tools and equipment for production
  - seed, fertiliser, pesticides
  - traditional technology

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Financial Capital

- Savings

- Credit/debt - formal, informal, NGOs

- Remittances

- Pensions

- Wages

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Landless female Agricultural labourer

Human capital
• labour capacity
• no education
• limited skills
Natural capital
• landless
• access to common property resources
Financial capital
• low wages
• no access to credit
Physical capital
• poor water supply
• poor housing
• poor communications
Social capital
• low social status
• descrimination against women
• strong links with family & friends
• traditions of reciprocal exchange

Human Capital
High
Social Capital
Low
Natural Capital
Physical Capital
Financial Capital

an extremely reduced "livelihood pentagon"

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Second hand clothes seller in Freetown informal settlement
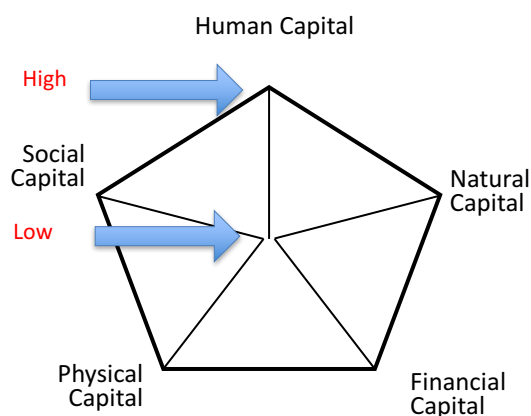
Human capital

Natural capital

Financial capital

Physical capital

Social capital

Human Capital
High
Social Capital
Low
Natural Capital
Physical Capital
Financial Capital

Vulnerability Context

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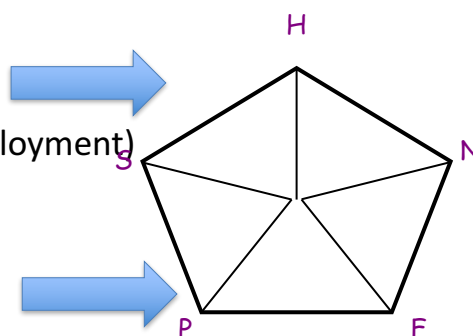LEONE
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- **Shocks**
  - Floods, droughts, fire
  - Deaths in the family
  - Violence or civil unrest
- **Seasonality** (prices, employment)
- **Trends** and **changes**
  - Population
  - Environmental change
  - Technology
  - Markets and trade
  - Globalisation

H

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Policies, institutions, processes

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Policies

Governments (central & local)

International bodies

NGOs

Institutions

political, legislative & representative bodies

Civil society organisations (e.g. NGOs)

Judicial bodies

law, money

political parties

corporations

Processes

"Rules of the game"

Social norms

Gender, class, ethnicity, religion

Language
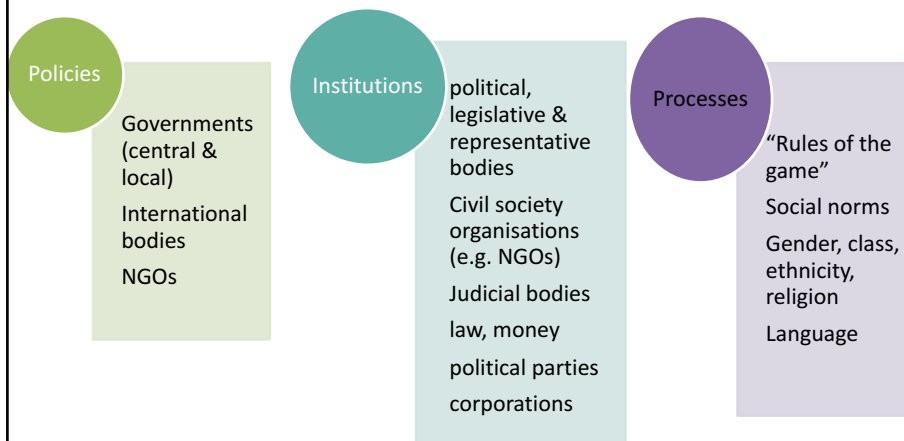
Livelihoods strategies

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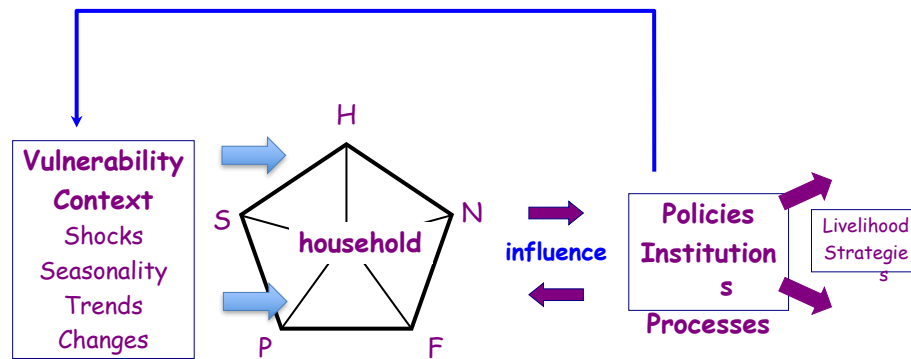
Livelihood Outcomes

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E.g.
More income
Increased well-being
Reduced vulnerability
Improved food security
More sustainable use of natural resources

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The Sustainable Livelihoods Framework

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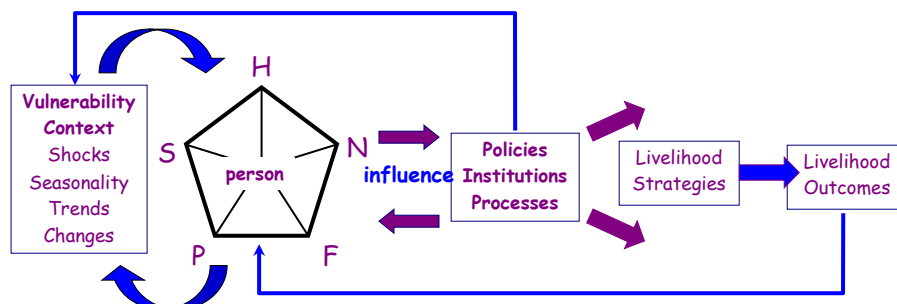
Sustainable livelihood

when it can cope with and recover from stresses
and shocks and maintain or enhance its
capabilities and assets both now and in the
future, while not undermining the natural
resource base. (Chambers & Conway).
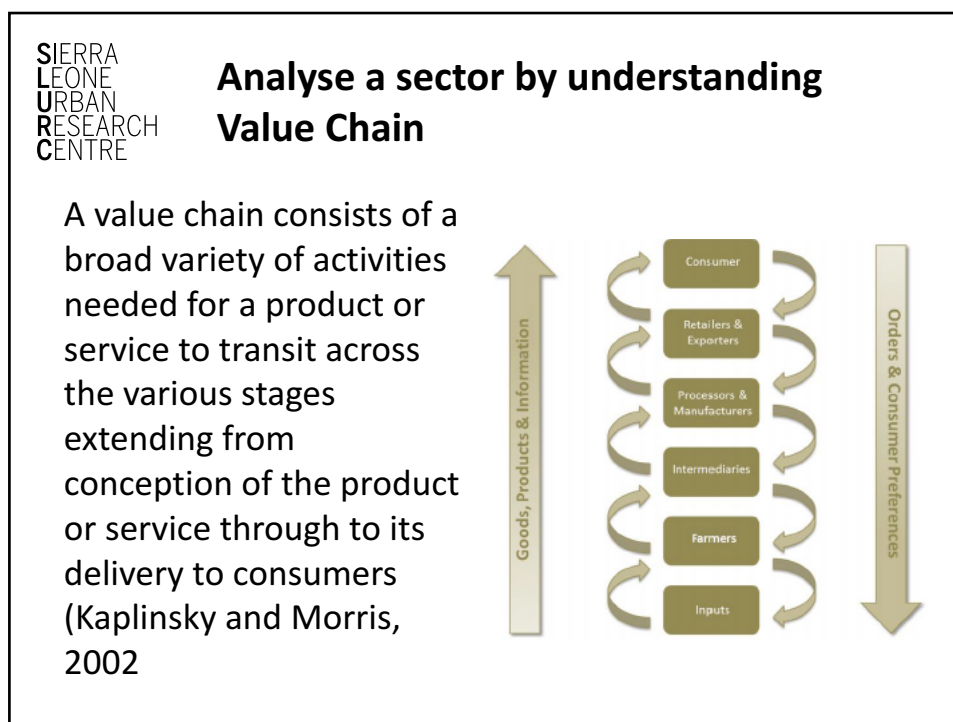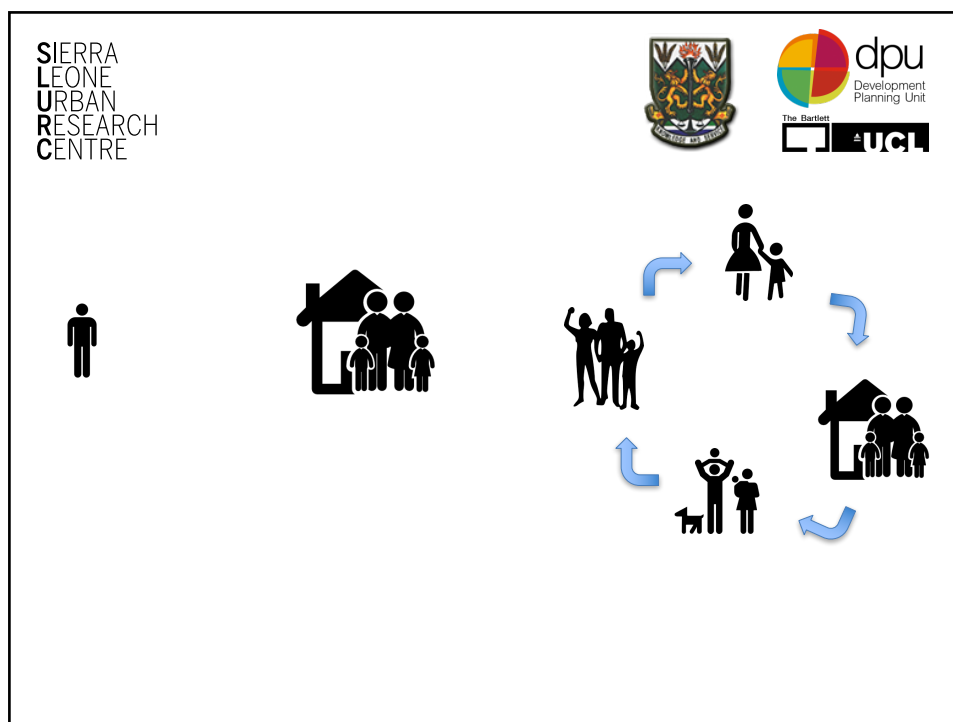
Analyse a sector by understanding Value Chain

A value chain consists of a broad variety of activities needed for a product or service to transit across the various stages extending from conception of the product or service through to its delivery to consumers (Kaplinsky and Morris, 2002

Mapping the chain:

A technique that helps to identify the chain's different links and actors, their functions, degrees of power and relationships.

Second hand clothes sector in Sierra Leone
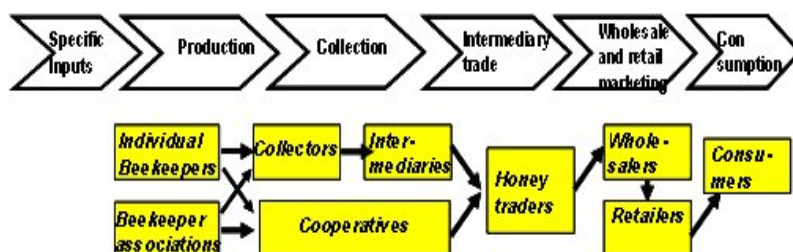
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Step 1: mapping stages

Let's draw the value chain for second hand clothes starting from clothes traders in informal settlements

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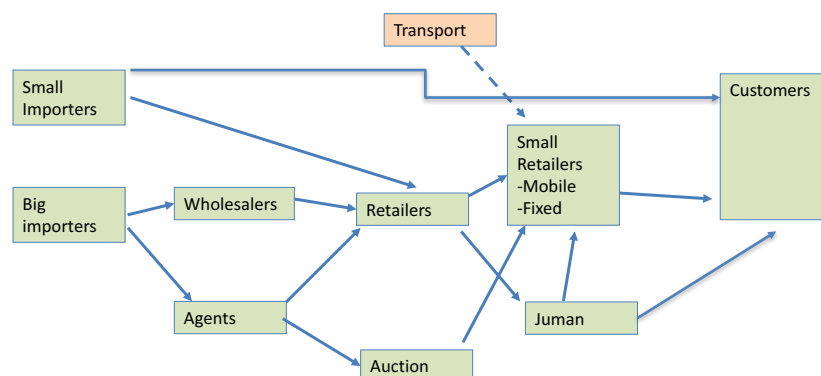|	
Who are the actors involved at this stage? E.g. How many people are involved at this stage? What characteristics do they have? Are activities equally performed by men and women? What is the age of the actors? What organisational work do they work in? (self-employed, informally employed, home-based work)	**Actors** **Step 2: understanding stages**
What do the actors actually do?	**Activities**
What do actors have in order to work at this stage? e.g. skills/knowledge, inputs, equipment, knowing some people **What do the actors lack which inhibits their livelihoods?**	**Assets**
What flows to the next stage of the value chain? (e.g. flows of product, cash, information and knowledge) **How does the value of products change throughout the chain?**	Flows =>
What flows from the following stage of the value change? How does cash move across the stages?	Flows <=

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Step 3: discussion on the chain

1. Who are the most powerful actors in the value chain and why? What are the least powerful actors in the value chain and why?
2. What are the main organisations (government, NGOs) that support the value chain? What interventions do they implement? What stages of the value chain do they focus on?
3. Are there formal or informal collective organisation of the actors involved at specific stages (e.g. cooperatives, trade associations)?
4. How has the chain's structure evolved in the past five years?
5. Have new actors emerged or existing ones disappeared?
6. Who are the chain's main competitors?

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Gender Analysis of Livelihoods

Julian Walker, February 2017

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Gender and Livelihoods: Analytical Categories

- Gender Roles
- Household Composition
- Access to and Control over Resources
- Gender Needs

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Gender Roles

ROLES	WOMEN	MEN
REPRODUCTIVE *Tasks associated with daily child rearing and domestic chores*	Childbearing and child rearing Organisation of the household	No continuous responsibility but may have occasional customary domestic tasks

Gender Roles

ROLES	WOMEN	MEN
PRODUCTIVE *Work done by both women and men for pay in cash or kind*	In formal sector often lower paid and in 'women's sectors' The work of low income women in informal economy is often invisible because it operates at household and neighbourhood levels. Work often not in official statistics. Where `secondary' income earners, make a critical contribution to income in poorer households. In FHH, may be sole income earners	In most countries, represent the majority of the labour force in the formal economy, in higher paid jobs; access to wider range of occupations (also stereotyped); are the majority in senior management. Higher proportion of men are `middlemen' in the informal sector.    Work of poorer men also not in statistics.    Perceived as `primary' income earner (even when unemployed)

Gender Roles

ROLES	WOMEN	MEN
COMMUNITY MANAGING *Voluntary and unpaid activities at community level*	Tend to be involved in unpaid community <u>provision and maintenance</u> of collective goods and services (eg. water, roads)	Tend to be involved in unpaid community provision of collective goods and services (eg. water, roads)

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Gender Roles

ROLES	WOMEN	MEN
CONSTITUENCY-BASED POLITICS	Strongly influenced by class, education, age, ethnicity	
Participation in decision-making at all political levels on behalf of interest-based constituencies	Are low proportion of leaders except in autonomous women's organisations promoting customary concerns of women. *Numbers* may be boosted through quota systems. Responsibility and number tend to increase at local levels.	Tend to dominate leadership.

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Household Composition

How do we define a 'household'?

What is a 'female headed household'?

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Household Composition

How do we define a 'household'?
- – Living under one roof?
- – Pooled income?
- – Eating together?

What is a 'female headed household'?
- – No adult male is present (legally defined or in practice?)
- – Woman is the main breadwinner?
- – Household members define a women as the household head?

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Access to and *Control over* Resources

'Access to' means the opportunity to *use* a resource

'Control over' means *final decision making power* over how a resource is used or disposed of.

Questions raised:
- Does access to income generating opportunities necessarily imply 'economic empowerment'?
- In home based enterprises, or where household resources are pooled, do all household members have equal access to and control over resources?
- Does the absence of visible conflict in a household mean that all household members are in agreement about the use of household resources?

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Gender Needs

Women and men, girls and boys have different **gender roles**	Women and men, girls and boys have different access to and control over **resources**

Therefore….. They have different (gender) needs:

PRACTICAL GENDER NEEDS the needs of women and men, girls and boys which come out of existing gender roles	STRATEGIC GENDER NEEDS the needs of women and men, girls and boys which may change existing gender roles
PGN met through actions which assist women and men, girls and boys to perform existing gender roles more easily	**SGN** met through actions which challenge or change existing gender roles, relations and control over resources.

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Informal economy contribution to the city

Andrea Rigon, February 2017

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informal sector refers to employment and production that takes place in unincorporated, unregistered or small enterprises

Informal employment refers to employment without social protection, and is defined as:
- workers and employers employed in their own informal sector enterprises;
- all contributing family workers;
- employees holding informal jobs, i.e. not covered by legal protection or social security;
- members of informal producers' cooperatives;
- and own-account workers producing goods exclusively for own final use by their household (ILO 2013: 42)

The *informal economy* refers to all units, activities and workers so defined and the output from them.

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construction workers, domestic workers, home-based producers, street vendors, transport workers, waste pickers, and informal employees
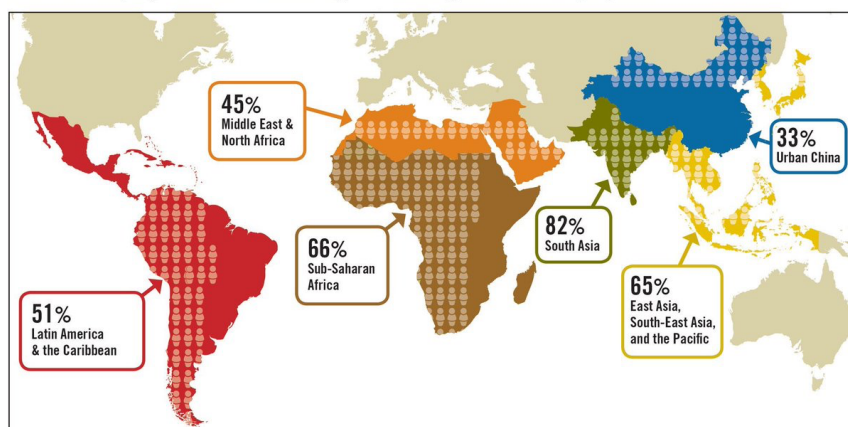
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earning for informal workers generally low,
But large share of country's economy

Sub-Saharan Africa	
Benin (2000)	61.8%
Burkina Faso (2000)	36.2%
Cameroon (2003)	46.3%
Niger (2009)	51.5%
Senegal (2000)	48.8%
Togo (2000)	56.4%

Contribution of informal sector enterprises to economy

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Informal Employment as a Percentage of Non-Agricultural Employment

45% Middle East & North Africa

33% Urban China

66% Sub-Saharan Africa

82% South Asia

51% Latin America & the Caribbean

65% East Asia, South-East Asia, and the Pacific

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Informal employment

key source of jobs for women and for young people

66% of non-agricultural employment in Sub-Saharan Africa

74% of women workers and 61 of men workers in Sub-Saharan Africa

In the global south, self-employment outweighs wage employment as a source of non-agricultural informal employment

own account workers are 53 per cent of non-agricultural informal employment in Sub-Saharan Africa

In Sierra Leone, informal employment account for 70% of workers

Self-employment in Sierra Leone account for 83.9% of employment

(2015, National Census)

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How many of you work in the formal sector?

In order to do your work successfully, what services and goods from the informal sector do you use?

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- source of employment and wealth for the city
- goods and services are connected with those in the informal sector (formal sector would not work without the informal)

- Division is not simple:
    - Many sectors have informal and formal aspects
    - E.g. Formal enterprise can employ people informally

- Importance of informal economy not fully understood
- government policies often have a negative impact on informal livelihoods

- Research (to understand contribution to city & find effective ways to support the livelihoods of those resident in informal settlements).

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- Display in a visible way to all participants a map of the settlement and a map of the city.

- Going through each stage, ask where the differnet activities take place? And why do they take place there?

- Mark on the map where the activities take place

Second hand clothes sector in Sierra Leone
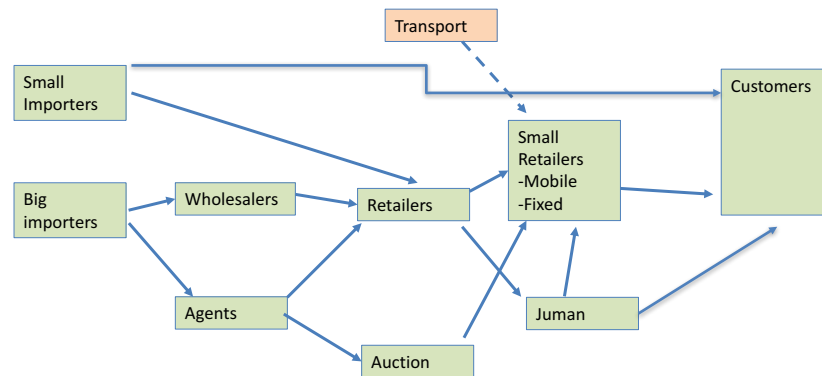
DEFINITION OF GENDER ROLES AND GENDER NEEDS

GENDER ROLES

Gender Planning recognises that in most societies low-income women and men are involved in reproductive, productive, community managing and constituency-based politics activities. The nature and extent of their involvement in each activity reflect the gender division of labour and power relations in a particular place at a particular time. The gender division of labour is a dynamic relation which must be reflected in gender diagnosis.

Reproductive role: Child bearing and daily tasks associated with child rearing and domestic tasks, primarily done by women. Men usually have occasional customary domestic tasks (e.g. house building and maintenance). It includes not only biological reproduction but also elements of the reproduction of the labour force and social reproduction. It varies according to gender, class, ethnicity and stage in the life cycle.

Productive role: Work done by both women and men for pay in cash or kind. It includes both market production with an exchange value, and subsistence/home production with actual use value, but also potential exchange value. Reflects social relations.

Community managing role: Voluntary unpaid activities undertaken mostly by women, but also by men, at the community level to ensure the provision and maintenance of scarce resources of collective consumption, such as water, health care and education. It is as an extension of women and men's reproductive role, undertaken where goods and services needed in reproductive role are not, or are badly provided for. Reflects social relations. This role tends to increase in situation of scarcity.

Constituency-based politics role: Political activities undertaken at community, local, national and/or sometimes international levels on behalf of interest-based constituencies, within the framework of traditional/customary structures, party politics and/ or lobbying/ campaign groups. Reflects social relations.

GENDER NEEDS

Women and men have different gender needs, by virtue of their socially constructed roles. It is useful to distinguish between two types of gender needs:

Practical Gender Needs (PGN) are the needs identified by women and men which arise out of the customary gender division of labour. PGN are a response to immediate perceived necessity, identified within a specific context. They are often concerned with inadequacies in living conditions such as water provision, health care, employment. PGN are context-specific

Strategic Gender Needs (SGN) reflect a challenge to the customary gender relations and imply change in relationships of power and control between women and men. SGN which women identify arise from women's recognition and challenge to their subordinate position in relation to men in their society, for example, equal access to employment, equal pay, equal legal rights. SGN which men identify arise from men's recognition and challenge to their exclusion from domains which customary male roles impose and which contribute to the perpetuation of women's subordination, for example, sharing child care. SGNs are context-specific.

Data Collection Tool: THE DAILY ACTIVITIES OF WOMEN AND MEN

Objective: To identify the various daily tasks of women and men and how they affect their participation in livelihood activities.

Process:

1. Record the sex and age of the respondent, location of the household, the income level, and specify the members of the household (including their age and sex) and the date which the timeline describes (specify also day of the week).

2. Speaking to the respondents, ask them to describe all of the different activities that they undertook on their most recent working day (ideally the day before the interview). Ask them to start by specifying what they did when they woke up etc. Record these activities on the chart overleaf.

    Please note:
    - Respondents may do more than one activity concurrently – eg taking care of children while working. In this case record these as overlapping activities.

3. Where these tasks involve other household members or members of the community, specify who. Record this support on the chart.

4. For each of the activities discuss where it takes places

5. After you have completed the time line ask the respondent if there are other important activities that they are involved in that they do not do on a normal working day. Specifically ask about any important that they are involved in periodically:

    - o Childcare or housework activities
    - o Income generating work
    - o Unpaid community work
    - o Political activities

Other activities not conducted on a daily basis
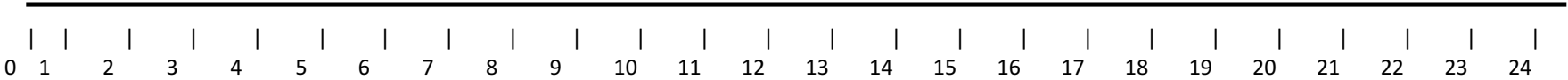
Childcare/ housework:

Income generating work:

Unpaid community work:

Political activities:

SEX AND AGE OF RESPONDENT:
PLACE OF RESIDENCE:
INCOME LEVEL:
HOUSEHOLD MEMBERS (Age + Sex):
DATE of timeline:

Activities

0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24

People supporting the activity

Place

Data Collection Tool: LIVELIHOOD PERSONAL HISTORY

Objective: To explore the factors that have affected women and men's participation in a livelihood sector over the course of their career.

Process:

1. Start by asking the respondent's age, sex, place of residence, main livelihoods sector, income level (eg average monthly earnings?), and household members.

2. Ask them to explain *when* and *why* they started working in this livelihood sector and what they were doing previously?

3. Working from the start date/ year go along the timeline to define when there were key changes in **livelihood activities** (*e.g. change in livelihood tasks, e.g. from processing to selling, move from employed to self-employed, significant changes in earnings, changes in ownership of productive assets*).

4. Above the timeline, record the key changes in **personal circumstances** that the respondent says has affected their livelihoods activities (*e.g. finished school, got married, had children, became ill, moved place of residence*).

5. Below the timeline record key **contextual** changes that the respondent thinks has affected their livelihood activities (*e.g. environmental changes or shocks, changes in rules and legislation, changes in in land and property costs, infrastructure provision*).

SEX AND AGE OF RESPONDENT:
PLACE OF RESIDENCE:
LIVELIHOOD SECTOR:
INCOME LEVEL:
HOUSEHOLD MEMBERS (Age + Sex):
Why did they choose to work in this sector? What were they doing previously?:

Personal circumstances

Livelihood Activities

Context

Participatory Value Chain Mapping Tool

Objective: gain an in-depth understanding of a value chain

Key definitions:
Valued chain: A value chain consists of a broad variety of activities needed for a product or service to transit across the various stages extending from conception of the product or service through to its delivery to consumers (Kaplinsky and Morris, 2002

Mapping the chain: A technique that helps to identify the chain's different links and actors, their functions, degrees of power and relationships.

This tool is to be applied to structure the discussion of a focus group.
What is needed?
People: 6-15 participants working in the same sector of the chain, possibly in different roles and both women and men; facilitators.
Place: A space where people can comfortably sit in circle
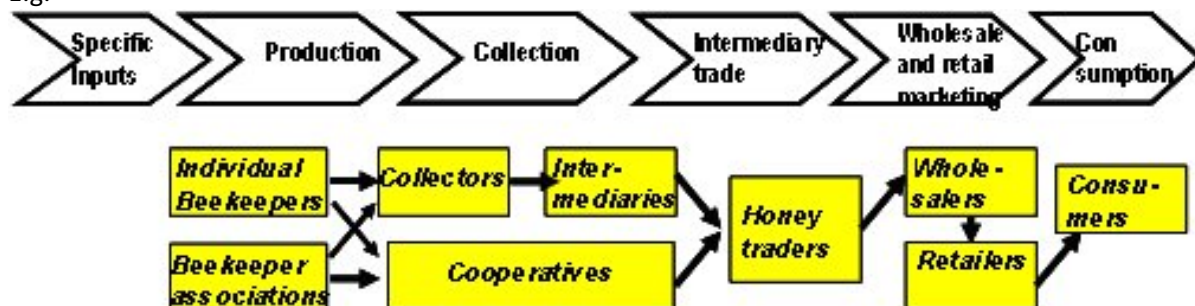**Time:** 2 hours
Materials: flipchart paper, map of the settlement and city, markers, templates with question and to fill information.

The tool has 4 Steps:

Step 1: Mapping the different stages of the value chain

1. Explain in simple terms through an example what is a value chain
2. using as a question: "What are the different stages in the value chain?" Draw big on flip chart a value chain similar to the below.
3. Ask if there is any stage that was forgotten. Integrate the stage and check if every participant is happy with the chain.

E.g.

Specific Inputs → Production → Collection → Intermediary trade → Wholesale and retail marketing → Consumption

Individual Beekeepers → Collectors → Intermediaries
Beekeeper associations → Cooperatives
Honey traders
Wholesalers → Retailers → Consumers

Step 2: understanding the different stages
1. Using the prompt questions in the table below discuss **each stage** of the value chain
2. Take notes on flipcharts as well as on the forms to enable participants to see what has been discussed

Step 3: key questions on the
Maintaining visible flipcharts with the entire value chain and information on the different stages. Discuss with the group the questions below:

1. Who are the most powerful actors in the value chain and why? What are the least powerful actors in the value chain and why?
2. What are the main organisations (government, NGOs) that support the value chain? What interventions do they implement? What stages of the value chain do they focus on?
3. Are there formal or informal collective organisation of the actors involved at specific stages (e.g. cooperatives, trade associations)?
4. How has the chain's structure evolved in the past five years?
5. Have new actors emerged or existing ones disappeared?
6. Who are the chain's main competitors?

You can validate information asking everyone if they agree, and promoting the participation of all people to the discussion. Take note if there are disagreements on particular issues.

Stage 4: mapping spatially where the different stages of the value change take place

1. Display in a visible way to all participants a map of the settlement and a map of the city.
2. Going through each stage, ask where the differnet activities take place? And why do they take place there?
3. Mark on the map where the activities take place

Sector: Date: Place:	Stage:	Stage:	Stage:
Actors: Who are the actors involved at this stage? E.g. How many people are involved at this stage? What characteristics do they have? Are activities equally performed by men and women? What is the age of the actors? What organisational work do they work in? (self-employed, informally employed, home-based work)			
Activities: What do the actors actually do?			
Assets: What do actors need to work at this stage? e.g. e.g. skills/knowledge, inputs, equipment, knowing some people **What do the actors lack which inhibits their livelihoods?**			
Flows ➡ **What flows to the next stage of the value chain?** (e.g. flows of product, cash, information and knowledge) How does the value of products change throughout the chain?			
Flows ⬅ What flows from the following stage of the value change? How does cash move across the stages?			

ENHANCING
PRODUCTIVITY IN THE
URBAN INFORMAL ECONOMY

1

●●●●●●●●
INTRODUCTION

The informal economy is the lifeblood of many cities today. It provides jobs for many, in some cities the majority of urban workers, provides flexible services to many urban residents, and makes significant contributions to urban economies. The informal economy demonstrates vibrancy, flexibility and entrepreneurship, and supports local supply chains and global exchange. However, diversity makes the informal economy hard to capture in conventional urban policy processes.

This report argues for a radical and new policy paradigm, to promote inclusion of informal workers in urban dialogues, and mainstream the informal economy in urban policies and strategies. Over the last 20 years knowledge has grown – of the potential of informal employment to provide households with pathways out of poverty, communities with accessible and affordable goods and services, and cities with vibrant sites of economic and social exchange – and of the ways in which cities can help make informal employment more secure.

The document distills the hard-won insights of informal workers, without whom innovative, sustainable and inclusive urban development is impossible, on how to encourage recognition of their economic, environmental, and social contributions; to promote the inclusion of informal workers in urban policy and planning; and to protect and enhance their livelihoods. The case studies demonstrate vividly how

micro-innovations transform working lives and create significant 'urban practices' that are central to living and thriving in the city.

The report is designed for all urban stakeholders, particularly local and central governments, urban professionals, and worker organisations, and demonstrates ways in which innovative urban management and social inclusion objectives have enhanced the economic contribution of informal workers while reducing their vulnerability. While formalisation efforts that aim to reduce vulnerability are welcome, the ubiquity of the informal economy suggests that it will persist in cities for many years, making policy inclusion an urgent imperative.

The report stems from UN-Habitat's Governing Council Resolution 24/11 that seeks to strengthen the United Nations Human Settlements Programme's knowledge base by documenting and disseminating good practices and tools on urban small-scale and informal economies. The document draws on 20 years of advocacy and grassroots-led research by WIEGO (Women in Informal Employment: Globalizing and Organizing), and more than a decade of academic and policy research by the Informal Economy Research Observatory at Cardiff University. The findings were refined through an Expert Group Meeting in Surabaya, Indonesia, in July 2016. Our thanks to all those who have contributed ideas and vision to this document.

The report is structured around five key themes:

i.   Governance and the informal economy;
ii.   Urban planning and design;
iii. Legal regulatory frameworks;
iv.   Rights and representation; and
v.   Formal-informal linkages.

Choral Mauladia sells vegetables in the streets of Ahmedabad, India. She is a member of the Self Employed Women's Association (SEWA), a trade union that works to secure the rights of informal workers. © *Juan Arredondo/Getty Images Reportage*

2

GOVERNANCE AND THE INFORMAL ECONOMY

In many cities across the world, the informal economy is the backbone of city economies, and represents the majority of urban jobs. Thus, city governments face an urgent challenge: to create the conditions under which more and better employment can offer greater economic inclusion to create pathways out of poverty. A central component of that challenge is to make informal livelihoods more secure and productive. As the International Labour Organization (ILO, 2013:1) notes, *"informal activities, enterprises and jobs have not only persisted, but have also emerged in new guises and unexpected places"*.

Chapter 2 briefly examines definitions of the informal economy and emerging knowledge on its size and economic contribution, before considering its potential in local economic development, and urban governance issues, with case studies in India and Sénégal.

2.1. Size, Composition and Contributions of Urban Informal Employment

Although there is no universally accepted definition of the *informal economy*, the international statistical community has made great strides in the past two decades in establishing a common conceptual framework that is now widely used in many regions. This framework consists of three interrelated terms:

- The *informal sector* refers to employment and production that takes place in unincorporated, unregistered or small enterprises.

- *Informal employment* refers to employment without social protection, and is defined as: own-account workers and employers employed in their own informal sector enterprises; all contributing family workers; employees holding informal jobs, i.e. not covered by legal protection or social security; members of informal producers' cooperatives; and own-account workers producing goods exclusively for own final use by their household (ILO 2013: 42).

- The *informal economy* refers to all units, activities and workers so defined and the output from them.

Although the earnings of informal workers are on average low, their activities contribute substantially to national Gross Domestic Product (GDP). Table 1 presents estimates of the contribution of informal sector enterprises (rather than informal employment) showing these activities are a central, not marginal, part of the economy in many countries.

Table 1. Contribution of the Informal Sector (excluding agriculture) to GDP in Select Developing Countries

Sub-Saharan Africa		Middle East and North Africa		Asia	
Benin (2000)	61.8%	Algeria (2003)	30.4%	India	46.3%
Burkina Faso (2000)	36.2%	Egypt (2008)	16.9%	**Latin America**	
Cameroon (2003)	46.3%	Iran (2007)	31.1%	Colombia (2006)	32.2%
Niger (2009)	51.5%	Tunisia (2004)	34.1%	Guatemala (2006)	34.0%
Senegal (2000)	48.8%	Palestine (2007	33.4%	Honduras (2006)	18.1%
Togo (2000)	56.4%			Venezuela (2006)	16.3%

Source: Adapted from ILO, 2013a:22

National estimates: National statistics demonstrate the significant contribution of informal employment to total non-agricultural employment. The most recently available national official labour force statistics show that informal employment (as defined above) comprises more than half of non-agricultural employment in most regions of the developing world: 82 per cent in South Asia, 66 per cent in Sub-Sahara Africa, 65 per cent in East and Southeast Asia and 51 per cent in Latin America. In the Middle East and North Africa informal employment is 45 per cent of non-agricultural employment. Estimates for six cities in China show that 33 per cent of non-agricultural employment is informal. However, the regional estimates hide great diversity within regions: for example, informal employment ranges from 33 to 82 per cent among Sub-Saharan African countries, and from 42 to 73 per cent among East and Southeast Asian countries (Vanek *et al*. 2014).

Informal employment is a key source of jobs for women (Box 1) and for young people in most developing countries. Based on averages across ten countries, as many as eight out of ten young workers are employed informally. In many urban areas, the majority of new jobs available to young people are in the informal economy (ILO 2013a). It should also be recognised that the lives of many informal workers straddle urban and rural areas, because of social links between cities and their hinterlands, inward commuting or peri-urban development.

BOX 1: Informal employment – a key source of jobs for women

In three out of six regions, informal employment is a greater source of non-agricultural employment for women than for men: South Asia – 83 per cent of women workers and 82 per cent of men workers; Sub-Saharan Africa – 74 per cent and 61 per cent; Latin America and the Caribbean – 54 per cent and 48 per cent; plus urban China – 36 per cent and 30 per cent. In East and Southeast Asia (excluding China) the percentage is roughly the same (64 per cent of women workers and 65 per cent of men workers). Only in the Middle East and North Africa is informal employment a greater source of employment for men than for women (47 per cent of men workers and 35 per cent of women workers) (Vanek et al. 2014). However, because labour force participation rates are higher among men than women in most countries, the absolute number of men in informal employment generally exceeds the number of women.

Also important for the urban employment agenda is the prevalence of self-employment relative to wage employment in the Global South. In all five regions with data plus urban China, self-employment outweighs wage employment as a source of non-agricultural informal employment. Self-employment is particularly dominant in sub-Saharan Africa (Vanek *et al*. 2014). In sum, the present-day reality is that most existing jobs are now informal, and most of those are in self-employment.

Self-employment is comprised of employers, own account workers, and contributing family workers. Across the regions, own account workers are by far the largest category of non-agricultural informal employment, comprising from 53 per cent of informal employment in Sub-Saharan Africa to 33 per cent in East and Southeast Asia (excluding China). The second largest category is contributing family workers, who comprise from 5 per cent in Central Asia to 12 per cent in South Asia. Very few informal workers are employers, only 2 per cent in Sub-Saharan Africa and South Asia and 9 per cent in East and Southeast Asia (excluding China) (Vanek *et al.* 2014).

Informal employment is a substantial source of employment and output in developed as well as developing countries. Direct comparisons between developed and developing countries using official data are not possible because the statistical concepts used are slightly different. In developed countries, non-standard employment usually includes own-account self-employment, temporary or fixed-term employment, on-call workers, and some part-time workers. Own-account

self-employment as a share of total employment has been estimated at 20 per cent (Greece and Tukey); temporary work at 27 per cent of wage and salary employment (Poland); and part-time employment at 37 per cent in the Netherlands (ILO 2013b: 23-24).

City estimates: At city level, estimates are hard to come by, but are important to underpin economic inclusion**.** The French institute DIAL produced estimates for 11 cities using 1-2-3 survey methods (Herrera *et al.* 2012). The 1-2-3 Survey is specially designed to study the informal sector, involving three sequential surveys: a light labour force survey using standard ILO indicators; interviews with a sample of informal enterprises; and an expenditure survey.

WIEGO has commissioned estimates for six cities in India, based on the *2011-12 Survey of Employment and Unemployment* conducted by the National Sample Survey Office of India and on the International Conference of Labour Statisticians definitions of informal employment and employment in the informal sector. Due to the relatively small sample size, the city level data was weighted by national averages. Informal employment as a per cent of total employment varied from 56 per cent in Pune to 85 per cent in Ahmedabad.

However, reliable city-level estimates are usually hard to acquire because the sample sizes produced through labour force surveys in individual cities are too small. Where they do exist, they do not indicate the spatial distribution of informal workers across city territory.

In the absence of official labour force statistics at city and sub-city level, of course, some local governments (and some worker organisations) undertake their own census or enumeration projects. Street trader censuses, for example, may be undertaken in specific areas, but must be done very carefully and in consultation with traders and their organisations in order to produce defensible results (Roever 2011). The approach of Shack/Slum Dwellers International (SDI) to informal settlement profiling and community enumeration holds useful lessons for mapping informal livelihoods (Patel *et al.* 2012).

2.2. Local Economic Development

Local governments give high priority to Local Economic Development in order to enhance city economies, provide jobs for growing city populations, and augment municipal budgets. With a large segment of the urban population living in informal

settlements and working in informal employment, local governments need ways to strengthen the productive capacity of all inhabitants by integrating urban planning with measures that provide greater security for a wider cross-section of the population. It is thus essential for local governments to understand the potential of informal employment to contribute to wider development objectives. To do so, they need more and better data on working conditions and sources of insecurity and risk in the informal economy.

Within informal employment, there is considerable diversity in terms of occupational groups and activities. The urban informal workforce is comprised primarily of construction workers, domestic workers, home-based producers, street vendors, transport workers, waste pickers, and informal employees, some of whom work in sweatshops or other hazardous work environments. Those workers have in common a lack of adequate labour protections and access to social protection schemes. Earnings are, on average, low and unstable. Many also live in informal settlements with inadequate basic services, so their exposure to risk is high.

Cities must both encourage the creation of new jobs, and support the livelihoods that already exist. A critical problem is how to eliminate key constraints to security and productivity, for example to enable informal enterprises to get recognition, secure licenses, obtain secure trading space, and improve working conditions.

Recent research has begun to build a picture of the role of local government in shaping working conditions for the informally employed, for example in avoiding displacement of livelihoods, recognising how public space and its regulation affects different economic groups, and understanding the needs of informal workers for urban infrastructure and good access to urban transport.

2.3. Urban Governance

Although there is growing recognition of the potential of participatory practices in urban governance, there is little documentation of efforts to institutionalise representation of the urban working poor from below. Yet examples of good practice in institutionalising participatory governance are now starting to emerge, for example India's 2014 street vendors' law, which requires cities to establish Town Vending Committees to regulate street vending, with at least 40 per cent representation of vendors on the committee (Case Study 2A).

In the absence of data and appropriate policies, city governments tend to approach the informal economy with a mix of regulation, relocation, and sometimes outright repression. Efforts by the urban poor to influence urban governance through protests, mobilisations, and various forms of resistance are now widely documented (e.g., Bromley 2000, Brown 2006, Bhowmik 2010, Scheinberg 2012, Samson 2010, Sudarshan and Sinha 2011).

Several factors contribute to the prevalence of urban governance approaches that have negative impacts on informal livelihoods. One is the role of the corporate private sector, including property developers, formal retailers, and waste management companies, among others, whose relative power grants them access to decision-makers and whose interests are served by commercial property development and approaches that exclude the urban poor (Harvey 2012). Another is the "World Class Cities" discourse, which encourages city officials to compete for domestic and foreign investment and world class city status, such that *"substantial limitations on imagining or planning the futures of cities"* are created (Robinson 2002). Third, the urban planning discipline is poorly equipped to incorporate everyday survival activities (Roy 2009, Kamete 2012).

Where dialogue is established, negotiated outcomes can create space and improved management in city environments, as the case study in Dakar demonstrates (Case Study 2B).

Case Study

2A. Establishing Street Vending Legislation in India

Background: Following a decades-long campaign by street vendors' associations, including the National Association of Street Vendors of India (NASVI) and the Self-Employed Women's Association (SEWA), India's Parliament passed the *Street Vendors (Protection of Livelihood and Regulation of Street Vending) Act, 2014* (GoI 2014). The act aims to protect the rights of street vendors and to set up a mechanism for regulating street vending in which vendors can take part.

India is one of the few countries to have developed a national framework for street vending. The legislation follows four decades of struggle at national and local level. The total number of street vendors in India is estimated at

around 10 million. Some studies estimate that street vendors constitute around 2 per cent of the population of a city – Mumbai has around 250,000 street vendors and Kolkata has around 200,000. Street vending in India is a long-established profession, with businesses often inherited over generations. However, street vendors have poor social protection and their working conditions are insecure.

The Response: The *National Policy on Urban Street Vendors,* published by the Ministry of Housing and Urban Poverty Alleviation (MoHUPA) in 2004 and updated in 2009, was developed in response to campaigns by NASVI and SEWA. NASVI was founded in 2003 to articulate street vendors' issues and demands at national level, and has a membership of 540 street vendor organisations, representing around 3.5 million vendors. However, many states did not adopt the guidelines. In *Gainda Ram v. MCD,* a case brought by a hawker in October 2010, the Supreme Court affirmed that street hawking is a fundamental right under the Indian Constitution and mandated Parliament enact national legislation to ensure that right no later than June 30, 2011.

Results: The legislation is exceptional in its enabling approach, as it seeks to support livelihoods and establish mechanisms to resolve the conflicts that street vending creates. The 2014 Act sets out procedures for regulating street vending, including establishing a survey and issuing a certificate of vending to existing vendors in each city, establishing the rights and obligations of street vendors, drawing up a plan for street vending, and setting up a Town Vending Committee including the Municipal Commissioner or Chief Executive Officer as chair, officials and at least 40 per cent representation from street vendors. Although local governments have limited resources for enumerating street vendors, as required in the legislation, a critical platform for dialogue has been created.

What made it work: Critical to the achievement of the 2014 Act, was the sustained organisation of street vendors over more than four decades, the support of representative organisations, such as NASVI and SEWA, and the advice of *pro bono* advocates. Street vendors from Delhi have used the law to defend their rights; for example vendors now get 30 days' notice of relocation, and have successfully negotiated with city officials to save a 20-year old book bazaar.

Sources: Mahadevia et al. (2012); WIEGO (2015); GoI (2014); Supreme Court of India (2010)

Case Study

2B. Trader Organizations Negotiating Space, Dakar, Sénégal

Background: Street trading in Sénégal has been a way of life for generations. For many years traders were marginalised in municipal policy, but now stronger workers' organisations, linked to a global advocacy network are proving effective in negotiating trading space in the city.

Sénégal has a long tradition of democratic elections and political debate. In 1989 government attempts to extend sales tax to traders resulted in trader protests, and a new association was formed – UNACOIS (*Union National des Commerçants et Industriels du Sénégal*) which supported formal and informal business interests, and successfully challenged the proposed tax increases. After the 2000 election, street traders caught the new president's eye by slowing his car as he arrived from the airport, resulting in an agreement that traders should not be evicted. This led to a rapid increase in street trade and roadside kiosks. As one trader said, *"The image of traders has improved and everyone wants to become a trader. Stability in the sector has increased and traders are more secure".* Traders were paying daily fees to Ville de Dakar (the city council).

However, in November 2007 a new initiative to 'tidy' the city streets threatened widespread clearances of street traders in the city centre. Riots broke out, as traders were outraged at the loss of their livelihoods, which closed the city centre for three days. The president intervened suggesting that if traders organised, the government would negotiate.

Negotiations and Results: Over the next 18 months, several new trader organisations were formed. Four umbrella groups were particularly influential:

- FAMATS (Fédération des Associations des Marchands Ambulants et Tabliers du Sénégal)

- SYMAD (Synergie des Marchands dits "Ambulants" pour le Développement)

- GNJMD (Groupement National des Jeunes Marchands de Dakar)

- SUDEMS (Syndicat Unique et Démocratique du Mareyeurs du Sénégal)

FAMATS and SUDEMS registered to join the global advocacy network,

StreetNet International, for solidarity and guidance on effective lobbying. A census of street traders was held, and weekly meetings started with the Ville de Dakar. In consultation with the traders, the *Mairie* improved management practices in the city centre, and purchased an off-street site at rue Félix Eboué for a new 4-storey trading mall, which opened in March 2016.

What Made It Work? The trader syndicates started to work together to clarify their needs, calling for a review of legislation to allow for the economic contribution of trading to be recognised. They also called for a national policy in street trading; better management of public space; capacity-building for associations; registration of street traders; establishment of better facilities, and creation of a social security fund.

Source: Brown (2015)

Liberia Mapesmoawe (left) and Justina Mokoena (right) are waste pickers on the Boitshepi landfill in South Africa and members of the growing Majakathatha Cooperative. They sort through what the municipal and private trucks dump there, looking for valuable recyclables which they sell to a middleman. © Jonathan Torgovnik

3

URBAN PLANNING AND DESIGN

Urban planning and design are key processes in addressing problems of exclusion and urban poverty, and in mediating conflicting demands on urban space. Yet, the space needs of informal workers are rarely acknowledged in urban plans or spatial strategies, both because the informal economy does not fit 'modernist' visions of city strategists and because it is difficult to enumerate and map. Nevertheless, urban planning is a core mechanism for identifying and protecting the space and infrastructure needs of informal workers. This section proposes an enabling approach to meet that challenge.

Urban planning is a largely government-led process but its operation depends on local traditions of land ownership (i.e. state-owned or private), political processes, the capacity of municipal governments. It has two core functions, to shape *strategic growth* of human settlements, and to provide for day-to-day *development management*. It also contributes to the provision of urban infrastructure and services, and is now seen as a key mechanism for promoting sustainable development and resilience to climate change (Brown, 2015a).

The modern discipline of urban planning is poorly equipped to deal with the urban challenge in many developing country cities – the rate of urban growth, scale of informal settlements, and the reality of urban livelihoods. For example, zoning-based systems discourage mixed land use, and land used for small-scale enterprise is rarely mapped. This section identifies five areas where innovative urban planning can support informal economies.

3.1 Mapping the Informal Economy

One starting point for economic inclusion is to understand the spatial distribution and characteristics of informal jobs in defined urban locations; workers' organisations need accurate data in order to represent their interests to local government effectively, and local governments need accurate data on informal employment in order to formulate appropriate and effective urban planning policies. The location of informal enterprises is often critically important to their success, and profit margins are so small that relocation often makes informal enterprises unviable.

Top-down data collection efforts are rarely informed by first-hand knowledge of the logic of informal livelihoods. New approaches, such as community-led enumeration conducted by Shack/Slum Dwellers International (SDI) (Patel *et al.* 2012), may offer a useful way forward.

3.2 Public Space as a Place of Work

The character of a city is defined by its streets and public spaces – streets, sidewalks, parks, and spaces between buildings – and forms the setting for a panoply of activities – the ceremonies of the multi-cultural city, trade of the commercial city, the movements of the connected city, and a setting for community life (UN-Habitat 2016). Public space is also a key place of work for the urban poor. For example:

- *Street vendors and market traders* play an integral role in creating vibrant public spaces, provide for convenient shopping, and create diversity in the local economy. Some street vendors (and many market traders) pay taxes, licensing and permit fees to central and local government, providing a key source of revenue. Yet street traders are often the subject of frequent harassment, fines and evictions by municipal authorities.

- *Home-based workers* who live in informal settlements use public space for production, lacking adequate space for livelihood activities inside their homes.

- *Waste pickers* provide a useful public service that contributes to a healthy city. In many cities they need access to public space to collect, sort and recycle waste.

Consultation and participatory design on the use of public space to resolve conflicts is key, as the public spaces used for work are often those where there is acute competition for space, such as city centres.

Once the legitimacy of working in public space is recognised, innovative urban planning can harness the potential of streets as a place of work. For example, Indian policy and legislation defines the concept of *natural markets* as areas where buyers and sellers traditionally congregate because of accessibility to customers (GoI, 2014). Resolving conflicts at natural markets can thus be given priority. Other informal workers also need access to public space, e.g. service workers, waste pickers, small-scale manufacturers or construction workers.

Imaginative urban design can transform city space, resolving conflicts and creating dedicated trading space. Some of the best examples are found at Warwick Junction in Durban, South Africa, where eThekwini City Council worked closely with informal workers to create inclusive spaces as part of wider urban planning projects (Case Study 3A). Spaces used for livelihoods can include streets, squares or underused or derelict land. If public space is considered as a developmental asset, its use can be transformed and conflicts over space resolved. City governments have a key role in

this transformation. However, where the critical role of space needs for livelihoods is not understood, often government response is eviction or relocation. Evictions should always be a strategy of last resort, as they are always harmful for informal workers.

3.3 The Home as a Place of Work

Home-based work is a global phenomenon found in rich and poor countries (WEIGO 2016a). Home-based workers produce for domestic and global value chains across many industries. They may work in the new economy (assembling micro-electronics) or the old (weaving carpets), or in services (child-minding or hair-cutting). Home-based work represents a significant share of total employment in some countries, especially in Asia, particularly for women, but home-based workers are invisible, which makes all aspects of work protection and lobbying difficult, despite the ILO's 1996 *Home Work Convention* (No. 177).

There are two basic types of home-based workers.

- *Self-employed home-based workers* buy their own raw materials and equipment, and pay utility and transport costs. They sell finished goods, mainly to local customers and markets but sometimes to international markets. Most do not hire others but many have unpaid family members work with them. They assume all the risk of independent work, and may not be able to afford decent working space.

- *Sub-contracted home-based workers* (called homeworkers) are contracted by an entrepreneur or a firm, often through a broker. They are usually given the raw materials and paid per piece. They typically do not sell the finished goods. They cover many costs of production: workplace, equipment, supplies, utilities, and transport, and may also have problems in affording decent workspace.

The home is also an extension of other forms of informal work, for example street vendors store goods at home, and waste pickers often store sorted materials (Sinha 2013).

Home-based work is a form of mixed-use development (with housing and jobs in close proximity), which is now widely seen as beneficial as it reduces the need to travel. There are many other benefits to home-based work, for example in enabling women to work, raise children and fulfil their care responsibilities. Improving services

in informal settlements is crucial to improving living and working conditions, as the Parivartan project in Ahmedabad demonstrated (Case Study 3B). However, urban planning has not always caught up.

Embracing home-based work as a legitimate urban activity may affect urban form (e.g. by creating shared storage spaces for raw materials, public space with workplaces, or a local shop for finished items). New, apartment-style housing may need to be modified to provide more flexible space for livelihoods. Zoning regulations may need to change to allow (and not restrict) mixed-use activities. Housing policy is also important as it is essential to consider the livelihoods of residents in relocation plans. Relocation to peripheral areas deprives workers of transport and access to markets, and *in situ* upgrading is often preferred by home-based enterprises. As the HomeNet Indonesia representative at the Expert Group Meeting said,

> *The reason why women work at home is poverty and the lack of opportunity. The city responses should not just be recognition, but the base where they work should be recognized by the city. Better housing conditions also have a huge impact on the workers' livelihoods.*

3.4 Informal Settlements and Livelihoods

Many slums and informally-built settlements are dynamic centres of economic activity. They form vibrant, mixed-use areas where housing and businesses coexist, but their role in providing jobs and contributing to the wider urban economy needs to be better understood. Access to shelter is an important livelihood asset – homes are used for home-based work or room rental. Streets in informal settlements house shops and local businesses, and many slums have specialist economies serving the wider city, e.g. furniture-making in Manzese, Dar es Salaam, and waste recycling in Dharavi, Mumbai (Brown and Smith 2016).

Slums and informal settlements are a global phenomenon. Rapid urban growth over the last 60 years has led to increasing informality in many aspects of urban life, as governments lack capacity and legitimacy, and regulation fails to keep pace with fast-paced urban change. The term *slum* is widely used to describe old or decrepit areas (UN-Habitat 2003 defines *slum households*), while *informal settlements* are those built without secure land tenure or property rights: e.g. the French/African *bidonvilles;* Mexican *colonias populares,* or Brazilian *favelas* (Brown 2015). In many

cities informally-built settlements have now been granted land titles, so are no longer technically 'informal', but research suggests that many other processes, e.g. water provision, policing and livelihoods remain informal (Ahmed 2016).

Urban planning proposals often call for demolition and rebuilding of slums and informal settlements, with pressure from local governments and property developers to maximise land values, but this approach ignores the value of these areas for jobs and local economies. Here again, bottom-up processes are key to match the livelihoods patterns of slums and informal settlements with urban plans. Communities are best placed to enumerate the jobs in their neighbourhoods, and to shape area improvement schemes in partnership with local government planners.

3.5 Infrastructure and Urban Livelihoods

Infrastructure is critical for all urban activities, including informal employment. Urban infrastructure is often designed with local economic development in mind, but is often targeted toward middle- and high-income users – and thus may be too expensive, inconvenient, or inappropriate for use by the working poor.

Yet, informal livelihoods, like formal ones, require infrastructure, and city governments have a central role in enabling access to infrastructure for enterprises and workers – including toilets, water, waste collection, electricity, storage or security guards. Where there is a lack of adequate infrastructure, the toll on productivity is often high. Where paving and drainage in markets is lacking, or shelter from rain, sun, dust or wind is inadequate, workers' health is compromised and goods get damaged. For workers, relying on public conveniences or buying 'bag' water in tiny plastic sachets is expensive. Although both enterprises and workers demonstrate considerable ingenuity in fabricating workspace, storage or display space, surrounding conditions are often poor and insecure. Small-scale changes can bring dramatic improvements, as the Warwick Junction project in Durban demonstrated. Here improvements were delivered through a partnership between the city council, traders and an adjoining landowner (Case Study 3A).

Informal workers often contribute to improved urban service provision through their work. For example cooperatives of market traders are well placed to manage markets, and where waste pickers are organised they can work in partnership with city governments, both contributing to municipal waste-collection services, and gaining improved working conditions. Where local authorities are privatising waste-collection services it is critical that tender documents are written to allow waste picker organisations to apply (Dias 2011).

Case Study

3A. Participatory Urban Design in Durban, South Africa

Background: Nearly half a million pedestrians, along with thousands of buses, cars, and public transport passengers, go through Warwick Junction in central Durban, South Africa, every day. This vibrant natural market area is home to eight smaller markets where several thousand traders sell fresh produce, traditional medicine, garments, music, cooked food and other basic necessities. But in the mid-1990s, the area was poorly planned, racially and economically divided, overly congested, and rife with crime. Over a three-year period, the Warwick Junction Urban Renewal Project turned the area around. The work is well documented in the eBook, *Working in Warwick* (Dobson, *et al.* 2009). At the outset of the project, local government officials had initiated an effort to work with, rather than against, the interests of street traders in the area. Street trader organisations had formed and begun to build trust among the thousands of traders at Warwick Junction, meaning that Project staff had negotiating partners with whom to work.

The Project: The project's aim was to improve the quality of the urban environment in the Warwick Junction area in terms of safety, security, cleanliness, functionality and economic opportunity, with a particular focus on the needs of the urban poor. With a flexible operating structure that allowed for interdepartmental coordination and ways to address unforeseen issues as they arose, the project drew officials into three core teams that worked together in a collaborative and consultative manner. The project centre was located at the junction, so that city council officials working on the project were accessible to street traders who wished to raise any concerns. It also provided a space in which street traders' organisations could meet on their own to discuss their concerns independent of council interference – a crucial part of the infrastructure necessary to make the project run smoothly.

The project involved an initial clean-up campaign; a communications campaign to improve the junction's image; and the planning, design and completion of eight market areas and supporting facilities, all informed by intensive and constant collaboration with existing traders' organisations. Its design solutions offered creative ways of addressing traders' needs for trading sites, shelter, more and better pedestrian walkways, pavement, storage, water, and appropriate infrastructure for cooked food traders. These solutions were designed with the traders' needs in mind.

Results: The project transformed Warwick Junction into a leading global example of inclusive urban planning and design. It reduced crime, eased congestion, improved storage options, enhanced the safety of both traders and their customers, and delivered more appropriate workspaces with more appropriate infrastructure to a wide variety of traders. Most significantly, it enabled city officials and street traders to work together in an incremental, pragmatic way to improve conditions for everyone.

What Made It Work? The project's flexible design and collaborative approach enabled it to combine the expertise of city officials with that of the street traders themselves. This collaboration is an element missing from many urban renewal projects, particularly those involving the displacement of existing livelihood activities. Said one project official of the Warwick Project, *"you have to be humble enough to learn from the traders and from the logic of existing activities there"*. Most significantly, the project assumed that street traders would always be a part of the city, given the significant economic and social roles they play.

Source: Dobson et al. (2009)

Case Study

3B. Innovative Housing Solutions, Ahmedabad, India

Background: The existence of a continuum from fully formal housing to fully informal housing is now well recognized in international development communities (Nohn and Bhatt 2014). In India, the population living in slums rose from 27.9 million in 1981 to over 60 million in 2001, and 200 million live in chronically poor housing conditions or on the street (Rusling 2010). The Mahila Housing Trust (MHT), a sister organisation of India's Self-Employed Women's Association (SEWA), has developed innovative ways to address two key issues related to decent housing deficits, both of which contribute to more secure and productive informal livelihoods: basic service delivery and housing finance.

The Projects: To improve basic service delivery to informal settlements where SEWA members live, MHT developed the Parivartan project in partnership with community-based organisations, the Ahmedabad

Municipal Corporation (AMC), local NGOs and private sector organisations. The project includes a package of basic infrastructure services, including household water connections, sewerage and toilets for individual houses, storm water drainage, road paving, landscaping, solid waste management and street lighting. These services are delivered on a cost-sharing basis in which the AMC bears the cost of taking services to the slum entrance and each of the other partners pays one-third of the on-site capital cost of service provision. Neighbourhood groups and community savings support the project, as do the provision of education, health, skills training and day care centres via partner NGOs.

To address limitations on housing finance, MHT developed methods for establishing collateralised housing loans for semi-formal properties with high tenure security. Specifically, MHT developed a new mechanism for screening the security of tenure of properties outside of the conventional housing finance space, going beyond state-accepted tenure. Under this approach, MHT investigates potential urban planning conflicts

Results: Surveys of Parivartan participants administered in 2005, 2007 and 2008 indicate that the delivery of water and sanitation has improved residents' quality of life; saved them time, inconvenience and embarrassment; improved community relations; and improved health and reduced disease. The time saved and improved health, in turn, brought greater productivity and security to residents' livelihood activities. Residents reported that they are able to work more hours because they are now spending less time queuing for water, and that the facilities help them work more quickly. The housing finance scheme has provided a way for households to avoid blacklisting and systematic exclusion from financial markets that prevent housing upgrades. Once households can borrow for home improvements, those improvements can in turn support the productivity of home-based work.

What Made It Work? The approach taken by MHT to mobilize communities and train community based organisation leaders as part of its projects has helped with implementation and sustainability. The project design contributed to greater civic engagement and a sense of legitimacy among residents of programme areas.

Source: Nohn and Bhatt (2014); Rusling (2010)

Informal Head Porter workers Aisha Adam (left) and Hawa Latif (right) are head porters (called kayayei) in Kantamanto Market, one of Accra, Ghana's largest and busiest markets. © *Jonathan Torgovnik*

6

FORMAL-INFORMAL LINKAGES

The economic contribution of different informal economy actors can be enhanced through understanding and strengthening value chains. For example, waste pickers can contribute extensively to waste management by collecting and recycling materials such as cardboard, plastics and metals, but their productivity is considerably enhanced if they are integrated into solid waste management systems, can access waste collection points set up by municipal governments, and supply to larger recycling companies. There are several excellent examples of such involvement of waste pickers, including the establishment of the SWaCH cooperative in Pune (Case Study 6A) and the strengthening of waste cooperatives in Belo Horizonte (Case Study 4A).

In another example in Bangalore, the municipal corporation is working closely with waste picker organisations. The corporation is setting up 190 new waste collection points and has signed an MoU with the organisations to manage 33 collection points. The waste pickers recycle about 50 per cent of the total waste deposited at these points, averaging about 1 tonne of recycled material per day at each point. Of the 30,000 waste pickers in the city, 7,500 already have ID cards enabling giving them rights to access health and other services, although migrant waste pickers are not yet included in this service.

Value chains can also be enhanced by the provision of storage and preparation space. SEWA has strengthened linkages between its rural producers and urban street food vendors by establishing a stall at the vegetable wholesale market in Ahmedabad, cutting exploitative middlemen out of the value chain.

Using supply chains to promote decent work is also important, as illustrated in the establishment of Embroidery Centres in Delhi (Case Study 6B). Links between urban informal workers and formal actors can be enhanced through formalisation programmes, expanding access to social protection, microfinance and financial inclusion programmes, and other forms of partnership, as negotiated by the *kayayei* (market head porters) in Accra (Case Study 6C). Without such action, formal-informal linkages that can be more exploitative than supportive (Meagher 2013, Harriss-White 2009).

Improving the terms of economic linkages for the urban working poor requires collective action, a challenge for both self-employed and sub-contracted workers. The cooperative model is one example; it enables informal self-employed workers to rationalise working methods, or access larger markets in the case of producers. Home-based workers who individually would not confront a contractor about unpaid wages or unfair piece rates have done so collectively to improve the terms of their interactions.

Improving linkages between informal workers and the formal institutional environment also requires collective action. Workers' MBOs have played a significant mediating role in extending access to government programmes, registering workers in various state domains, setting up negotiating and bargaining forums, and monitoring implementation.

Case Study

6A. Waste Pickers' Integration in Pune, India

Background: India's ninth largest city, Pune, generates an estimated 1,400 tonnes of solid waste every day. With about 8,000 registered waste pickers and over 550 waste traders, the city has a robust market for recyclables. But for many years, the remuneration and working conditions among Pune's waste pickers were poor: although their combined labour was estimated to save the municipality US$316,455 in waste transport costs every month, their earnings were insecure, their working conditions unhealthy, and their position in the market vulnerable to exploitation by middlemen. Waste pickers unionized as *Kagad Kach Patra Kashtakari Panchayat* (KKPKP) in 1993.

Intervention: Taking advantage of an enabling legal and policy framework for which it had advocated over the years, KKPKP formed a worker-owned waste cooperative called SWaCH (*Solid Waste Collection and Handling* or *Sewa Sahakari Sanstha Maryadit, Pune*) in 2007 and developed an alternative model for recycling that would better recognize local conditions than a standard privatisation model. The new model was based on the principles of direct collection of source segregated waste from domestic and small commercial generators; maintenance of separate waste streams; the integration of existing waste pickers and collectors for materials recovery and processing; diversion of organic waste from landfills and of recyclables into the recycling stream; and opportunities for skills upgrading among informal waste pickers. The municipality was willing to institutionalize the model and signed a memorandum of understanding with SWaCH in 2008 to implement it.

Results: SWaCH has over 2,000 worker members, 78 per cent of whom are women. Together they collect 600 tons of waste daily. Non-recyclable waste is delivered to the municipal transport system, and recyclables are

sorted and sold. Green-colored saris serve as uniforms to identify SWaCH members as workers. With the integration model in place, they have reported being treated more respectfully and earning more through user fees that households and commercial establishments pay them to collect waste. They also now have protective gear and work fewer hours than before.

What Made It Work? Before the integration model was proposed, KKPKP had worked for years to establish itself as a credible organisation. Its efforts involved making strategic representations to government committees and commissions in order to raise the profile of waste pickers and offer practical recommendations based on research. With the help of a consortium of NGOs, it advocated for segregation at source, incentivizing recycling and diverting waste from landfills in a way that involved local government officials, civil society organisations, trade unions and the media.

Source: Chikarmane (2012)

Case Study

6B. Improving Livelihoods in Global Supply Chains, New Delhi, India

Background: Home-based workers whose livelihoods are embedded in global supply chains work without clear ways of claiming economic rights. In India, there is no national legislation governing home-based work. Legal norms covering minimum wages do not apply to sub-contracted home-based workers, who are paid according to piece rates, and social security schemes are difficult to access. Delhi's embroidery workers are no exception; they are vulnerable to exploitation, live in poor housing conditions, and earn irregular wages. Within this rights vacuum, SEWA Bharat has developed ways to overcome the ambiguous legal environment by reorganizing the supply chain.

The Model: The core of the intervention is the establishment of Embroidery Centres situated close to SEWA members' homes. The centres are used to collect and deposit work orders and to link workers with support services like health training, microfinance and skills training. SEWA sets piece rates in order to raise its members' income, and by legally registering a producer-led company in which workers own shares and are represented on the

board, SEWA eliminates unscrupulous middlemen and links its workers with firms interested in transparent and ethical lines of work. Finally, SEWA helps workers access government benefits where they qualify, so as to help them realize basic rights.

Results: Through the establishment of five embroidery centres in Delhi, 800 embroidery workers have gained access to regular work, and an additional 3,000 have gained access to periodic work, at higher piece rates than are available through middlemen. They have increased their cumulative income by 50 per cent, increase their number of working days, and gained access to government benefits. The Embroidery Centres have increased their scale of operation by linking to 20 brands and 36 suppliers.

What Made It Work? SEWA combines a range of strategies, including not only advocacy for legal reform but also market interventions, such as the embroidery centres, and state linkages that enable their workers to access government benefits to which they are entitled but often excluded. In the ambiguous legal environment that surrounds global supply chains particularly in the garment sector, removing middlemen and establishing transparent payment processes enabled an alternative economic model to form.

Source: Sankrit (2015)

Case Study 6C. Accessing the Ghana National Health Insurance System

Background: Accra's thriving street markets require a workforce of porters who can carry goods between delivery trucks, individual market stalls, and consumers' vehicles. These workers, called *kayayei*, are young women migrants who work and live in difficult circumstances and have little institutional interface with the Ghanaian state. Ghana launched a National Health Insurance System in 2003 with the aim of extending coverage to previously neglected populations. A 2012 case study showed that many *kayayei* were not registered because they could not afford the premiums, and those who were registered complained that they were mistreated or ignored when they went to use the service.

Intervention: Representatives from the National Health Insurance Authority and the Ministry of Health joined *kayayei* organisations and other civil society representatives in a 2012 policy dialogue on the challenges they face with the health system. According to one observer, the *kayayei "amazed the officials present"* with their confidence and ability to pose critical questions. However, organisation takes work, and as the representative of the Informal Hawkers and Vendors' Association of Ghana at the Expert Group Meeting said, *"We went from market to market, informing workers about their rights, and stressing that we want to speak collectively, not individually. We need a strong voice"*.

Results: The dialogue resulted in two commitments. First, the workers' organisations negotiated a significant reduction the annual premium for joining the health scheme, and the NHIS held a one-day special registration of 1000 *kayayei* and 500 others. Second, the Ministry of Health committed to addressing the poor quality of care, proposing that clinics and hospitals near where they work would have doctors and nurses charged specifically with looking after their needs.

What Made It Work? Although they still have a long fight ahead to have their health needs fully addressed, the *kayayei* surprised officials with their poise in articulating their problems accessing the health system even when they had saved to buy the NHIS card. The structure of the policy dialogue, which assumed that different interest groups would have different perspectives on the same problem, provided a space in which the power differences between groups could be recognized and the problem at hand could be discussed in a productive way.

Source: Alfers (2012)

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KEY MESSAGES

In both the developing and developed world, the informal economy is large, and its contribution to city economies and poverty reduction can no longer be ignored. As vividly shown by the innovations represented in this report, city governments and informal economy actors can and do institutionalise inclusion and partnerships that transform the lives of informal workers, and substantially increase their economic output, while contributing positively to urban governance.

Meaningful inclusion requires a radical rethink of urban policy paradigms, to provide a platform for informal workers in urban dialogues, and include the informal economy in urban policies and strategies. Several key messages emerge from this report.

Governance and the Informal Economy

- Information is key, and there is an urgent need for better data at city level on the size and economic contribution of the informal economy. There are gaps in city and sector statistics, and a need for well-designed, locally-based research on the informal economy.

- Local governments are central to enhancing livelihoods in the informal economy, through social dialogue, participatory budgeting, and locally based solutions. The challenge is to institutionalise meaningful participation, ensuring long-term sustainability across political terms.

- Micro-innovations are crucial – such as issuing ID cards, or negotiating working space. Although often specific to a sector or locality these can transform working lives and create significant 'urban practices' that are central to living and thriving in the city.

- Rights-based approaches have proved an important framework for strengthening participation of informal workers. Both the *Right to the City* and *human rights cities* hold promise, but do not replace local action on the ground.

- Formalising informal livelihood activities is important if focused on reducing vulnerability – e.g. giving workers ID cards to access health and social benefits – but is not sufficient. The informal economy is so large, fluid and prevalent that formalisation programmes alone will not tap its potential.

Urban Planning and Design

- Urban planning has a central role in making space for livelihoods, but at present takes no account of the informal economy. The dominant paradigm needs to change, to value existing homes and jobs above the current approach of maximising property values.

- Public space is a key place of work for street vendors, waste pickers and other informal workers. Participatory design can resolve conflicts, improve infrastructure and secure space for livelihoods, as experience in Durban has shown.

- The home is a place of work for many people, particularly women. Housing policy should recognise the intersection between housing and employment. Zoning regulations need to recognise home-based work as a form of mixed-use development. Apartment-style housing needs to accommodate home-based work.

- Informal settlements are dynamic centres of economic activity, sometimes supporting specialised economies, but their economic role is rarely considered in upgrading plans. *In situ* upgrading is almost always better for livelihoods than relocation.

- Evictions of workers for major development proposals or planning objectives should always be avoided, or be a strategy of last resort. If relocations are necessary, those should be planned with the participation of those being relocated.

Legal and Regulatory Framework

- The recognition of different informal occupations as legitimate professions, and sector-specific legislation and regulations designed to strengthen livelihoods, are key to reducing vulnerability.

- The legal context affecting informal workers is usually complex and restrictive. Often constitutional rights to work are not carried through in other legislation, and many different and sometime conflicting bodies of law adversely affect informal workers.

- Informal workers in their struggle for rights seek to challenge and change existing laws, and ensure the fair implementation of supportive regulations.

- Enabling legislation that seeks to support livelihoods and resolve the negative impacts of the informal economy are rare. One excellent example of enabling legislation is the national Street Vendors' Law in India.

- International conventions such as those of the ILO are important for raising awareness, advocacy and improving local practice.

Rights and Representation

- Capacity building for workers' organisations is key, to strengthen their confidence and negotiating skills, and allow workers to present collective views. The most vulnerable (e.g. migrants or older women) may not join organisations but should not be left out of policy development.

- Partnerships between worker organisations and local governments are key in institutionalising platforms for dialogue.

- Workers' organisations require support, time and resources to develop as credible partners with which local governments can collaborate.

- Local government officials need consultation and negotiation skills in dealing with those whose workplaces are informal.

- Workers have a key role in developing their organisations and overcoming difference between groups and sectors.

Formal-informal Linkages

- Formal-informal linkages through improving value chains and formalising employer-worker relations can significantly improve the economic contribution of workers.

- Value chains can be enhanced by the provision of storage, or by setting up direct supplies of produce, as food vendors in Ahmedabad achieved.

- The inclusion of waste recyclers in municipal solid waste management strategies gives them better access to raw materials, improves links to recycling companies and provides opportunities for improving working conditions.

- The formation of worker cooperatives can help improve contractual relations for homeworkers and other informal workers.