MINISTRY OF LANDS, HOUSING
AND URBAN DEVELOPMENT

Uganda Vision 2040

The National Smart Slum Upgrading, Prevention Strategy and Action Plan (2023)

`

PARTICIPATORY
SLUM UPGRADING

UN HABITAT
FOR A BETTER URBAN FUTURE

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List of Abbreviations and Acronyms

ACP	African, Caribbean and Pacific
BEETA	Biomass Energy Efficiency Technologies Association
BTVET	Business, Technical and Vocational Education and Training
CBO	Community-Based Organization
CDF	City Development Forum
CLL	Centre for Lifelong Learning
CNDPF	Comprehensive National Development Planning Framework
CSO	Civil Society Organisation
DFS	Digital financial services
DLB	District Land Board
DPs	Development Partners
DPSF	Decentralization Policy and Strategic Framework
EC	European Commission
EIA	Environmental impact assessment
EIS	Environmental impact statement
EOC	Equal Opportunities Commission
ERA	Electricity Regulatory Authority
FSD Uganda	Financial Sector Deepening Uganda
GDP	Gross Domestic Product
GGGI	Global Green Growth Institute (GGGI)
GKMA	Greater Kampala Metropolitan Area
GLTN	Global Land Tool Network
GoU	Government of Uganda
ha	Hectares
HFB	Housing Finance Bank
HMF	Housing microfinance
HRBAD	Human Rights Based Approach to Development
ICT	Information and Communication Technologies
IECC	Institute of Electrical and Electronics Engineers
ILO	International Labour Organization
IODeL	Institute of Open, Distance and e-Learning
ISSP	Information Systems Strategic Plan
KCCA	Kampala Capital City Authority
KMC	Kiira Motors Corporation
LED	Local Economic Development
LC	Local Council
LG	Local Government
LGDP	Local Government Development Plan

LGSIP	Local Government Strategic Investment Plan
LNOB	Leave no one behind
MAAIF	Ministry of Agriculture Animal Industry and Fisheries
MDAs	Ministries, Departments and Agencies
MDF	Municipal Development Forum
MEMD	Ministry of Energy and Mineral Development
MFI	Microfinance Intuition
MGLSD	Ministry of Gender, Labour and Social Development
MKCC&MA	Ministry of. Kampala Capital City and Metropolitan Affairs
MLHUD	Ministry of Lands, Housing and Urban Development
MoES	Ministry of Education and Sports
MoFPED	Ministry of Finance, Planning and Economic Development
MOH	Ministry of Health
MoIA	Ministry of Internal Affairs
MoICT&NG	Ministry of Information and Communication Technology and National Guidance
MoJCA	Ministry of Justice and Constitutional Affairs
MoLG	Ministry of Local Government
MoWE	Ministry of Water and Environment
MoWT	Ministry of Works and Transport
MSME	Micro, Small and Medium Enterprise
MTIC	Ministry of Trade, Industry and Cooperatives
MUBS-EC	Makerere University Business School Entrepreneurship Centre
NCPWD	National Council For Persons With Disabilities
NDP	National Development Plan
NEMA	National Environment Management Authority
NFE	Non-formal education
NGO	Non-governmental organization
NHCC	National Housing and Construction Company
NITA-U	National Information Technology Authority – Uganda
No.	Number
NPA	National Planning Authority
NRM	National Resistance Movement
NRSA	National Road Safety Authority
NSDFU	National Slum Dwellers Federation of Uganda
NUA	New Urban Agenda
NWC	National Women's Council
NWSC	National Water and Sewerage Corporation
OP	Office of the President
OPM	Office of the Prime Minister
PEAP	Poverty Eradication Action Plan

PESTLE	Political, Economic, Social, Technological, Legal and Environmental
PPCP	Public Private Community Partnership
PPP	Public Private Partnership
PSFU	Private Sector Foundation Uganda
PSUP	Participatory Slum Upgrading Programme
SDG	Sustainable Development Goal
SDI	Slum/ Shack Dwellers International (SDI)
SEforALL	Sustainable Energy for All
SF	Settlement forum
SHODAU	Special Hire Operators and Drivers Association of Uganda
Sida	Swedish International Development Cooperation Agency
SIP	Sector Investment Plan
SCIMI	Smart City Index Master Indicators
SSA	Shelter and Settlements Alternatives
STDM	Social Tenure Domain Model
SU&H	Sustainable Urbanization and Housing
TSUPU	Transforming the Settlements of the Urban Poor in Uganda
TVET	Technical Vocational Education and Training
UAAU	Urban Authorities Association of Uganda
UBC	Uganda Broadcasting Corporation
UBOS	Uganda Bureau of Statistics
UCA	Uganda Cooperative Alliance
UCC	Uganda Communication Commission
UEDCL	Uganda Electricity Distribution Company Limited
UECCC	Uganda Energy Credit Capitalization Company
UGAPRIVI	Uganda Association of Private Vocational Institutions
UHOCU	Uganda Housing Cooperative Union
UHRC	Uganda Human Rights Commission
UIA	Uganda Investment Authority
UIPE	Uganda Institution of Professional Engineers
UIPP	Uganda Institute of Physical Planners
UIRI	Uganda Industrial Research Institute
ULA	Uganda Land Alliance
ULC	Uganda Land Commission
ULGA	Uganda Local Governments Association
ULRC	Uganda Law Reform Commission
UMA	Uganda Manufacturers Association
UMRA	Uganda Microfinance Regulatory Authority
UN-Habitat	United Nations Human Settlements Programme
UNBS	Uganda National Bureau of Standards

UNCDF	United Nations Capital Development Fund
UNCST	Uganda National Council of Science and Technology
UNCTAD	United Nations Conference on Trade and Development
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
UNICEF	United Nations Children's Fund
UNIDO	United Nations Industrial Development Organization
UNIFEM	United Nations Development Fund for Women
UNUF	Uganda National Urban Forum
UPE	Universal Primary Education
UPF	Uganda Police Force
URA	Uganda Revenue Authority
URC	Uganda Railways Corporation
URSB	Uganda Registration Service Bureau
USE	Universal Secondary Education
USSD	Unstructured Supplementary Service Data
UTODA	Uganda Taxi Operators and Drivers Association
UWEP	Uganda Women Entrepreneurship Programme
UWONET	Uganda Women's Network
UYCVF	Uganda Youth Capital Venture Fund
VIP	Ventilated improved pit
YLF	Youth livelihood Fund
YLP	Youth Livelihood Programme
WSH	Water, sanitation and hygiene

1 INTRODUCTION

1.1 Urbanization dynamics in Uganda

Uganda currently has an estimated population of 45,081,020.[1] However, it also has one of the highest annual national population growth rates in the world at 3%. The population is thus projected to almost double to 86.5 million by 2050.[2] In addition, Uganda has one of the highest urbanization rates in the Sub-Saharan Africa region. In recent years, urban centres, which accounted for 27% of the total population in 2021[3], have registered an annual average population growth rate of 5.2%, which if it continues will lead to 26.5% of the population being urban by 2030.[4] Furthermore, Uganda has one of the highest fertility rates and consequently most youthful populations in the world, with young people under 30 years of age constituting 78% of the population.[5]

Secondary cities and towns have been growing faster than the capital and primate city, Kampala, as shown in Table 1, with the proportion of Kampala City to the total urban population decreasing from 41% in 1991 to 25% in 2014. Between 2002 and 2014, Wakiso Town Council experienced the highest population growth rate (11.9%), followed by Hoima (10.7%), Mukono (10.4%), Masindi municipality (8.9%), Mbarara (8.6%) and Kasese (5.3%).[6]The high national, urban and youth population growth rates are resulting in an accelerating number of new labour force entrants every year,[7] which is posing significant challenges.

The *Third National Development Plan (NDPIII) 2020/21 – 2024/25)*[8] asserts that the Government will leverage urbanization and harness the demographic dividend for accelerated industrialization and as a driver for socioeconomic transformation. These are prerequisites for the achievement of the *Uganda Vision 2040*[9] aspiration of transforming Uganda to a competitive upper middle income country by 2040.

The past three decades have seen Uganda register an annual gross domestic product (GDP) growth rate of about 6%. However, average household income growth rates have lagged behind the GDP growth, as a result of which poverty and inequality have increased. The *Uganda National Household Survey 2019/2020*[10] found that the proportion of Ugandans living in poverty, based on the poverty line of US$ 1.77 per person per day (equivalent to UGX 6,779),[11] stood at 30.1%, amounting to 12.3 million poor persons. About 33.8% and 19.8% of the rural and urban population respectively are living in poverty.

The socioeconomic benefits of urbanization have not been distributed evenly between Uganda's cities and towns, and there are substantial spatial inequalities in economic and job opportunities.[12] Indeed, Uganda's urban centres are notable not only for their variation in population size, as shown in Table 1, but also poverty distribution. The urban poor are more concentrated in the secondary cities and towns than in the Greater Kampala Metropolitan Area (GKMA), which comprises Kampala City and the neighbouring districts of Mpigi, Wakiso and Mukono, as well as the municipalities of Entebbe, Nansana, Kira, Mukono, and Makindye-Ssabagabo. Urban poor households are generally concentrated in towns with less than 50,000 residents, and more particularly those with between 10,000 and 25,000 residents, as illustrated in Figure 1. Cities have thus been the main contributor to inequality nationwide.

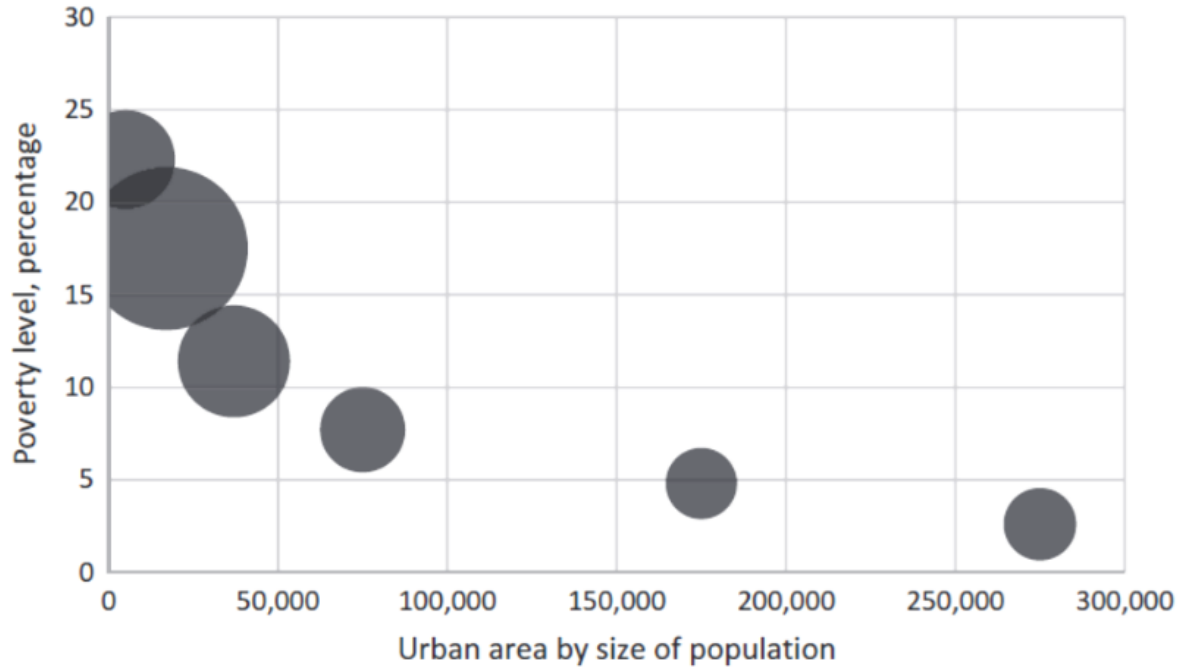
[1] https://www.ubos.org. As of 13 February 2023.
[2] UBOS (2018) *National Mid Year Population Projections by Single Age (2015-2050)*.
[3] UBOS (2021) *Uganda National Household Survey 2019/2020*.
[4] Republic of Uganda (2020) *Third National Development Plan (Ndp Iii) 2020/21 - 2024/25*.
[5] UNDP (2021) "Guest Blog: International Youth Day" https://www.undp.org/uganda/blog/guest-blog-international-youth-day
[6] Republic of Uganda (2020) *Voluntary National Review Report on the Implementation of the 2030 Agenda for Sustainable Development*.
[7] World Bank (2019) *Uganda: Jobs Strategy for Inclusive Growth*
[8] Republic of Uganda (2020) *Third National Development Plan (Ndp Iii) 2020/21 - 2024/25*.
[9] Republic of Uganda (2013) *Uganda Vision 2040*
[10] UBOS (2021) *Uganda National Household Survey 2019/2020*
[11] Bank of Uganda exchange rate on 23rd September 2022: US$ 1.00 = UGX 3,830.
[12] World Bank (2019) *Uganda: Jobs Strategy for Inclusive Growth*.

Table 1: Population growth and projections for Uganda's major urban centres

		Historical Growth			Projected growth		
Rank	City/Municipality	1991	2002	2014	Growth Rate	2025	2040
1	Kampala	774,241	1,189,142	1,516,210	2.0%	4,105,000	5,086,000
2	Kira	No data	124,067	313,761	8.0%	734,451	2,342,294
3	Mbarara	41,031	69,363	195,013	8.6%	483,272	1,665,862
4	Mukono	7,406	46,506	161,996	10.4%	481,021	2,121,779
5	Gulu	38,297	119,430	152,276	2.0%	189,336	254,821
6	Nansana	No data	62,044	144,441	7.3%	313,400	901,233
7	Masaka	49,585	67,768	103,829	3.6%	153,206	260,419
8	Kasese	18,750	53,907	101,679	5.3%	179,450	389,376
9	Hoima	4,616	27,934	100,625	10.7%	307,843	1,414,308
10	Lira	27,568	80,879	99,059	1.7%	119,241	153,546
11	Mbale	53,987	71,130	96,189	2.0%	119,599	160,964
12	Masindi	10,839	28,300	94,622	10.1%	272,680	1,154,682
13	Njeru	36,731	51,236	81,052	3.8%	122,162	213,744
14	Jinja	65,169	71,213	72,931	0.2%	74,552	76,820
15	Entebbe	42,763	55,086	69,958	2.0%	86,984	117,069
16	Arua	22,217	43,929	62,657	3.0%	86,732	135,126
17	Wakiso	No data	14,603	60,011	11.9%	206,710	1,116,383
18	Busia	27,967	36,630	55,958	3.5%	81,697	136,871
19	Fort Portal	32,789	40,993	54,275	2.3%	69,700	98,032
20	Iganga	19,740	39,472	53,870	2.6%	71,444	104,997
Total – Top 20 urban areas		**1,273,696**	**2,293,632**	**3,590,412**		**8,258,479**	**17,904,326**
Total – GKMA		**824,410**	**1,429,404**	**2,121,936**		**5,614,167**	**10,783,525**

Source: Government of Uganda and the New Climate Economy Partnership (2016)

Figure 1: Poverty distribution in urban areas by size (size of the bubbles represents poverty shares)



Source: Pozhidaev, 2020, p.99

1.2 The Affordable Housing and Slum Challenge in Uganda

1.2.1 The affordable housing challenge

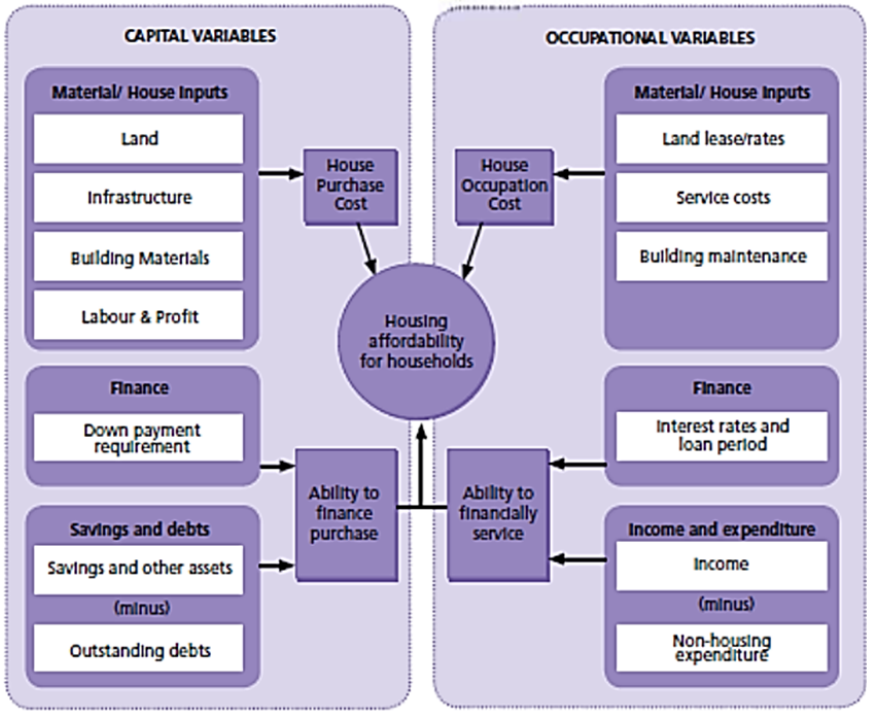
Uganda is faced with an acute deficit of decent affordable housing, estimated to total 2.2 million housing units, of which 210,000 are needed in urban areas. If not addressed, the housing backlog is projected to increase to 8 million units by 2030. While the annual need for new decent housing for the entire country is estimated at 200,000 units, a total of only 60,000 units are constructed each year.[13] The housing construction, affordability, ownership and rental and housing finance indicators for the country are presented in Annex 1.

The lack of housing affordability experienced by millions of households in Uganda is the result of multiple causes, including:

1. Weak demand in form of low disposable income, due to low income, high cost and high risk/vulnerability.
2. Inaccessible finance owing to ineligibility, prohibitive interest rates and lack of long-term credit.
3. Unresponsive supply in form of high price, poor location, unsuitable housing typologies.
4. Ineffective governance due to inappropriate policy, legal and regulatory frameworks and fiscal and investment policy.

Housing affordability, therefore, involves more than the often-used simplified conception of house purchase/rental price to household income.[14] It is the consequence of a range of factors — but two main variables can be distinguished, as illustrated in Figure 2: (1) Capital variables (housing purchase costs); and (2) Occupational variables (costs associated with occupying and maintaining housing).

Figure 2: Basic components of housing affordability



Source: UN-Habitat, 2011 p.11[15]

[13] Republic of Uganda (2020) *Third National Development Plan (Ndp Iii) 2020/21 - 2024/25*.

[14] For example, the *SDG Indicator 11.1.1 Training Module* (UN-Habitat, 2018:16) definition states that "A housing is considered inadequate if it is not affordable to the household, i.e. the net monthly expenditure on its cost exceeds 30% of the total monthly income of the household."

[15] UN-Habitat (2011) *Affordable Land and Housing in Asia*.

Box 1: Housing tenure and affordability

- According to the *Uganda National Household Survey 2016/17*[16], 47.7% of urban households rented their housing, and 43.9% owned their dwellings.
- There is an increasing trend towards smaller household sizes. Between the 2005/06 and 2016/17 census counts, there has been a decrease in urban household size from 4.6 to 4.1 persons.
- Around 20 % of urban households earn between UGX 1.1M and UGX 2.2M (USD 295 and USD 590) per month, meaning that their housing affordability is realistically for housing products costing between UGX20 m and UGX 41 m (USD 5,364 and USD 10,988).
- 68 % of urban households earn less than UGX 1.1M (USD 295) per month, implying that they require significantly more affordable housing solutions costing below UGX 20M (USD 5,364).

Source: AUHF (n.d.) *Uganda's Housing Economic Value Chain*

National Housing and Construction Company (NHCC), the state-owned developer and still arguably the largest housing developer in Uganda, both of for sale and rental housing, supplies only about 77 units per year, which is completely inadequate to meet the demand.[17] Urban housing supply, especially in Kampala, has consequently been dominated by private developers such as Universal Homes, Comfort Homes, Meera Investments and Guoji Group. The private housing developers construct, on average, a total of about 800 units a year. However, housing delivered by these developers is targeted mainly at middle to high income earners who qualify for mortgages of about Ush 213.60M (US$ 60,000) and above.[18]

Government initiatives to develop residential estates for specific target middle- to lower-income groups, including teachers, medical workers and the police, have been unsuccessful owing to lack of funding. There Is thus a very limited supply of housing that meets the affordability levels of the majority of urban households, as explained in Box 1. Low income housing supply is consequently dominated by the household sector, with individual households building homes for themselves incrementally over several years as finances allow. The sources of finance for this incremental mode of construction include personal income and savings, traditional microfinance loans, and, more recently housing microfinance (HMF) loans.

With an annual growth of over 150 000 households in Uganda's urban areas,[19] and with such an acute housing shortage, many urban dwellers are compelled to seek accommodation in slums. It is estimated that more than 60% of the urban population in Uganda lives in slums.[20]

1.2.2 Definition of a slum in Uganda

The *National Slum Upgrading Strategy and Action Plan* adapted UN-Habitat's operational definition of a slum and localized it to reflect the Ugandan situation. UN-Habitat defines a slum as an area that combines to various extents the following characteristics, which are summarily explained in Annex 2:

i) Insecure residential status
ii) Inadequate access to safe water,
iii) Inadequate access to sanitation and other infrastructure,
iv) Poor structural quality of housing
v) Overcrowding.

A slum In Uganda, as defined in the *National Slum Upgrading Strategy and Action Plan*, includes the above characteristics, as well as one or more of the following:

[16] UBOS (2018) *Uganda National Household Survey 2016/2017*.
[17] World Bank (2012) *Planning for Uganda's Urbanization*; World Bank (2015) *The Growth Challenge: Can Ugandan Cities Get to Work?*.
[18] CAHF (2021) *2021 Yearbook: Housing Finance in Africa*
[19] Gardner, D. et al. (2020) *Uganda's Housing Construction and Housing Rental Activities.*
[20] [20] World Bank (2015) *The Growth Challenge: Can Ugandan Cities Get to Work?*.

i) An area that attracts a high density of low-income earners and/or unemployed persons, with low levels of literacy
ii) An area with high rates/levels of noise, crime, drug abuse, immorality (pornography and prostitution) and alcoholism and high HIV/AIDS prevalence.
iii) An area where houses are in environmentally fragile lands, e.g. wetlands.

1.2.3 The slum challenge in Uganda

The Uganda National Housing Policy published in 2016 affirms that there has been s proliferation of slums and informal settlements in cities and towns across the country, in which about 60% of the urban population live. This is due to the rapid urbanization process, coupled with the lack of capacity of local authorities to plan and manage urban growth, and to provide planned and serviced land for housing[21]. Most of the slums and informal settlements are located in GKMA and larger secondary cities that continue to experience high urbanization rates owing to rural-urban migration.[22] The growth in slums is creating chaotic housing and living conditions, and a deterioration of the physical and social environment. [23]

In addition to the high urbanization rate, other causal factors of the continued development and expansion of slums, as expounded in the *National Slum Upgrading Strategy and Action Plan*, include:

i) Urban poverty.
ii) Lack of urban planning and development control.
iii) Complex urban land tenure systems.
iv) The effect of decentralization and poor urban governance.
v) Poor management of privatised urban services.
vi) Extension of boundaries of urban centres.

Additional factors include: policy contradictions; regulatory weaknesses; dysfunctional markets (land, labour, finance and housing); misplaced priorities; and lack of political will.

Residents of cities and towns across Uganda — and in particular poor households — face numerous challenges, including access to adequate and affordable housing. As a result, most urban poor households are compelled to live in slums, many of which have been built on environmentally fragile sites. The slums are characterized by poor living conditions with inadequate access to basic infrastructure and services, and substandard overcrowded housing, usually in the form of muzigos — which are single storey rental tenement housing structures with rooms with an average size of about $9m^2$ (3m x 3m) where households share ablutions (if any). Figure 3 shows the adverse conditions in which slum dwellers in Uganda live and work.

Slum dwellers are more spatially, economically, socially and politically excluded from the opportunities and benefits of urban living compared to other urban residents. They experience constant discrimination and extreme disadvantage characterized by lack of recognition by governance frameworks; geographical and socioeconomic marginalization; limited access to land; low access to basic urban infrastructure, services and adequate housing; precarious jobs and livelihoods; and, because of the environmentally hazardous location of many slums, high vulnerability to the adverse impacts of climate change and natural disasters — in particular flooding.[24]

The adverse conditions explained above notwithstanding, evidence shows that slums are full of economic, social and cultural capital. Despite living and often working in largely deprived and impoverished urban areas, slum dwellers are also engaged in livelihood activities and employment, are earning a living, and are contributing to the broader urban economy, as explained in Box 2.

[21] The criteria used in defining slums, informal settlements and inadequate housing are presented in Annex 5.
[22] Republic of Uganda (2016) *The Uganda National Housing Policy*.
[23] World Bank (2015) *The Growth Challenge: Can Ugandan Cities Get to Work?*
[24] UN-Habitat (2017) *The Human Rights in Cities Handbook Series: Volume I: The Human Rights-Based Approach to Housing and Slum Upgrading*

Box 2: Role of slum economies in the broader urban economy

Slum economies support the day-to-day product, service, and livelihood needs of over 830 million slum dwellers, who represent over 30% of developing countries' urban population. They are also the primary source of employment for the estimated 400-580 million working slum dwellers. Nearly all of this employment is informal, taking place both inside and outside of slums.

Slum economies also make important contributions to broader urban economies, representing a large share of the informal labour force, providing urban services (e.g., water supply, sanitation facilities and waste collection), and producing goods for local and export markets.

Slums and informal settlements are typically vibrant centres of economic activity, with a mesh of micro-and small enterprises (MSEs) and home-based enterprises (HBEs)[25] that serve both the local populations and the wider city. The value of their enterprises should not be underestimated, as they produce goods and services not only for the urban poor, but also for the wider urban population as well as global markets.

Source: UN-Habitat, 2018[26] and Rockefeller Foundation, 2013[27]

Figure 3: Slums in Uganda

Source:

https://www.ugandahandsforhope.org/about-us/where-we-work/

https://www.ugandahandsforhope.org/about-us/where-we-work/

[25] Broadly speaking, there are two types of HBEs: own-account work and out-sourced work.

[26] UN-Habitat (2018) *Prosperity for All: Enhancing the Informal Economy through Participatory Slum Upgrading*.

[27] Rockefeller Foundation (2013) *Decision Intelligence Document: Constrained Opportunities in Slum Economies*.

Table 2: Key urban and slum development indicators for selected cities

Indicator	City/Municipality												
	Kampala	Mbale	Mbarara	Kitgum	Entebbe	Fort Portal	Gulu	Hoima	Lira	Masaka	Moroto	Soroti	Tororo
Population	1,650,800	92,857	195,318	49,717	69,958	54,275	150,306	100,625	99,511	103,293	14,213	49,646	41,906
Population growth rate (%)	3.9	2.0	8.6%		2.0	2.3	2.0	10.7	1.7	3.6			
Projected population in 2040	5,086,000	160,964	1,665,862		117,069	98,032	254,821	1,414,308	153,546	260,419			
Area (km^2)	189	24.35	51.47	30.0	56.2	48.20	54.40 (61*)	235	77.45		5.00	26.00	39.00
Population density (per km^2)	7,928	3,813	3,795	1,657	1,244.8	1,126.04	2,753.7		1,284.9				
%age of population living in poverty		11.3			2								
Number of major slums	62	6	12(16)	3	15	5	14	7	10	5	4	6	8
Total slum population		15,123	124,724		49,000	21,750	118,490	47,800	42,394	101,500	29,000	32,700	26,400
%age of population living in slums		>50	63.9		70.0	40.0	78.8	47.5	42.6				
Total area occupied by slums (km^2)		1.36	11.8		6.1	0.7	13.1	4.1	6.1	10.5	5.7	3.0	4.0
%age of total area occupied by slums	At least 25	5.6	22.9		11	1.5	24.1		7.9				
Average area of slums	0.5		1.7		0.5	0.7	0.9	0.6	0.6	2.1	1.4	0.5	0.5
Average population of slums			17,818		8,089	4,350	8,864	6,829	4,239	20,300	7,250	5,450	3,300
Av. Pop. Density in slums (per km^2)	83,157		60,040		11,507	40,273	17.813	17,383	6,985	9,377	19,449	16,916	9,860

Sources: ACTogther (2014) *Kampala Central Slum Profile Report* ACTogther and NSDFU (2021) *Mbale Slum Settlement Profile*; ACTogther and NSDFU (2021) *Mbarara Slum Settlement Profile*; ACTogther and NSDFU (2021) *Entebbe Municipality: Slum Profile Report,* ACTogther and NSDFU (2021) *Fort Portal Municipality: Slum Profile Report,* ACTogther and NSDFU (2021) *Gulu Municipality: Slum Profile Report,* ACTogther and NSDFU (2021) *Hoima Municipality: Slum Profile Report,* ACTogther and NSDFU (2021) *Lira Municipality: Slum Profile Report,* ACTogther and NSDFU (2021) *Masaka Municipality: Slum Profile,* ACTogther and NSDFU (2021) *Moroto Municipality: Slum Profile Report,* ACTogther and NSDFU (2021) *Soroti Municipality: Slum Profile Report,* ACTogther and NSDFU (2021) *Tororo Municipality: Slum Profile Report*

2 NATIONAL SLUM UPGRADING STRATEGY AND ACTION PLAN, 2008

The *National Slum Upgrading Strategy and Action Plan* launched in 2008 was developed in direct response to Millennium Development Goal (MDG) 7, Target 11, which aimed to significantly improve the lives of at least 100 million slum dwellers by the year 2020. MDG 7 recognized that slums are a development issue that needed to be addressed though coordinated policies and actions.

2.1.1 Goal, Objectives and Principles

The main aim of the current National Slum Upgrading Strategy and Action Plan is to change the status quo by integrating slum upgrading initiatives into national policies, legislation, plans and programmes to enable their implementation. It further provides a framework and action plan to enable stakeholders in slum upgrading and adequate housing — including ministries, departments and agencies (MDAs); local governments; urban authorities; non-governmental organizations (NGOs); community-based organizations (CBOs); the private sector; academia; and others — to participate in developing and implementing activities and initiatives towards achievement of the national target of uplifting the lives of at least one million slum dwellers by the year 2020.

Specifically, the goal, objectives and principles of slum upgrading as articulated in the Strategy are:

Goal: To improve the living conditions of slum residents living in the most depressed physical conditions in Uganda's urban areas on a sustainable basis and to prevent future slum growth.

Objectives:

1) To develop affordable and participatory measures for upgrading housing conditions and related support infrastructure in slum areas.
2) To plan and implement, in collaboration with stakeholders, programmes and pilot projects to minimize, eliminate and curtail the growth of slums.
3) To harness central government's and urban authority(ies)'s resources in enhancing the contribution of slums to the urban economy.
4) To ensure an appropriate institutional framework and mechanisms for effective implementation of slum upgrading programmes by different stakeholders.

Principles:

1) Provision of land tenure security and housing tenure security to enhance investments in slums.
2) Flexible legal and institutional framework that allows local initiatives in slum upgrading
3) Availability of an appropriate urban planning framework that recognises slums and slum dwellers/ residents as resources.
4) It is essential that an integrated approach to slum upgrading is designed.
5) Mobilisation and coordination of stakeholders and resources for slum upgrading initiatives locally, nationally and internationally. –
6) Slum upgrading needs to be complemented with preventive actions that stall the emergence of new slums. Hence the need for a twin track approach towards existing and potential future slums.
7) Gender sensitivity and responsiveness.

2.2 Lessons Learned from National Experience with Slum Upgrading and Affordable Housing Interventions

A number of lessons have been learned through the implementation of various slum upgrading and affordable housing initiatives, the most significant of which are presented in Annex 3, over the past two decades. Some of the key lessons learned are summarized in Box 3. These lessons underscore the

importance of the "twin-track approach", in which curative and preventive programmes are implemented concurrently to improve prevailing poor housing conditions in slums and curtail the expansion and development of existing and new ones. This twin track approach, which is also one of the guiding principles of the 2008 National Slum Upgrading Strategy and Action Plan, is explained in chapter 4.6.

Another important lesson learned from international experience which is very pertinent to the Uganda context concerns the lack of recognition of the multi-stakeholder and multi-actor nature of the housing ecosystem and consequent lack of meaningful cooperation and coordination among key stakeholders and actors. This has constrained the development and implementation of relevant, effective and sustainable slum upgrading and affordable housing interventions. This is explained further in Annex 4.

Box 3: Lessons learned from national experience with slum upgrading and affordable housing interventions

The 2008 National Slum Upgrading Strategy and Action Plan identified the following important lessons learned from Uganda's national experience in implementing slum upgrading initiatives:

(i) The need to understand the underlying and deep -rooted causes of slums in Uganda. Specifically address why slums emerge and how the processes take course.
(ii) Urban poverty is a major issue which calls for integrated approaches in the design and implementation of slum upgrading initiatives, addressing various dimensions of urban poverty including access to basic infrastructure and services, housing, health, education, and employment and incomes.
(iii) Issues of sustainability and replicability: the pilot slum upgrading projects so far exhibit very low sustainability. For example, the Namuwongo Slum Upgrading and Low-Cost Housing Project was intended to be replicated at both city-wide level and national level, but this has not been possible. Hence there is need to innovatively work at intervention strategies and approaches to be used in scaling up and replication at city and national level.
(iv) Such approaches need to be inclusive and responsive to local conditions, while involving the considerable energy of slum dwellers and their representative organizations
(v) Unless access to legal and appropriate land and shelter is made more affordable and accessible to the majority of the urban poor, the growth of slums will continue unabated.
(vi) There is need to design and implement preventive policies to stem further mushrooming of slums.
(vii) There is need to move from pilot slum upgrading project to citywide programmes and national scale action as an absolute essential.
(viii) There is need to strengthen the capacity of local governments/urban authorities to carry out their responsibilities for equitable service provision for all urban residents while planning for future growth.

Key lessons learnt from implementing slum upgrading programmes and projects identified in the Uganda Habitat III National Report[28] include

- Physical planning and detailed layout plans should be prepared in close collaboration with the community in the upgrading of settlements and provision of new housing.
- Planning and design of infrastructure for slum upgrading interventions should be undertaken with full community participation and coordinated by professionals from both the public and private sector.
- Training of community members on implementation of slum upgrading interventions should be conducted on site using appropriate simple training techniques.
- Training of women in the implementation of slum upgrading programmes should be an integral component of the programmes.
- Conceptualization of slum upgrading programmes/projects has to be coordinated and planned within the overall framework of the national socio-economic development plan of a country.

[28] Republic of Uganda (2014) *Habitat Iii National Report*

2.3 Rationale for the Revised National Slum Upgrading and Prevention Strategy and Action Plan and National Programme for Slum Upgrading and Prevention

The review of the *National Slum Upgrading Strategy and Action Plan 2008* recognizes the efforts of the Government of Uganda (GoU) in the formulation of the Strategy and Action Plan in 2008 as a framework in response to MDG 7, Target 11, and in alignment with the prevailing policy environment and the Poverty Eradication Action Plan (PEAP). However, owing to considerable changes in the national urban demographic, spatial and policy environment — and in particular the Uganda National Housing Policy, the Uganda National Urban Policy, the Third National Development Plan (NDPIII)— a review of the policy and strategic entry points for the strategy is needed. The review has further been necessitated by key new global development frameworks, especially the succession of the Millennium Development Goals (MDGs) by the Sustainable Development Goals (SDGs)[29] — and MDG7 Target 11 by SDG Target 11.1 on ensuring access for all to adequate, safe and affordable housing and basic services, and upgrading slums — and the adoption of the New Urban Agenda (NUA)[30] and the introduction of smart city concepts.

The review of the current *National Slum Upgrading Strategy and Action Plan* identified policy, institutional, structural and financing gaps that need to be addressed in the formulation and implementation of a National Slum Upgrading Programme. It also identified opportunities that can facilitate the same, and policy and strategic entry points for such a programme. These include the aforementioned National Housing Policy and National Urban Policy; and the NDPIII Sustainable Urbanization and Housing Programme Implementation Action Plan (PIAP)[31]; and lands, housing and urban development sector strategies and development plans.

The elaboration of the updated Uganda National Slum Upgrading and Prevention Strategy and Action Plan recognizes that the success of actions related to slum-upgrading and preventions is contingent on slums being accepted as a development issue that needs to be integrated into national development frameworks and institutional mandates. The reviewed strategy and action plan will guide the GoU in formulating a targeted, integrated, multi-sectoral national slum upgrading programme with high human development impact in slums and informal settlements, and contribute to overall poverty reduction and elevation of the country's development index.

[29] United Nations (2015) *Transforming Our World: The 2030 Agenda for Sustainable Development*.

[30] United Nations (2017) *New Urban Agenda*.

[31] MLHUD (n.d.) *Projects by the Directorate of Physical Planning and Urban Development, Ministry of Lands, Housing and Urban Development (Mlhud) Kampala, Uganda*.`

3 Smart Slum Upgrading: A New Approach

3.1 The 'Smart City' concept

The concept of 'Smart Cities' has grown in importance in discussions about the future of cities across the world in recent years, including in Africa. While there is no universal definition of a 'smart city', many are in line with that of the Institute of Electrical and Electronics Engineers (IEEE): "*a smart city brings together technology, government and society to enable the following characteristics: a smart economy, smart mobility, a smart environment, smart people, smart living, smart governance.*"

These six characteristics and factors of a smart city are summarily explained below and in Table 3:

Smart Governance comprises aspects of public participation, services for citizens, as well as the functioning, transparency and accountability of government institutions.

Smart People refers to human and social capital, and is described by the educational and qualification levels of the citizens, their creativity and flexibility, and their cosmopolitanism and open-mindedness.

Smart Economy includes factors relating to economic competitiveness such as innovation, entrepreneurship, productivity and flexibility of the labour market, as well as integration into national, regional and global markets.

Smart Living comprises various aspects of quality of life such as housing, health, amenities, social conditions, safety, culture, etc.

Smart Mobility relates to innovative, safe and sustainable transport systems, local and international accessibility, and also the availability of information and communication technologies (ICT).

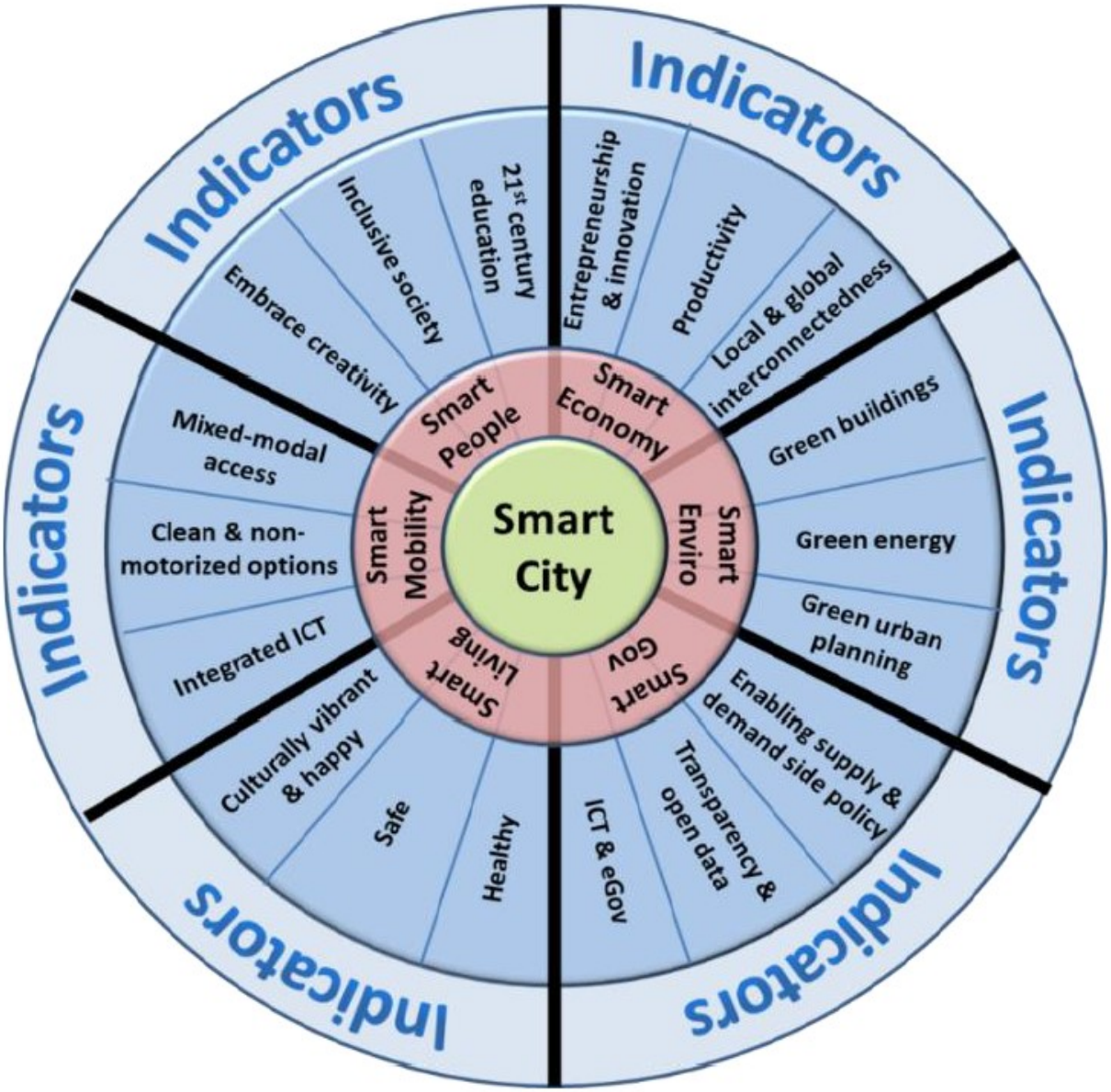
Smart Environment is described by natural resources and conditions (climate, green space, etc.) and resource management; more efficient water and waste management; and by anti-pollution and environmental protection measures.

Table 3: Characteristics and factors of a smart city

SMART GOVERNANCE (Participation)	SMART ECONOMY (Competitiveness)	SMART PEOPLE (Social and Human Capital)
▪ Political perspectives and agendas ▪ Participation in decision-making ▪ Public and social services ▪ Transparent governance	▪ Innovative spirit ▪ Entrepreneurship ▪ Economic image and trademarks ▪ Productivity ▪ Flexibility of labour market ▪ International embeddedness ▪ Ability to transform	▪ Level of qualification ▪ Affinity to life-long learning ▪ Social and ethnic plurality ▪ Flexibility ▪ Creativity ▪ Cosmopolitanism ▪ Participation in public life
SMART MOBILITY (Transport and ICT)	**SMART ENVIRONMENT (Natural resources)**	**SMART LIVING (Quality of life)**
▪ Local accessibility ▪ (Inter-)national accessibility ▪ Availability of ICT-infrastructure ▪ Sustainable, innovative and safe transport systems	▪ Attractivity of natural resources and conditions ▪ Pollution ▪ Environmental protection ▪ Sustainable resource management	▪ Housing quality ▪ Access to infrastructure and services ▪ Health conditions ▪ Individual safety ▪ Education facilities ▪ Cultural facilities ▪ Social cohesion

Source: After Giffinger et al., 2007

Figure 4: Smarty City Wheel



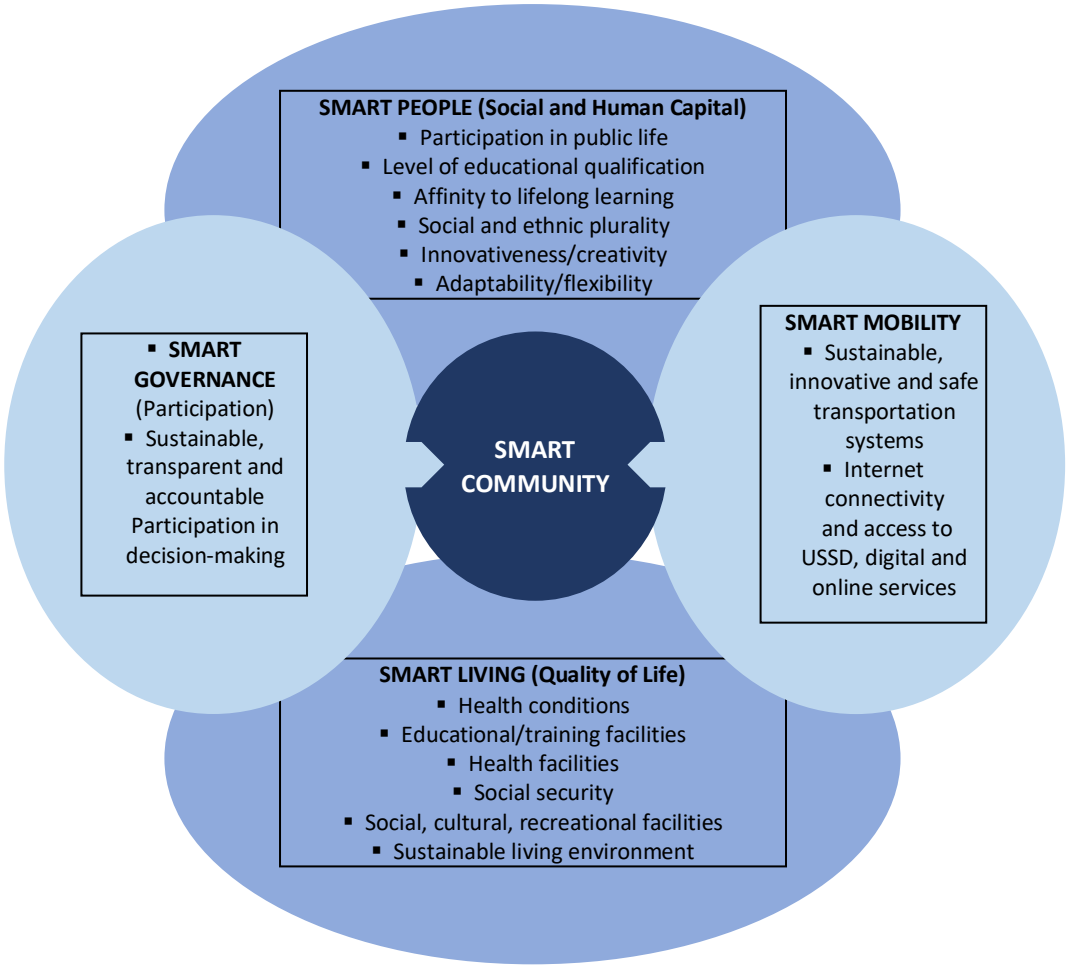
Source: https://sciencemystic.com/smart-city/

Figure 4 shows the Smart City Wheel, which incorporates the Smart City Index Master Indicators (SCIMI), a well-known assessment index framework used to define the basic subsystems of a smart city. The SCIMI framework measures 'smart government', 'smart economy', 'smart people', 'smart living', 'smart environment' and 'smart mobility' dimensions.[32]

Smart Cities need also smart citizens – the citizens who live and work in these cities need adopt, use and innovate enabling technologies and solutions. The 'Smart Community' concept encompasses socially, economically, technically and environmentally sustainable solutions for urban living and a technology and digital service-oriented ecosystem for health, wellbeing, and equity of citizens, including slum communities. The elements of a "Smart Community" are summarized in Box 4

[32] https://sciencemystic.com/smart-city/

Box 4: Elements of "Smart Community"



The "Smart Community" concept is similar to the Smart City approach that promotes broad economic, social and environmental sustainability in urban development. However, the Smart Community model is designed for application for smaller scale solutions, and is especially targeted for less advanced regions, with more emphasis on social and economic sustainability ("smartness in people") than on technology and digital solutions ("smartness in technology"). The Smart Community approach aims to introduce a systematic approach to community development that provides improved living conditions for local communities. The advantageous elements of the Smart Community approach include emphasizing local value addition in the construction process, environmental sustainability, cultural and social benefits, and long-term sustainability.

Source*: Oksman, V. et al. (2018) Reframing Smart City in Sub-Saharan Africa*

3.2 Smart cities in Africa

Urbanization is radically changing the world — and Sub-Saharan Africa is experiencing the greatest impact of the change. Most Sub-Saharan Africa national and local governments do not however have the capacity to manage the challenges presented by the rapid urbanization that they are undergoing. In particular, accelerated urban population growth without commensurate improvements in infrastructure and services is having significant adverse impacts — including proliferation and expansion of slums.

Given this scenario, it has been asserted that "*now is the time for* Sub-Saharan Africa *policymakers to incorporate smart cities into their urbanization strategies*."[33] Several factors make Sub-Saharan Africa cities, including in Uganda, ideal candidates for the adoption of smart city solutions. They include the following:[34]

Urbanization: As Sub-Saharan Africa cities continue to grow rapidly the trend of urbanization will increase, and in the next 30 years an estimated 50% of Africa's population will be living in cities.

Youthful population: Sub-Saharan Africa's youthful population — 62% of the population is under 25 — is a key advantage as not only are young people a source of innovation, but they are also more likely to adopt smart city solutions.

Limited legacy drawbacks: Many Sub-Saharan Africa cities do not have legacy infrastructure such as substantial telecommunication cable installations, and therefore install the latest technology without incurring the costs associated with removing or upgrading existing infrastructure and outdated network components.

Entrepreneurial Culture: Sub-Saharan Africa citizens operate within an environment where anything and everything is possible. Several Sub-Saharan Africa enterprises have received global recognition for innovations made within industry because of this 'Can Do' attitude.

Telecommunications: Sub-Saharan Africa has, over the past few decades, experienced the fastest mobile telecommunication subscriber growth worldwide. Total mobile subscription grew from an estimated 50% in 2010 to 80% in 2015, and it had been projected to reach 100% by 2021.[35]

Government leadership strategically positioning ICT as an enabler: Sub-Saharan Africa countries with very low internet access tend to have low levels of income, education and health suggesting a correlation between socioeconomic development and digital/mobile phone usage. Some Sub-Saharan Africa leaders are recognizing this correlation and are calling for action from their public sectors.

3.3 Kampala Capital City Authority (KCCA) Strategy for a Smart City

Kampala Capital City Authority (KCCA) has embraced the 'Smart City' concept as a cornerstone for its role of building effective institutions and enhancing public service delivery. KCCA has consequently developed an *Information Systems Strategic Plan (ISSP) 2020-2026*,[36] also referred to as the 'Smart City Strategic Plan 2020-2026', as the guiding strategy for planning and implementing Smart City initiatives for KCCA. The definition of a Smart City adopted for use in the Strategic Plan is: "*A City area that solves its core issues through innovation and collaboration, and that applies new technologies and data for the benefit of all*". KCCA's Smart City interpretation is using technology to provide services to citizens.

The Smart City Strategic Plan 2020-2026, which provides a framework to guide the transformation of Kampala into a smart city, focuses on the following areas illustrated in Figure 5:

[33] Siba, E. and M. Sow (2017) "Smart City Initiatives in Africa"

[34] .Deloitte (2014) *Africa Is Ready to Leapfrog the Competition through Smart Cities Technology*

[35] Ericsson (2015) *Ericsson Mobility Report: Sub-Saharan Africa*.

[36] KCCA (2020) *Information Systems Strategic Plan, 2020-2026*.

Figure 5: Focus areas of the KCCA Smart City Strategic Plan 2020-2026

Source: KCCA (2020) *Information Systems Strategic Plan, 2020-2026*

- **Smart Governance**: be open and transparent, accountable, efficient and accessible through the use of digital services and technologies that improve customer service.
- **Smart People**: Connect, support, and empower citizens to innovate for sustainable development.
- **Smart Economy**: Facilitate the success of existing businesses, and attract innovative businesses and entrepreneurs to Kampala City.
- **Smart Living**: Apply smart systems to improve quality of life, public services, and safety of citizens.
- **Smart Mobility**: Improve the efficient movement of people and goods within and through Kampala city.
- **Smart Environment**: Support effective environmental monitoring and sustainability through technology.

The above framework is consistent with the SCIMI framework illustrated in Figure 4.

3.4 Concept definition and operationalization of smart slum upgrading

There are a number of parallels between the objectives of slum upgrading and the smart city concept which views the smart city ecosystem as consisting of six components that combine techno-physical integration with socio-economic development, as explained above. It is against this background that 'smart slum upgrading' is proposed as a new approach to addressing the challenge of slums in Uganda.

Drawing on the IEEE definition of a smart city, 'smart slum upgrading', as articulated in this strategy, is defined as "*bringing together government, slum communities and technology to sustainably transform slums through smart governance, smart people, smart living, smart mobility, a smart economy and a smart environment*". The smart slum upgrading concept puts people first and uses technology and smart approaches to transform the living conditions and lives of slum communities.

Table 4 presents descriptors that can be used to guide operationalization of smart slum upgrading.

Table 4: Smart Slum Upgrading Descriptors

Dimension	Smart Slum Upgrading Descriptors
Smart Governance	▪ Good urban governance that recognizes and respects the importance of the interests of slum communities and their contribution to the urban economy. ▪ Open, transparent and accountable governance, using e-governance tools as appropriate, that provides real-time policy conveyance and enables citizen input in decision-making. ▪ Participation in decision-making ▪ Provision of public infrastructure, services and amenities ▪ People-public-community partnership (PPCP) arrangements and facilitation
Smart Living	▪ Improved housing and living conditions ▪ Accessibility to essential infrastructure and services ▪ Provision of communal amenities and cohesive social environment ▪ Provision of social security and safety ▪ Social and cultural plurality with cohesive and integrated social and living environment towards community well-being. ▪ ICT-based opportunities to enhance public safety, such as surveillance systems or inter-emergency service networks
Smart Mobility	▪ Basic transportation and connectivity to ease movement – pedestrian/non-motorized transport (NMT)/ public transport facilities ▪ Full accessibility and connectivity enhancing movement with an efficient and sustainable traffic management system
Smart People	▪ Accessibility to basic infrastructure and education and training programmes towards enhancement of skills and knowledge ▪ Provision of human capital improvement environment with physical and non- physical platforms with innovative technological features for advancement of knowledge, skills and sharing ideas ▪ Creation of a conducive ecosystem that attracts and develops human capital through adoption of ICT and technology-driven educational and training programmes
Smart Economy	▪ Facilitation of local entrepreneurial and economic activities – provision of infrastructure, facilities, enterprise support systems, etc. ▪ Entrepreneurship and Innovation ▪ Innovative economic growth and value creation ▪ Integrated economic hub – linking the slum with the wider city and (inter)nationally ▪ Promotion and support to e-commerce and e-business
Smart Environment	▪ Provisions for safe and clean environment ▪ Improved energy infrastructure management (e.g. development of smart grids/off-grid systems; electricity production from renewable sources) ▪ Protection of the environment ▪ Enhancement via green technology in the environmental management system ▪ Use of ICT in sustainable environmental management (e.g. early flood warning systems)

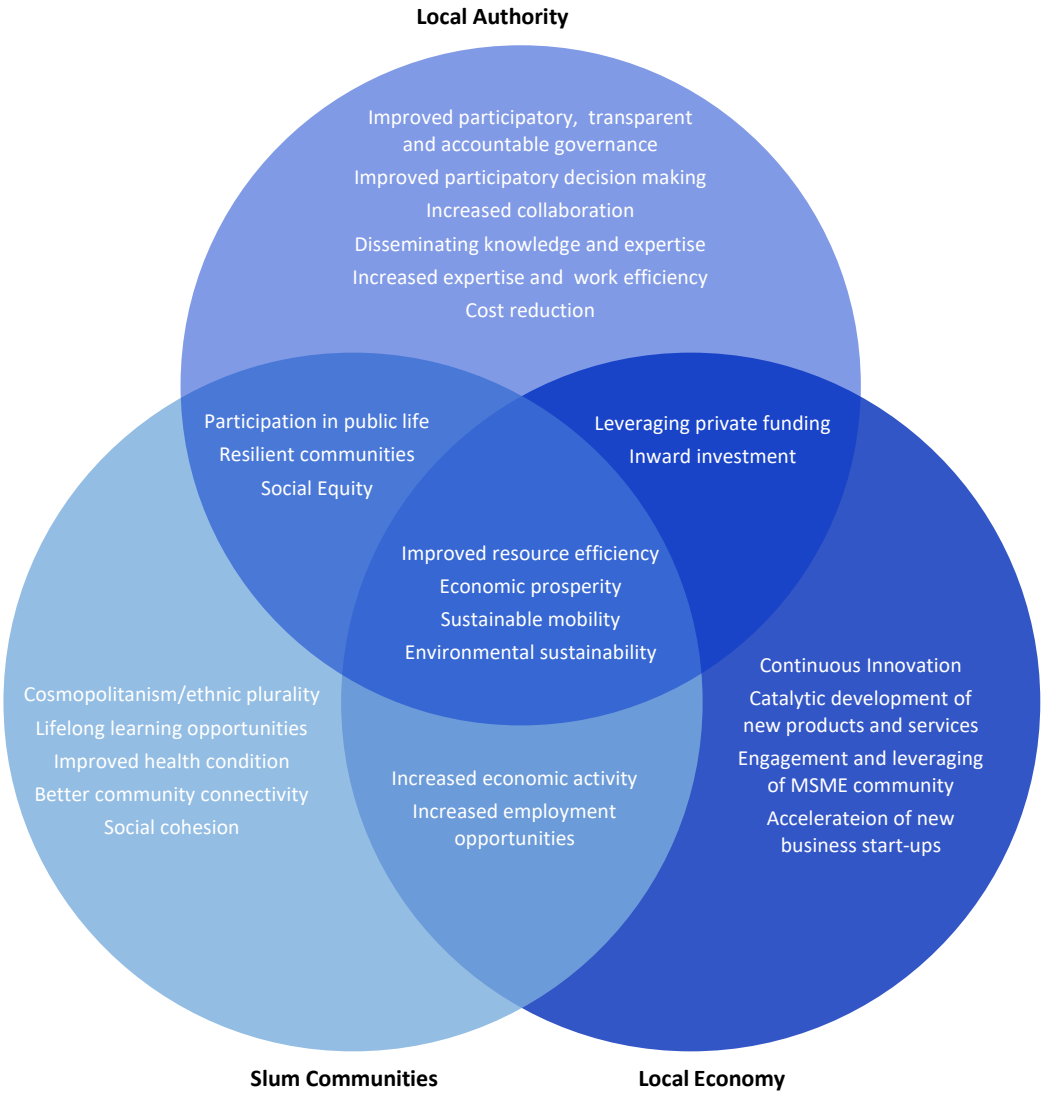
Source: After Adnan et al., 2016 and IECC

3.5 Opportunities and benefits of smart slum upgrading

Smart slum upgrading is not a goal, but rather one component of a twin track approach towards the achievement of the goal of "*Sustainable transformation of existing slums and prevention of new slum formation*". The smart slum upgrading approach offers many opportunities and benefits. The potential benefits of effective smart slum upgrading are directly linked to promoting sustainable social and economic development while protecting the environment. They include: improved access to information and data through technological solutions; transparent and accountable governance and delivery of public services; better integrated infrastructure and services; improved local economic development (LED); increased security and reduction of crime; and reduced environmental degradation and vulnerability to climate change effects and natural disasters. Key in this respect will be the promotion of smart infrastructure, which is described in Annex 5.

Adoption and implementation of smart slum upgrading can make slums more attractive to residents, visitors, the business community and investors. Indeed, smart slum upgrading aims to provide a wide range of benefits to a wide range of stakeholders. The benefits of smart slum upgrading to the three key stakeholder groups — local authorities, slum communities and the local economy — are graphically summarized in Figure 6.

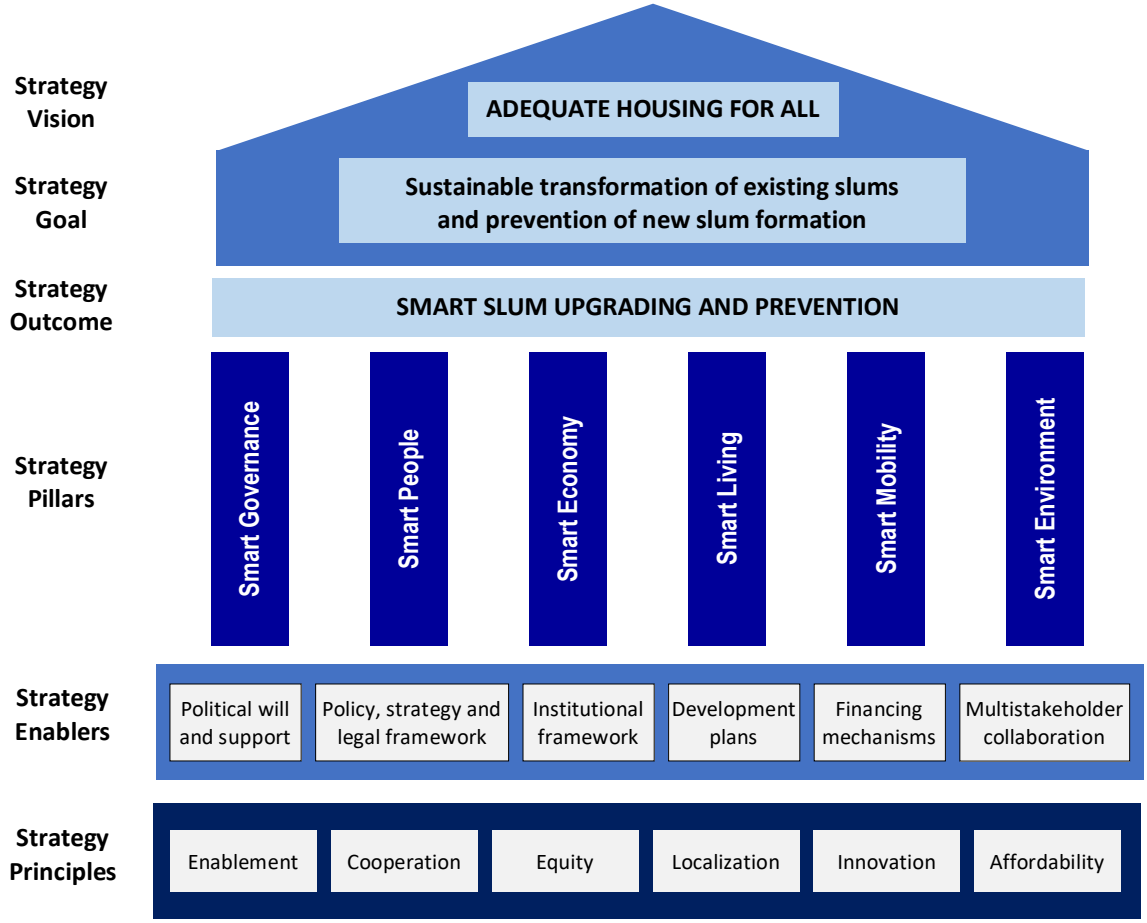
Figure 6: Benefits of Smart Slum Upgrading for local authorities, local economy and slum communities



Source: After Urban Tide (2014)

4 NATIONAL SMART SLUM UPGRADING AND PREVENTION STRATEGY

Figure 7: The Smart Slum Upgrading Strategy Framework



4.1 Strategy Vision

The Vision of the Smart Slum Upgrading Strategy, as shown in Figure 7, is: "**Adequate housing for all**".

This vision is the same as that of *The Uganda National Housing Policy* launched in 2016. It is grounded in Objective XIV of the Constitution of Uganda, which obligates the State to endeavour to fulfil the fundamental rights of all Ugandans to social justice and economic development; and to ensure that all Ugandans have equal rights, opportunities and access to decent shelter, clean and safe water, work, education, health services, food security, adequate clothing, and pension and retirement benefits.

The Vision is also guided by SDG 11 on sustainable cities and communities, and specifically Target 11.1: "**By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums**". SDG Indicator 11.1.1, which monitors progress towards SDG Target 11.1, tracks "Proportion of urban population living in slums, informal settlements or inadequate housing." The criteria used in the UN-Habitat definitions of "informal settlements" and "inadequate housing" are presented in Annex 6.

The vision is further guided by the NUA which provides guidelines for future urban development and also highlights the role of cities for sustainable development in accordance with SDG 11

In addition, the Vision is aligned to the *Third National Development Plan (NDPIII) 2020/21 – 2024/25*, as explained below in section 5.1.

4.2 Strategy Goal

The goal of the Smart Slum Upgrading Strategy is: "**Sustainable transformation of exiting slums and prevention of new slum formation**".

4.3 Strategy Outcome and Objectives

The above goal will be realized though the attainment of the strategy outcome — **"smart slum upgrading and prevention"** — and achievement of the following specific strategy objectives, which are aimed to address the slum challenge and affordable housing challenge in Uganda summarily explained in section 1.2 above.

Strategy Objectives:

1. **Strengthen participatory, transparent and accountable governance** of slums by improving implementation and enforcement of the policy, strategy, legal and institutional framework.
2. **Empower people and communities** living in slums to effectively participate in decision making on and implementation of the Smart Slum Upgrading Strategy and ensure that interventions are inclusive and "leave no one behind (LNOB)".
3. **Enhance local economic development (LED)** and livelihoods in slums by harnessing public, private, non-governmental and community resources, and integrate slums into the wider economy.
4. **Improve the living conditions and quality of life of slum communities** by increasing tenure security and implementing affordable and participatory incremental upgrading of basic infrastructure, services and housing.
5. **Improve mobility** within and between slums and the wider city, and **improve ICT connectivity and access** to link slums communities with local, national and international resources and opportunities.
6. **Ensure sustainable environmental management and development** of upgraded slums**,** and reduce vulnerability to climate change effects and natural disasters.

A key overarching aim of the Smart Slum Upgrading Strategy is to promote acknowledgement and recognition of, and leverage the significant role substantial contribution and untapped potential of slums and slum communities to the urban economy. The strategy further aims to regularize and transform slums into sub-city administrative units that are spatially, legally, socially and economically integrated into the cities where they are located and form part of the official planning and urban management systems that govern the development of cities.

4.4 Strategy Enablers

The implementation of the Smart Slum Upgrading Strategy will be facilitated by the following enablers:

Political will and support: The 2021-2025 Manifesto of the National Resistance Movement (NRM), the ruling political party in Uganda, asserts that one of NRM's notable successes is Uganda's high urbanization rate of 5.8% per annum. However, a major adverse consequence of this has been the expansion of many urban areas beyond their original spatial plans, which has resulted in planned, affordable housing lagging behind and the development and expansion of slums. In this regard, the manifesto elaborates measures to address the dual challenge of slums and affordable housing, which are summarized in Box 5.

Policy, strategy and legal framework: Uganda has an enabling policy, strategy and legal framework that can facilitate and indeed support the implementation of the Smart Slum Upgrading Strategy. This is summarily elaborated in Annex 10.

Box 5: National Resistance Movement (NRM) 2021-2026 Manifesto

About 60% of the population in urban areas reside in unplanned and informal settlements and slums. These informal settlements are characterised by substandard housing, overcrowding and limited access to essential public services such as clean and safe water, sanitation, healthcare and education, among others. These informal settlements are attributable to low levels of household incomes, complicated land tenure systems, high cost of building materials and technology and other related basic infrastructure issues. NRM is committed to solving these housing challenges. Therefore, to address the bottlenecks to affordable decent housing in Uganda, NRM is going to:

a) *Enhance wealth and job creation programmes to sustainably raise citizens' income levels to enable them to afford decent housing.*
b) *Provide essential public services, including clean water, sanitation, healthcare and education to informal settlements in Kampala's slum areas. These services will also be provided to informal settlements in other cities and municipalities.*
c) *Reduce the cost of building materials by using our minerals such as limestone and iron ore to develop integrated industries for building materials (cement and steel products).*
d) *Recapitalise National Housing and Construction Corporation to build low-cost housing for public servants and other deserving citizens.*
e) *Recapitalise Housing Finance Bank to enable it to expand and provide affordable mortgage finance.*
f) *Build houses for health workers and teachers.*
g) *For all industrial parks, there is a plan to provide and build affordable housing for workers and likely urbanisation.*

Source: NRM (2021) *NRM 2021-2026 Manifesto*m p.163

Institutional framework: The Local Government Act, Cap. 243 provides for the decentralisation and devolution of functions, powers and services; and for decentralisation at all levels of local governments to ensure good governance and democratic participation in, and control of, decision making by the people. The Act thus provides for a decentralized institutional framework conducive to implementing the Smart Slum Upgrading Strategy. There are also several MDAs with mandates related to slum upgrading.

Development Plans: The goal of the Third National Development Plan (NDP III) is "*Increased Household Incomes and Improved Quality of Life of Ugandans*". It presents an overarching framework at the national level within which to implement the Smart Slum Upgrading Strategy.

The *National Physical Development Plan (NPDP)*[37] and city and municipal physical development plans (PDPs) prepared by local authorities will also be critical enablers, as will be the Ministry of Lands, Housing and Urban Development (MLHUD) sector plans.

Financing mechanisms: Uganda's large infrastructure investment needs have led to a focus on non-traditional financing mechanisms (e.g., a public-private infrastructure fund), facilitated in large part by *The Public Private Partnership Act, 2015*, which will be a key enabler. The Transforming the Settlements of the Urban Poor in Uganda (TSUPU) programme also established a number of innovative financing mechanisms to supplement the efforts of the urban poor.

Multistakeholder collaboration: The Uganda National Urban Forum (UNUF), the City Development Forums (CDFs) and Municipal Development Forums (MDFs) established under the TSUPU Programme will provide platforms for efficient, effective and sustainable stakeholder collaboration. — which is critical to the successful implementation of the Smart Slum Upgrading Strategy.

The Demographic Dividend will be harnessed by turning the young population living and working in slums into a healthy, competitive, innovative and productive human capital base that will contribute to the socioeconomic transformation of the country.

[37] Republic of Uganda (2019) *National Physical Development Plan (NPDP)*

Strategy Principles

1. **Participation**: All key stakeholders should be enabled to participate in decision making on, and implementation of the Smart Slum Upgrading Strategy and interventions.
2. **Equity**: The implementation of the Smart Slum Upgrading Strategy and interventions should achieve equitable outcomes for all slum dwellers and communities.
3. **Affordability**: Smart slum upgrading interventions and related elements of the housing supply chain (land, infrastructure, building materials, housing finance) should be affordable to slum communities.
4. **Localization**: Smart slum upgrading initiatives should optimize local content and be locally appropriate, acceptable (socio-culturally sensitive) and adaptable, and promote local ownership.
5. **Cooperation**: The Smart Slum Upgrading Strategy should facilitate the engagement of and coordinated, collaborative working between all key stakeholders at all levels and stages.

4.5 Strategy Principles

The Smart Slum Upgrading Strategy is underpinned by the above principles, which are derived from the strategy vision, goal and objectives, as well as Constitutional principles and values. It is further guided by the adoption of the Human Rights Based Approach to Development (HRBAD). In this regard, Article 20 of the Constitution of Uganda affirms that: "*The rights and freedoms of the individual and groups enshrined in [Chapter 4 on Human Rights and Freedoms'] shall be respected, upheld and promoted by all organs and agencies of Government and by all persons."*

Similarly, Vision 2040 affirms that the Government will ensure the integration of the HRBAD in policies, legislation, plans and programmes. Human rights awareness-raising will also be integrated to develop citizens' capacity and enable their informed participation at all levels in line with the principle of equality and non-discrimination, In addition, interventions that respond to the needs of vulnerable and marginalized groups in society will be prioritized.

Human Rights-Based Approach to Development

The Smart Slum Upgrading Strategy is grounded in the Human Rights-Based Approach to Development (HRBAD), and is in line with international and national policy, strategy and legal frameworks for the progressive and full realization of the right to adequate housing. It is thus guided by the human rights principles and standards of affordability, availability, accessibility, quality, equality, non-discrimination, participation, inclusion, transparency and the rule of law. The strategy also addresses the rights of all stakeholders, including those of special interest groups[38] — Women; Children, Youth and Adolescents; Elderly persons; Persons with disabilities; and Internally Displaced Persons and Refugees.

The Smart Slum Upgrading Strategy and Action Plan will also be guided by the "Leave No One Behind (LNOB)" principle of the SDGs, which is also a principle of the NUA, elaborated below:

Leave no one behind (LNOB), *by ending poverty in all its forms and dimensions, including the eradication of extreme poverty, by ensuring equal rights and opportunities, socioeconomic and cultural diversity, and integration in the urban space, by enhancing liveability, education, food security and nutrition, health and well-being, including by ending the epidemics of AIDS, tuberculosis and malaria, by promoting safety and eliminating discrimination and all forms of violence, by ensuring public participation providing safe and equal access for all, and by providing equal access for all to physical and social infrastructure and basic services, as well as adequate and affordable housing*.

Source: United Nations (2017) *New Urban Agenda*, para. 14(a)

[38] As defined in the *National Population Policy for Social Transformation and Sustainable Development*.

4.6 Twin Track Approach

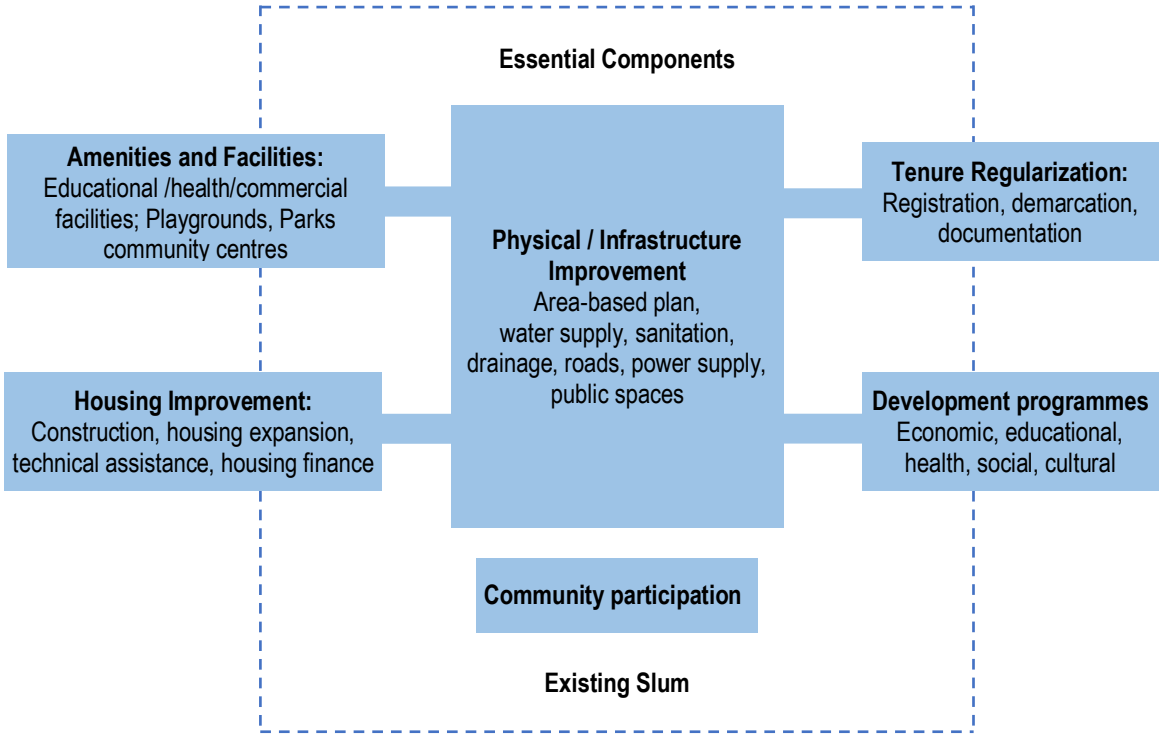
To comprehensively address the slum and affordable housing challenge in Uganda, the Smart Slum Upgrading Strategy and Action Plan will be based on the "twin track approach" to achieve access to appropriate, secure and affordable housing for all Ugandans. The twin track approach aims to eradicate slums by implementing citywide and nationwide slum-upgrading programmes to transform existing slums, while concurrently increasing the supply and affordability of new legal housing to prevent the growth of new slums and gentrification pressures in upgraded slums. This requires comprehensive urban planning, appropriate and effective legal and regulatory frameworks, timely provision of affordable serviceable land, and affordable housing finance. It also requires demand-responsive basic infrastructure, services and amenities, and the availability of appropriate and affordable building materials and construction technologies.[39]

The simultaneous twin-track approach will thus include both curative (upgrading existing slums and informal settlements) and preventive (new affordable housing supply) housing policies, strategies and programmes. The former will be guided by the Smart Slum Upgrading Strategy and Action Plan, while the latter will be guided by *The Uganda National Housing Policy*[40], which was launched in 2016. The vision, goal, objectives and policy statements of the housing policy are presented in Box 6.

The components of the smart slum-upgrading interventions will include those illustrated in Figure 8, namely: tenure regularization, infrastructure improvement (water, sanitation, drainage, roads, power, etc.), housing improvement, amenities and social facilities, and socioeconomic development.

The twin track approach can contribute to the achievement of several of the SDGs as summarily explained in Annex 7.

Figure 8: Components of slum upgrading



Source: After UN-Habitat, 2012[41]

[39] Payne, G. and M. Majale, *The Urban Housing Manual: Making Regulatory Frameworks Work for the Poor* (London: Earthscan, 2004).

[40] Republic of Uganda (2016) *The Uganda National Housing Policy*.

[41] UN-Habitat (2012) *Streets as Tools for Urban Transformation in Slums: A Street-Led Approach to Citywide Slum Upgrading*

Box 6: National Housing Policy

Vision: Adequate Housing for all.

Goal: To provide a framework that provides adequate housing for all.

Policy Objectives:

1) To increase the production of adequate housing for all income groups, from the current 60,000 to 200,000 housing units per annum to meet the housing need by 2022;
2) To improve the quality of the existing housing stock;
3) To promote efficient utilization of energy and other resources in housing;
4) To increase access to affordable housing;
5) To improve security of land tenure;
6) To improve the mechanisms for development and management of real estate industry.

Policy statements:

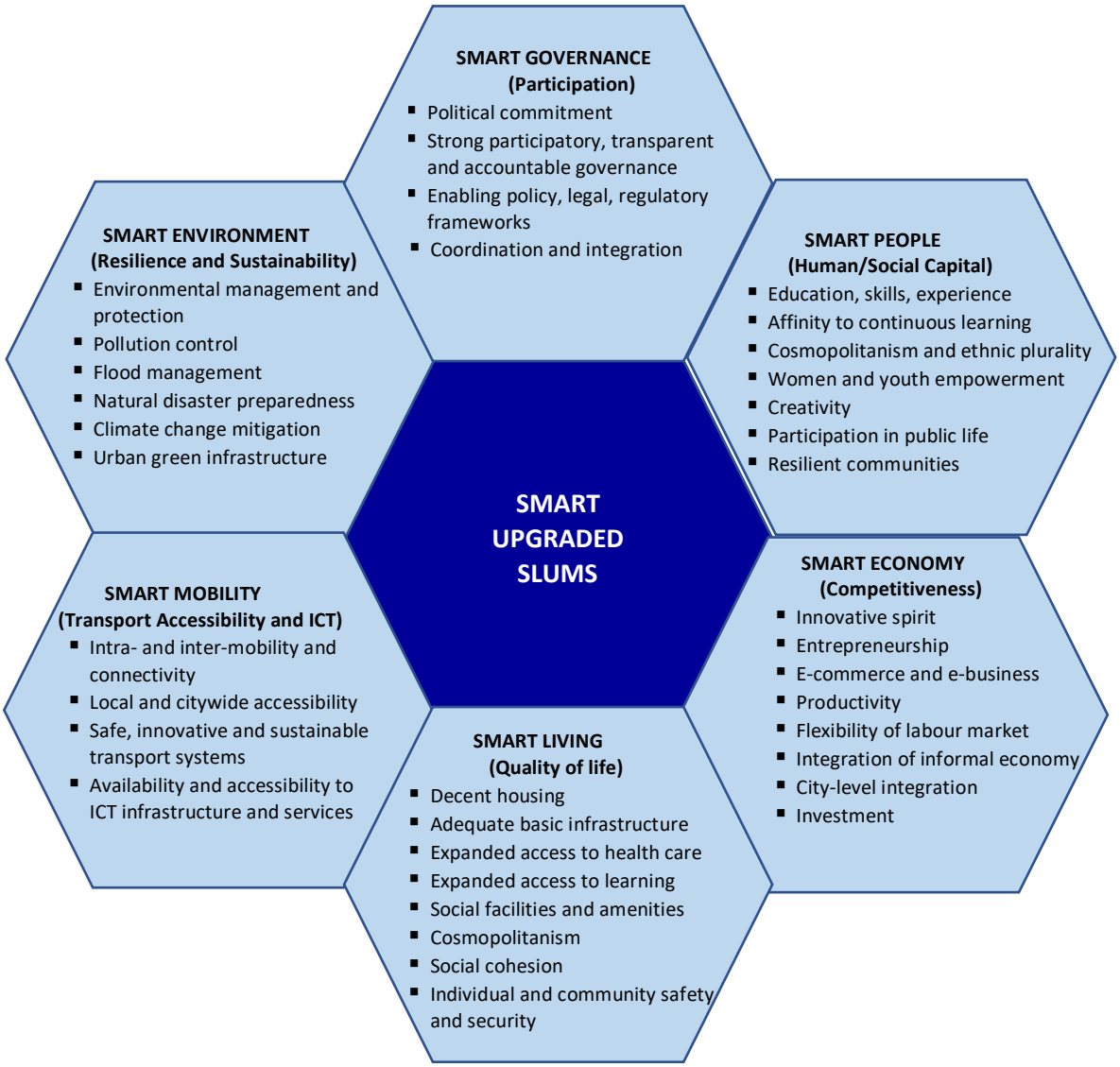
1) Government shall develop, revise and harmonize existing policies, laws and regulations relating to housing development in the country.
2) Government shall establish a functional institutional framework and structures for effective housing delivery.
3) Government shall promote access to planned and serviced land at affordable prices in order to enhance housing development.
4) Increase availability and access to affordable housing finance for all income groups.
5) Establish a mechanism for delivery of affordable and sustainable infrastructure services to support housing development.
6) Establish a mechanism for coordination, development, promotion and dissemination of information and research on affordable and sustainable use of building materials and appropriate construction technologies that are cost effective, environmentally friendly, culturally acceptable and sustainable.
7) Develop adequate human resource capacities for housing development at all levels.
8) Government shall develop programmes for affordable housing in the urban areas and improve the living conditions in slums and prevent future development of slums and other informal settlements.
9) Promote development of rental housing for all income groups.
10) Government shall develop a mechanism for the construction and management of institutional / employer housing.
11) Enable vulnerable groups to access adequate housing.
12) Government shall promote the formation and development of Housing Co-operatives.
13) Improve the quality of houses and the settlement patterns of rural housing and also ensure sustainable access to basic services.
14) Review and popularize planning, approval and enforcement procedures of housing and building standards to make them relevant.
15) Government shall put in place legal and institutional frameworks to regulate, guide, promote and support the Real Estate Industry.
16) Develop and enforce a legal framework for repair and maintenance of buildings and related infrastructure.
17) Advocate for application of energy efficiency in building designs and construction.
18) Implement the HIV/AIDS policy in relation to Housing.
19) Mainstream gender at all stages of human settlements development.
20) Government shall effectively implement environmental policies, laws and regulations in relation to housing development.
21) Implement the principles of good governance that relate to Housing.
22) A detailed Implementation Action Plan for the National Housing Policy upon approval by Cabinet shall be prepared.
23) A comprehensive and costed investment plan for the Housing Policy shall be prepared.

5 STRATEGY INITIATIVE ACTIONS

5.1 Smart Slum Upgrading Framework

The Smart Slum Upgrading Strategy involves human-centric approaches to create and implement an ecosystem of smart slum upgrading initiatives that create added value and transform into collective good. The term "smart" includes technology as an enabler, but the strategy is, by far, not limited to technological solutions. In fact, "being smart" is more about intelligent methodology and efficient implementation of beneficial and effective interventions than about technology. For smart slum upgrading to be successful, it is paramount to engage all key stakeholders, especially the communities living and working in slums.[42]

Figure 9: Smart Upgraded Slum Dimensions, Factors and Characteristics



The Smart Slum Upgrading Strategy provides a comprehensive framework, illustrated in Figure 9, for implementation of strategic initiatives and actions that can lead to sustainable transformation of the living conditions and lives of communities living and working in slums — i.e. '**Smart Upgraded Slums**'.

[42] After https://hub.beesmart.city/en/smart-city-indicators

Figure 10: 7 Pillars of the3 Parish Development Model (PDM)

Source: https://molg.go.ug/parish-development-model/

The six dimensions of the Smart Slum Upgrading approach are well-aligned to the *Third National Development Plan (NDPIII) 2020/21 – 2024/25*. In particular they reflect Chapter 9 on 'Natural Resources, Environment, Climate Change, Land and Water Management'; Chapter 10 on 'Private Sector Development'; Chapter 12 on 'Integrated Transport Infrastructure and Services'; Chapter 13 on 'Sustainable Energy Development"; Chapter 14 on 'Digital Transformation'; Chapter 15 on 'Sustainable Urbanization and Housing'; Chapter 16 on 'Human Capital Development'; Chapter 17 on 'Innovation, Technology Development and Transfer'; Chapter 18 on 'Community Mobilization and Mindset Change'; and Chapter 19 on 'Governance and Security Programme'. Of particular relevance to the Smart Slum Upgrading Strategy is the Sustainable Urbanisation and Housing Programme, the goal of which is "*to attain inclusive, productive and liveable urban areas for socio-economic development*". The priority interventions to achieve the programme objective and intended results are presented in Annex 8.

The six dimensions of Smart Slum Upgrading are also consistent with the seven pillars of the Parish Development Model (PDM) illustrated in Figure 10. The PDM, which is explained in more detail in Annex 9, is a development approach conceived under NDP III and prescribed by the NRM Manifesto 2021-2026. The purpose of the PDM is: *"To deepen the decentralisation process; improve household incomes; enable inclusive, sustainable, balanced and equitable socio-economic transformation; and increase accountability at local levels."* In many cases the parish is, in fact, by all characteristics, a slum.

The PDM is an extension of the whole-of-Government approach to development as envisioned in NDP III, with the Parish as the lowest administrative and operational hub. Under the PDM, the government has set up structures and frameworks that will bring planning, budgeting and delivery of public services closer to the people and hence foster LED.

5.2 Smart Slum Upgrading Strategy Actions

To achieve the objectives and goal, and ultimately the vision of the Smart Slum Upgrading Strategy illustrated in Figure 7, the strategic interventions and actions presented in sections 5.2.1 to 5.2.6 under the respective dimensions, which are also the pillars of the strategy, will be implemented through a multistakeholder engagement process. This will involve reaching out to the listed actors/stakeholders and providing platforms for effective engagement. The CDFs and MDFs established under the TSUPU Programme will be key in this respect.

The strategy implementation process will leverage existing enabling policies, strategies, legislation and plans, as indicated, while also reviewing and proposing reforms where needed. It will also build on the achievements of the TSUPU Programme. Effective implementation of the actions will enable the realization of the benefits graphically summarized in Figure 6, and in addition contribute to the achievement of the NDPIII Objectives and SDGs indicated under the respective dimensions.

5.2.1 Pillar 1: Smart Governance

	Smart Governance (Participation)
Objective:	**Strengthen participatory, transparent and accountable governance** of slums by improving implementation and enforcement of the policy, strategy, legal and institutional framework.
Rationale:	Involving slum communities in decision making and implementation of upgrading interventions that affect them will enhance ownership and sustainability of smart upgrading interventions.

Actions:

- Leverage the political will to address the slum and affordable housing challenge expressed in the NRM Manifesto 2021-2025 through proactive targeted advocacy.
- Develop and implement transparent and accountable urban governance by promoting e-Government[43] and e-participation[44] to reach a wider population and stakeholders and change perceptions of and attitudes towards slum communities.
- Optimize, strengthen and mainstream an enabling policy, strategy and legal framework for slum upgrading and new affordable housing development through multistakeholder engagement processes.
- Develop the capacity of, and enable the involvement of all key stakeholders in slum upgrading and affordable housing — including slum communities —in smart urban planning[45], decision making and budgeting through participatory approaches, using existing and new ICT systems where appropriate.
- Create a well-coordinated and collaborative institutional ecosystem to synergize and leverage expertise, experience and resources of stakeholders, including slum communities.
- Facilitate communication and interaction among stakeholders in all sectors (public, private, NGO, academic and community) and strengthen critical coordination by strengthening the UNUF and CDFs, MDFs and settlement forums (SFs) established under TSUPU.
- Establish additional central and local government revenue sources for allocation to slum upgrading and affordable housing by developing non-conventional and innovative financing mechanisms.
- Actively seek and solicit, and provide a framework for domestic and foreign (donor funds) investment in slum upgrading and affordable housing.
- Engage CSOs to undertake continuous civic education on citizens' constitutional rights and civic duties and responsibilities; and using multi-media channels and technologies.
- Raise awareness on key slum upgrading and affordable housing issues through appropriate media channels, including ICT and social media platforms for communication to stakeholders.

Actors/Stakeholders	Key relevant policies, strategies, legislation, plans
▪ OPM, Parliament ▪ MoLG, MGLSD, MoJCA, MoIA, MoICT&NG, MoFPED ▪ NPA, Other relevant MDAs ▪ Chairpersons of lower local governments ▪ ULRC, ULGA, UAAU, ULC, UCC, NITA-U ▪ UNUF, CDFs, MDFs, SFs ▪ NSDFU, SDI, NGOs, UHRC, ULA, SSA ▪ UN-Habitat, UNDP, Cities Alliance, World Bank, Sida	▪ Constitution of Uganda ▪ NRM Manifesto 2021-2026 ▪ Uganda Vision 2040 ▪ The Decentralization Policy ▪ Local Government Act ▪ National e-Government Policy Framework ▪ The National NGO Policy ▪ The Human Rights (Enforcement) Act, 2019
NDP III SU&H Programme Objectives	SDGs
▪ **Objective 4:** Enable balanced and productive national urban system ▪ **Objective 5:** Strengthen urban policies, governance, planning and finance	▪ **SDG 10**: Reduced inequalities ▪ **SDG 16**: Peace, justice and strong institutions ▪ **SDG 17**: Partnerships for the Goals

[43] E-Government involves delivering services via the Internet, telephone, electronic media, community centres (self-service or facilitated by others), wireless devices or other communications systems (National Electronic Government (e-Government) Policy Framework)

[44] E-Participation mediums such as on-demand information channels (e.g., Facebook, YouTube), citizen forums, online chat rooms, etc., provide a virtual feedback, review, critique and complaint loop between citizens and concerned authorities/service providers.

[45] Smart urban planning (SUP) seeks to respond to the challenges faced by people living in cities, including those living in slums, with the goal of improving their quality of life and build an urban space that allows for socioeconomic growth and transformation.

5.2.2 Pillar 2: Smart People

	Smart People (Human/Social Capital)
Objective:	**Empower people and communities** living in slums to effectively participate in decision making on and implementation of smart slum upgrading and sustainable city initiatives that leave no one behind
Rationale:	Enhancing human and social capital in slum communities to enable them to effectively participate in managing, envisioning and implementing smart slum upgrading initiatives will help ensure sustainable transformation of slums, while also strengthening social cohesion and resilience.

Actions:

- Empower people and communities living in slums to effectively participate in decision making on and implementation of smart slum upgrading initiatives through continuous civic education and awareness campaigns.
- Provide an accessible human capital improvement environment with physical and non-physical platforms with innovative technological features for advancement of knowledge, skills and sharing ideals.
- Increase access to inclusive and quality BTVET and life-long learning opportunities through Open, Distance and eLearning (ODeL)
- Develop public-private partnership (PPP) in Business, Technical and Vocational Education and Training (BTVET).
- Support and strengthen non-formal education (NFE) as a strategy for providing lifelong education, especially in order to ensure that special interest groups have easier access to education.
- Develop and implement smart forms of education, training and skills upgrading to facilitate career choices, labour market opportunities, vocational training as well as lifelong learning for all genders and age groups, and especially special interest groups; and issue certificates and licenses as appropriate.
- Build human capital to ensure that youth living in the slums have the skills to both access and create sustainable employment and income earning opportunities, through ICT skills, entrepreneurship skills and life skills.
- Expand slum dwellers access to medical and health services to enhance citizens health and wellbeing.

Actors/Stakeholders	Enabling policies/strategy/legislation
▪ MGLSD, MOES ▪ National Population Council ▪ National Women's Council (NWC), ▪ National Youth Council (NYC), Uganda Youth Network (UYONET) Uganda Civil Society Youth Coalition ▪ National Council for Older Persons ▪ Equal Opportunities Commission (EOC) ▪ UNICEF, UNIFEM, UNESCO ▪ Enabel, GIZ, Sida ▪ Private sector, PSFU ▪ CARE International, Plan International ▪ Makerere University – IODeL, CLL ▪ SSA ▪ MFIs, UMRA, Banks ▪ UGAPRIVI ▪ Village Health Teams (VHTs) ▪ CBOs, Women's groups, Youth groups	▪ National Population Policy for Social Transformation and Sustainable Development ▪ The Uganda Gender Policy 2007 ▪ National Policy for Older Persons ▪ National Child Policy 2020 ▪ The National Social Protection Policy ▪ Equity Promotion Strategy Paper ▪ UPE and USE Policies ▪ TVET Policy; BTVET Act 2008 ▪ The National Employment Policy for Uganda ▪ National ICT Policy for Uganda ▪ Persons with Disabilities Act, 2020 ▪ Equal Opportunities Commission Act 2007 ▪ Public-Private Partnership Framework Policy ▪ National Youth Action Plan ▪ Village Health Team Strategy and Operational Guidelines
NDP III SU&H Programme Objectives	**Sustainable Development Goals (SDGs)**
Objective 1: Enhance economic opportunities in cities and urban areas	▪ **Goal 1**: No poverty ▪ **Goal 3**- Good health and well being ▪ **Goal 4:** Quality education. ▪ **Goal 5:** Gender equality ▪ **Goal 11:** Sustainable cities and communities ▪ **Goal 12:** Responsible consumption and production

5.2.3 Pillar 3: Smart Economy

	Smart Economy (Competitiveness)
Objective:	**Enhance local economic development (LED)** and livelihoods in slums by harnessing public, private, non-governmental and community resources, and integrating slums into the wider economy.
Rationale:	Strengthening LED will build the capacity of smart upgraded slums to improve their economic future and competitiveness; add to the stock of locally generated businesses and jobs; attract private sector investment; catalyze socioeconomic development; and reduce disparities between slums and other areas of the city.

Actions:

- Provide central and local government support to facilitate effective LED with a focus on poverty reduction and sustainable wealth; and operationalize the Parish Development Model (PDM) in all slums utilising existing frameworks and structures for planning, budgeting and delivery of public services set up by the Government.
- Develop and roll out e-Government services to improve the ease of doing business; and ICT programmes that can improve extension services and delivery of government input support.
- Improve the business environment and ease of doing business in slums for start-ups, businesses, investors and new talent through an enabling legal and regulatory environment.
- Provide and support multi-purpose market or business premises with training facilities; accessible savings, and credit and insurance facilities; and free or subsidized internet access.
- Provide tailored support to increase entrepreneurship, innovation, productivity, quality and competitiveness of MSMEs and HBEs, including through USSD and digital platforms (e.g. mobile and smartphones, other ICT tools).
- Support the establishment and operation of e-commerce (electronic commerce)[46] and e business (electronic business)[47], in particular by women and youth, through an enabling legal framework, providing ICT skills and e-business training, and by facilitating internet access.
- Expand access to electricity and alternative green energy sources, and other infrastructure and services, for MSMEs, HBEs and other economic and productive activities
- Support expansion of trade and business opportunities for MSMEs and HBEs beyond local, city and national boundaries through competitive production techniques, innovation and value addition; and strengthening networking/market access.
- Develop PPPs and PPCPs to increase employment opportunities and introduce skills upgrading and workforce development programmes, in particular for special interest groups.
- Support and promote women, youth, and other vulnerable group led livelihood programmes, business initiatives and enterprises, and investment opportunities, including through use of technology and intelligent approaches.
- Improve financial inclusion through access to USSD and digital financial services (DFS); and affordable short-term financing on flexible terms for MSMEs and HBEs in smart upgraded slums.

Actors/Stakeholders	Key relevant policies, strategies, legislation, plans
▪ MLHUD, MOLG, MGLSD, MTIC, MoES, MoFPED, Local Councils ▪ UNBS, URSB ▪ UIRI, UNCST, UIA UMA, NITA ▪ MUBS-EC ▪ MFIs, UMRA, Banks ▪ ILO, UNCDF, UNIDO UNIFEM, ▪ MoICT&NG, NITA, internet service providers ▪ PSFU, FSD Uganda ▪ DFS providers	▪ Local Economic Development Policy ▪ The National Employment Policy for Uganda ▪ Uganda MSME Policy ▪ National ICT Policy for Uganda ▪ Electricity Connections Policy ▪ Public-Private Partnership Framework Policy ▪ National Strategy for Local Economic Development ▪ The Public Private Partnership Act, 2015 ▪ The Tier 4 Microfinance Institutions and Money Lenders Act ▪ UWEP, YLP, YLF UYCVF
NDP III SU&H Programme Objectives	**Sustainable Development Goals SDGs)**
▪ **Objective 1:** Enhance economic opportunities in cities and urban areas	▪ **SDG 1**: No poverty ▪ **SDG 8:** Decent work and economic growth ▪ **Goal 9:** Industry, innovation and infrastructure

[46] The *Uganda National E-Commerce Strategy* (which is under formulation) defines e-commerce as "Transactions between consumers and businesses or between businesses associated with the development or trade of goods and services over telecommunications networks" (p.7).

[47] E-business (Electronic Business) refers to the use of internet, extranet, web, and intranet to conduct businesses. E-Business is quite similar to E-Commerce, but includes a wider kind of business processes, such as electronic ordering processing, supply chain management, customer relationship management, etc. https://medium.com/@Magento_expert/e-business-vs-e-commerce-know-the-differences-151ec9baf0fe

5.2.4 Pillar 4: Smart Living

	Smart Living (Quality of Life)
Objective:	**Improve the living conditions and quality of life of slum communities** by increasing tenure security and implementing affordable and participatory incremental upgrading of basic infrastructure, services and housing.
Rationale:	Technologically appropriate and socially, economically, and environmentally sustainable interventions for urban living, and an innovative digital services ecosystem for education, health and social welfare will enhance the livability and quality of life of slum communities.

Actions:

- Improve living conditions in slums through multi-stakeholder implementation of the Smart Slum Upgrading Strategy and Action Plan
- Strengthen security of tenure and improve access to safe water, sanitation and other basic infrastructure through use of cost effective, incrementally upgradable and environmentally sound labour-intensive construction technologies; and promote community contracting to facilitate community participation in infrastructure development.
- Develop and strengthen capacity in green building design and construction, including of green homes., and raise awareness and promote change.
- Improve access to education, health and social welfare services and facilities, and other social services, facilities, and amenities, including through ICT and online service delivery options
- Mobilize, leverage and catalyze public, private and community resources to incrementally and sustainably transform slums — including through innovative PPP and PPCP projects
- Improve compliance to the rule of law and capacity to contain prevailing and emerging crime and security threats, including through civic educations, community-based policing, smart surveillance systems, smart security systems and installations (e.g. smart solar power street lighting, floodlights).
- Developing data capabilities within smart upgraded slums to advance evidence-driven strategies and interventions on safety for all, and in particular women, girls and other special interest group members.
- Improve digital inclusion by developing and executing an evidence-based, community driven comprehensive digital inclusion plan; and through PPP and PPCP initiatives (e.g. free/subsidized Wi-Fi hotspots in commercial and public places
- Improve financial inclusion through access to digital financial services (DFS), including digital savings and credit; and affordable short term financing on flexible terms for home improvements.
- Raise awareness of ICT and internet and their uses and benefits; and promote and support community-level initiatives for computer literacy.

Actors/Stakeholders	Enabling policies/strategy/legislation
▪ MLHUD, MGLSD, MOH, ▪ LGs, LCs, CDFs, MDFs, SFs ▪ Uganda Land Alliance, UCA, UHOCU, SSA ▪ NHCC, NWSC, ERA, UEDCL, Umeme, UECCC, UCC ▪ UN-Habitat, UNICEF, UNIFEM, GGGI ▪ GIZ, USAID, Sida, KfW Development Bank ▪ Habitat for Humanity, Plan International, ▪ Uganda Society of Architects, UIPP, UIE ▪ Private sector, PSFU ▪ MoICT&NG, NITA, Internet service providers ▪ MFIs, HFB, Banks, FSD Uganda, DFS providers	▪ The Uganda National Land Policy ▪ The National Land Use Policy ▪ The Uganda National Urban Policy ▪ National Housing Policy ▪ National Environmental Health Policy ▪ Electricity Connections Policy ▪ The Physical Planning Act, 2010 ▪ The Water Act ▪ The Electricity Act ▪ The Public Health Act ▪ Physical Planning Standards and Guidelines.
NDP III SU&H Programme Objectives	**Sustainable Development Goals (SDGs)**
▪ **Objective 2:** Promote urban housing market and provide decent housing for all ▪ **Objective 3:** Promote green and inclusive cities and urban areas	▪ **SDG 5**: Gender equality ▪ **SDG 6**: Clean water and sanitation ▪ **SDG 7**: Affordable and clean energy

5.2.5 Pillar 5: Smart Mobility

Smart Mobility (Transport, Accessibility and ICT)

Objective:	**Improve mobility** within and between slums and the wider city, and **improve ICT connectivity and access** to link slums communities with local, national and international resources and opportunities
Rationale:	Well-planned and implemented transportation and mobility systems help support LED, connectivity, culture, creativity, and future developments; and also improve living conditions and the quality of the environment.

Actions:

- Improve intra- and inter connectivity within and between slums and the wider city to facilitate mobility and movement of people, goods and services through ICT-supported approaches.
- Use data — including data collected through participatory methods using smart devices — to define mobility routes, including private and public vehicle routes, NMT routes, and safe and accessible walking routes.
- Promote public, private, and multi-lateral investments in mobility projects, including PPPs and PPCPs.
- Construct, upgrade and climate proof roads and transportation infrastructure with priority for public transport and service vehicles infrastructure, using labour intensive community based contracting
- Develop adequate, reliable and efficient multimodal transport network within slums that encourages walking, NMT, public transport and e-mobility solutions (e.g. electric motorcycles (e-boda bodas) and e-tricycles; electric-buses (e-buses).
- Prioritize and construct emergency vehicle accessible footpaths using innovative environmentally sound labour-intensive construction technologies and materials (e.g. recycled plastic paving stones).
- Enhance accessibility, connectivity and movement through an efficient and sustainable traffic management system with smart upgraded slums
- Develop and launch a multi-mode mobility app to coordinate: a) Pricing, availability and safety of transport; b) Feedback from clients regarding convenience of routes, route hazards and complaints regarding operators.
- Increase coverage and capacity of existing ICT and internet infrastructure and services

Actors/Stakeholders	Enabling policies/strategy/legislation
▪ MLHUD, MoWT ▪ URNA, URC, ▪ UTODA, SHODAU, SafeBoda, Boda associations ▪ Uganda Institute of Physical Planners (UIPP), UIE ▪ ILO, GIZ ▪ KMC, Zembo, Bodawerk	▪ Non-Motorized Transport Policy, 2012 ▪ The Roads Act ▪ Uganda Road Fund Act. ▪ The Traffic and Road Safety Act, 1998 (Amendment) Act, 2020
NDP III SU&H Programme Objectives	**Sustainable Development Goals (SDGs)**
▪ **Objective 4:** Enable balanced and productive national urban system	▪ **SDG 7**: Affordable and clean energy ▪ **SDG 11**: Sustainable cities and communities ▪ **SDG 13**: Climate action

5.2.6 Pillar 6: Smart Environment

	Smart Environment (Resilience and sustainability)
Objective:	**Ensure sustainable environmental management and improve environmental governance** of smart upgraded slums**,** and reduce vulnerability to climate change effects.
Rationale:	By strengthening environmental management and governance, and hence environmental sustainability and resilience, assisted by smart technologies smart slum upgrading can improve the living conditions and wellbeing of slum communities, with benefits for the wider city also.

Actions:

- Create an environment that is clean, healthy, comfortable and safe to live and work in at all times for communities in slums.
- Mainstream and strengthen implementation and enforcement of the existing enabling policy, strategy and legal framework to provide a safe and clean environment for slum communities.
- Raise awareness on citizens' constitutional obligation to create and protect a clean and healthy environment (Article 17(j) of the Constitution of Uganda); and support Government efforts to promote sustainable development
- Promote and support community-led urban greening/urban green infrastructure initiatives, including urban agriculture, urban forestry and green storm management.
- Develop and strengthen community-led green management, including protection of gazetted environmentally sensitive areas and enforcement of legislation on occupation of the same.
- Use ICT in community-led sustainable environmental management, and environmental monitoring and early warning (e.g. early flood warning systems).
- Promote and encourage slum households to adopt the 5Rs of waste management — refuse, reduce, reuse, repurpose, and recycle.
- Develop and promote the use of smart waste technologies that use technology to make garbage collection more efficient, cost-effective and environmentally friendly.
- Promote and support the development of a sustainable and circular bioeconomy, based on urban agriculture and the philosophy of reuse, recycle and repurpose, while securing a healthy environment.
- Improve energy governance and administration; and reduce energy-related environmental impacts.
- Promote and implement affordable clean and smart energy technologies and services

Actors/Stakeholders	Enabling policies/strategy/legislation
▪ MoWE. MGLSD. MOWT, MEMD ▪ NEMA, NWSC ▪ CDFs, MDFs, SFs ▪ UN-Habitat, UNEP, UNFCCC, GGG! ▪ GIZ, USAID, Sida ▪ NSDFU ▪ Uganda Carbon Bureau, BEETA, SEforALL	▪ The National Environment Management Policy ▪ National Policy for the Conservation and Management of Wetland Resources ▪ Uganda National Climate Change Policy ▪ A National Water Policy ▪ The Energy Policy for Uganda ▪ The Renewable Energy Policy for Uganda ▪ Uganda Green Growth Development Strategy ▪ The National Environment Act, 2019 ▪ The National Environment (Environmental and Social Assessment) Regulations, 2020 ▪ The Physical Planning Act, 2010
NDP III SU&H Programme Objectives	**Sustainable Development Goals (SDGs)**
▪ **Objective 3**: Promote green and inclusive cities and urban areas	**SDG 11**: Sustainable cities and communities **SDG 13**: Climate action

6 IMPLEMENTATION FRAMEWORK

6.1 Implementation Framework Overview

Implementation of the National Smart Slum Upgrading and Prevention Strategy and Action Plan, if it is to be efficient and effective, will have to be through an appropriate policy, legal, regulatory and institutional framework that enables independent, cooperative and complementary actions among key stakeholders.

Figure 11 shows the key stakeholders that should be involved in the implementation of the Smart Slum Upgrading Strategy and Action Plan. It is critical that the respective stakeholders execute their respective mandates, functions and responsibilities efficiently and effectively, and that the policy, legal and regulatory framework enables them to do so.

6.2 Implementation Arrangements

The Ministry of Lands, Housing and Urban Development (MLHUD) will have overall oversight responsibility for the roll-out and implementation of the National Slum Upgrading and Prevention Strategy and Action Plan. MLHUD will work with the Office of the Prime Minister (OPM) and other relevant central government MDAs to ensure that the implementation process is integrated and well-coordinated with other high-level policy structures and initiatives.

MLHUD will also have responsibility for coordinating the implementation of the Strategy and Action Plan. This will involve the operational planning process, the stakeholders and the resources required. Key processes in its coordination task will include:

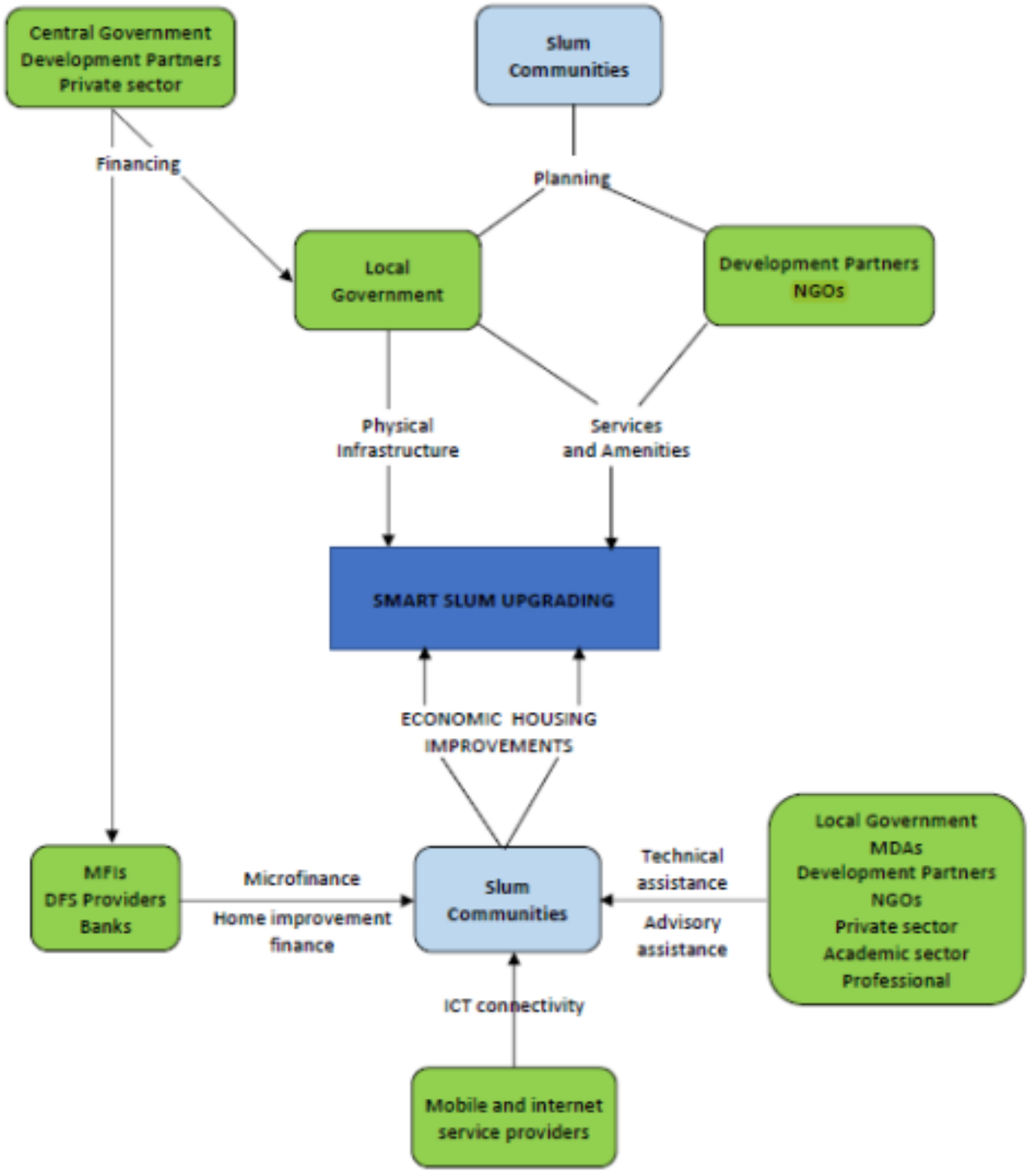
- Initial awareness creation of the launch of the National Smart Slum Upgrading and Prevention Strategy and Action Plan. This will be essential to gain stakeholder buy-in, ownership and commitment to efficiently and effectively implement the strategy and action plan.
- General awareness creation of the roles, responsibilities, obligations and rights of the stakeholders as this is necessary for and efficient and effective implementation of the strategy, as well as for resource mobilization.
- Stakeholder mobilization and stimulation of communication and engagement processes through stakeholder dialogue strategies and effective meetings facilitation.
- Resource financial (human, financial, technical) to enable and ensure efficient and effective implementation of the strategy.

National and local thematic and technical multi-stakeholder structures and platforms will be established to bring together different actors and stakeholders and integrate them around the objectives and principles of, and results expected from the implementation of the strategy and action plan. To this end, MLHUD will, where appropriate, set up multi-sectoral technical teams to monitor and assess the implementation process. The respective multi-stakeholder structures will identify a lead stakeholder to facilitate, coordinate and drive common working approaches, strengthening collective actions and impact.

Inter-ministerial committees at the cabinet level will help facilitate coordinated decision making on inter-related policy issues; and at the technical level, co-ordinated decision making on legal, regulatory and standards-related matters.

Targeted awareness raising campaigns and capacity development programmes activities will be implemented to ensure that key stakeholders at all levels — from national to local — responsible for implementing the strategy and action plan are adequately capacitated with requisite resources and political support to efficiently and effectively execute their mandates, responsibilities and roles.

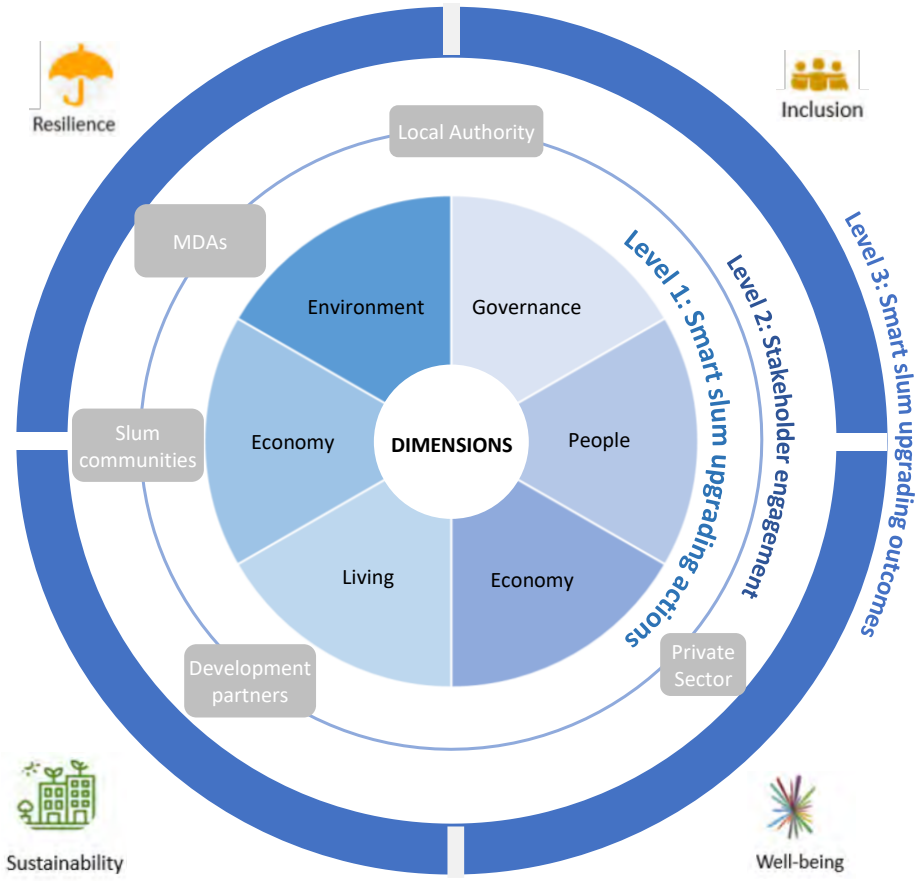
Figure 11: Roles of key stakeholders/actors in Smart Slum Upgrading Strategy implementation process



7 ACTION PLAN

7.1 Smart Slum Upgrading Strategy Results Framework

Figure 12: Smart Slum Upgrading Results Framework



Source: After OECD, 2020

The Smart Slum Upgrading Results Measurement Framework, which is informed by the Smart City Index Master Indicators (SCIMI) framework shown in Figure 4, will revolve around three main aspects, which are mirrored in the three levels illustrated in Figure 12:

- **Level 1:** Implementation of Smart Slum Upgrading Strategy actions under the six dimensions.
- **Level 2:** Level of engagement of various stakeholders in implementation of the Smart Slum Upgrading Strategy actions.
- **Level 3:** Smart Slum Upgrading overall outcomes that are shaped by the Smart Slum Upgrading Strategy actions and engagement of stakeholders (from Pillar 1 and Pillar 2).

7.2 Implementation Actions: Outcomes, Indicators, Stakeholders and Timeline

Table 5 presents the Smart Slum Upgrading Strategy actions to be implemented in order to achieve the respective strategy objectives; the anticipated outcomes and indicators of achievement; and the stakeholders to be engaged for efficient and effective implementation of the strategy actions. It also indicates the timeline — whether the actions to be implemented are short-term (1–2 years), medium-term (3-5 years) and long-term (over 5 years). As shown in Table 5, the indicators in the action plan are SMART—Specific, Measurable, Achievable, Relevant and Timebound— which will help ensure the gathering of reliable evidence about how much or how well outcomes are being or have been achieved.

Table 5: Implementation Actions: Outcomes, Indicators, Stakeholders and Timeline

	Action	Outcome	Indicators	Stakeholders	Timeline
Objective 1: Strengthen participatory, transparent and accountable governance of slums by improving implementation and enforcement of the policy, strategy, legal and institutional framework					
1.1	Leverage the political will to address the slum and affordable housing challenge expressed in the NRM Manifesto 2021-2025 through proactive targeted lobbying and advocacy.	Slums and affordable housing placed higher up on national development agenda.	No. of high-level political pronouncements and/or actions in support of smart slum upgrading.	OP, OPM, MLHUD, NSDFU, UHRC, SDI	Short Term
1.2	Develop and implement open, transparent and accountable urban governance by promoting e- Government and e-participation to reach a wider population through ICT and other digital and online service delivery platforms.	Open, transparent and accountable rights responsive urban governance.	No. of new e-governance and e-participation initiatives. No. of slum dwellers using e-Government services	MOLG, MGLSD, MOICT&NG, NITA-U, UCC, ULGA, UAAU	Medium Term
1.3	Optimize, strengthen and mainstream enabling policy, strategy and legal framework for slum upgrading and new affordable housing through multistakeholder engagement processes.	Efficient and effective implementation of the Smart Slum Upgrading Strategy and interventions.	No. of smart upgraded slums as a result of effective application of the policy, strategy and legal framework	MLHUD, MOLG, MGLSD, MoJCA, ULRC	Long Term
1.4	Create a collaborative institutional ecosystem to synergize and leverage expertise, experience and resources of stakeholders, including slum communities.	Effective mobilization, leveraging and synergizing of stakeholder resources for implementation of smart slum upgrading initiatives.	Amount of resources mobilized for smart slum upgrading initiatives. No. of initiatives implemented using mobilized resources	MLHUD, MOLG, UNUF, CDFs, MDFs, SFs, NSDFU, SDI, Private sector, Academic sector,	Medium Term
1.5	Facilitate communication and interaction among stakeholders in all sectors (public, private, NGO, academic and community) and strengthen critical coordination by strengthening the UNUF and CDFs, MDFs and SFs established under TSUPU.	Effective communication and interaction among stakeholders through the UNUF and CDFs, MDFs and SFs.	No. of meetings, roundtables and other events held annually. Number of initiatives conceived and led by UNUF, CDFs, MDFs, SFs		Short Term
1.6	Develop the capacity of, and enable participation of all key stakeholders – including slum communities – in planning, decision making and budgeting through participatory approaches, using existing and new ICT systems where appropriate.	Effective participation of all stakeholders in implementation of smart slum upgrading initiatives.	No. of smart slum upgrading initiatives implemented with effective participation of slum communities.		Medium Term
1.7	Establish additional central and local government revenue sources for allocation to slum upgrading and affordable housing by developing non-conventional and innovative financing mechanisms.	More central and local funds available, approved and invested in smart slum upgrading initiatives.	Total central/local government expenditure on smart slum upgrading as percentage of total central/local government expenditure No. of smart slum upgrading initiatives funded by central and local government.	OPM, MLHUD, MOLG, MOFED, NPA, ULGA, URA	Medium Term

	Action	Outcome	Indicators	Stakeholders	Timeline
1.8	Actively seek and solicit, and provide a framework for domestic and foreign investment in slum upgrading and affordable housing.	Increased domestic and foreign investment in slum upgrading and affordable housing.	Amount of domestic and foreign investment in slum upgrading and affordable housing annually.	MLHUD, MOLG, MOFED, Development partners, Private sector	Short Term
1.9	Engage CSOs to undertake continuous civic education on citizens' Constitutional rights and civic duties and responsibilities.	Informed and responsible slum communities.	No. of civic education campaigns and events targeting slum communities conducted annually. No. of slum dwellers participating in civic education campaigns and events	UHRC, NGOs, NSDFU, SDI	Long Term
1.10	Raise awareness on key slum upgrading and affordable housing issues through appropriate media channels, including ICT and social media forms for communication to stakeholders in all sectors (public, private, NGO, academic and community).	Well informed stakeholders on key slum and slum upgrading, and affordable housing issues, and willing to participate in slum upgrading and prevention initiatives.	No. of stakeholders participating in slum upgrading and prevention initiatives	MLHUD, UNUF, CDFs, MDFs, NGOs, Private sector, Academic sector	Long Term
Objective 2: Empower people and communities living in slums to effectively participate in decision making on and implementation of smart slum upgrading and sustainable city initiatives that leave no one behind					
2.1	Empower people and communities living in slums to effectively participate in decision making on and implementation of smart slum upgrading initiatives through continuous civic education and awareness campaigns.	Empowered slum dwellers and communities effectively participating in sustainable slum transformation/	No. of smart slum upgrading initiatives in which slum dwellers/ communities actively participated in the decision making and implementation.	MLHUD, UNUF, CDFs, MDFs, SFs, UWONET,	Long Term
2.2	Provide an accessible human capital improvement environment with physical and non-physical platforms with innovative technological features for advancement of knowledge, skills and sharing ideals.	Educated and skilled slum communities effectively contributing to sustainable transformation of the slums.	No, of physical and non-physical educational and skills upgrading platforms.	MGLSD, MOES, MOICT&NG, NITA-U	Long Term
2.3	Increase access to inclusive and quality BTVET and life-long learning opportunities through Open, Distance and eLearning (ODeL)		No. of BTVET and life-long learning opportunities accessible to slum communities through ODeL.	IODeL, CLL, NCDC, MOICT&NG, NITA-U, UGAPRIVI	Long Term
2.4	Develop public-private partnership (PPP) in Business, Technical and Vocational Education and Training (BTVET).	High quality, affordable and accessible BTVET in smart upgraded slums	No. of BTVET institutions established through PPP in slums	MOES,MGLSD, Enabel, USAID, UGAPRIVI, PSFU	Medium Term
2.5	Support and strengthen non-formal education (NFE) as a strategy for providing lifelong education, especially in order to ensure that special interest groups have easier access to education.	Accessible life-long learning opportunities for special interest groups	No. and range of NFE learning opportunities for special interest groups. No. of special interest group members benefiting from NFE opportunities.	MOES, UNESCO, UNICEF, UNIFEM, NCPWD, NWC, NYC	Long Term

	Action	Outcome	Indicators	Stakeholders	Timeline
2.6	Develop and implement smart forms of education, training and skills upgrading to facilitate career choices, labour market opportunities, vocational training as well as lifelong learning for all age groups; and issue certificates and licenses as appropriate.	Multiple accessible smart education, training, skills upgrading and lifelong learning opportunities for all age groups in smart upgraded slums.	MOES. MGLSD,	MOES, UNESCO, UNICEF, UNIFEM, NCPWD, NWC, NYC	Long Term
2.7	Build human capital to ensure that youth living in the slums have the skills to both access and create sustainable employment and income earning opportunities, through ICT skills, entrepreneurship skills and life skills.	Enhanced youth employability and culture of youth entrepreneurship and job creation in smart upgraded slums.	No. of youth in sustainable employment and entrepreneurship opportunities	MOES, UNESCO, UNICEF, UNIFEM, NCPWD, NWC, NYC	Long Term
2.9	Expand slum dwellers access to medical and health services to enhance citizens health and wellbeing.	Improved health equity and outcomes in slum communities; and reduced financial impoverishment from healthcare costs.	Average monthly household expenditure on healthcare	MOH, LGs, LCs, VHTs	Long Term
Objective 3: Enhance local economic development (LED) and livelihoods in slums by harnessing public, private, non-governmental and community resources, and integrating slums into the wider economy.					
3.1	Provide central and local government support to facilitate effective LED with a focus on poverty reduction and sustainable wealth; and operationalize the Parish Development Model (PDM) in all slums.	Inclusive and sustainable LED transforming the lives of people and communities living and working in slums.	Proportion of the population in smart upgraded slums living below the urban poverty line.	MLHUD, MOLG, OP, OPM, NPA, LGs, LCs	Short Term
3.2	Develop and roll out e-Government services to improve the ease of doing business; and ICT programmes that can improve extension services and delivery of government input support.	Online accessibility of all government services and opportunities to support LED.	No of businesses in smart upgraded slums using e-Government services.	MOICT&NG, NITA-U	Short Term
3.3	Improve the business environment and ease of doing business in slums for start-ups, businesses, investors and new talent through an enabling legal and regulatory environment.	Robust business-friendly ecosystem that supports diverse enterprises to conduct business seamlessly and equitably.	Average annual number of new businesses registered in smart upgraded slums	MOFPED, NPA, UMA, UIA, IRSB, URA	Medium Term
3.4	Provide tailored support to increase entrepreneurship, innovation, productivity, quality and competitiveness of MSMEs and HBEs, including through USSD and digital platforms (e.g. mobile and smartphones, other ICT tools).	Competitive MSMEs and HBEs producing quality goods and services for consumers within slums, as well as the wider city and beyond.	No of MSMEs and HBEs in smart upgraded slums producing UNBS certified products.	UNIDO, UIRI, UIA, UMA, URSB, UNBS	Medium Term
3.5	Support the establishment and operation of e-commerce and e-business, in particular by women and youth, through an enabling legal framework, providing ICT skills and e-business training, by facilitating internet access.	Robust, supportive and conducive e-commerce and e-business ecosystem that allows small business to keep their businesses running, their employees connected and their customers engaged.	No. of successfully operating e-commerce and e-business ventures in smart upgraded slums.	U MOICT&NG, NITA-U, UNCTAD	Medium Term

	Action	Outcome	Indicators	Stakeholders	Timeline
3.6	Expand access to electricity and alternative green energy sources, and other infrastructure and services, for MSMEs, HBEs and other economic and productive activities	Widespread access to affordable electricity supply, alternative green energy sources, and other infrastructure and services for MSMEs, HBEs and other economic and productive activities.	No. of MSMEs, HBEs and other economic and productive activities with access to affordable electricity supply, alternative green energy sources, and other infrastructure and services.	ERA	Medium Term
3.7	Support expansion of trade and business opportunities for MSMEs and HBEs in smart upgraded slums beyond local, city and national boundaries through competitive production techniques, innovation and value addition; and strengthening networking/market access.	Wider market access and increased profitability for MSMEs and HBEs in smart upgraded slums.	No. of MSMEs and HBEs in smart upgraded slums with improved market access and increased profitability.	MTIC, UMA, UIA, UNCTAD	Long Term
3.8	Develop PPPs and PPCPs to increase employment opportunities and introduce skills upgrading and workforce development programmes, in particular for special interest groups.	Members of special interest groups able to access employment opportunities.	No. of special interest group members that employed through PPP and PPCP opportunities.	MOES, MGLSD, PSFU	Medium Term
3.9	Support and promote women, youth, and other vulnerable group led livelihood programmes, business initiatives and enterprises, and investment opportunities, including through use of technology and intelligent approaches.	Successful women, youth, and other vulnerable group led livelihood programmes, business initiatives and enterprises generating sustainable livelihoods,	No, of youth/women/vulnerable group livelihood improvement initiatives. No. of youth/women/vulnerable group members engaged in youth/ women/ vulnerable group livelihood improvement initiatives..	MOES, MGLSD, U MOICT&NG, NITA-U,	Medium Term
3.10	Improve financial inclusion through access to USSD and digital financial services (DFS); and affordable short-term financing on flexible terms for MSMEs and HBEs in smart upgraded slums.	Affordable and accessible credit to support MSMEs and HBES to expand for employment and wealth creation.	% of population in slum communities using USSD and digital financial services	FSD Uganda, DFS providers, MFIs, Banks	Medium Term
Objective 4: Improve the living conditions and quality of life of slum communities by increasing tenure security and implementing affordable and participatory incremental upgrading of basic infrastructure, services and housing					
4.1	Improve living conditions in slums through multi-stakeholder implementation of the Smart Slum Upgrading Strategy and Action Plan	Effective stakeholder engagement and collaboration in implementation of the Strategy and Action Plan, with consequent improved living conditions in smart upgraded slums..	No. of stakeholders effectively participating in the implementation of the Strategy and Action Plan. Timely and effective implementation of the Strategy as per the Action plan and Monitoring and Evaluation Framework. Improved health outcomes as measured by key national health indicators in the *Voluntary National Review Report.* % residents that believes their place of residence is a good place to live	All stakeholders	Long Term

	Action	Outcome	Indicators	Stakeholders	Timeline
4.2	Strengthen security of tenure and improve access to safe water, sanitation and other basic infrastructure through use of cost effective, incrementally upgradable and environmentally sound labour intensive construction technologies; and promote community contracting to facilitate community participation in infrastructure development.	Slum communities with secure tenure and sustainable access adequate to basic infrastructure, services and housing in smart upgraded slums.	Proportion of households in smart upgraded slums: – with secure land secure tenure, i.e.: 1) evidence of documentation that can be used as proof of secure tenure status; or 2) either *de facto* or perceived protection from forced evictions. – with access to improved water sources – with access to improved sanitation facilities – which live in a house considered as 'durable', i.e. built on a non-hazardous location and has a structure permanent and adequate enough to protect its inhabitants from the extremes of climatic conditions, – with sufficient living area (not more than three persons share the same habitable room.	MLHUD, MOLG, MGLSD, MOH, MOWT, MOWE, MoICT&NG, NITA, Uganda Land Alliance, UCA, UHOCU, HFB, NHCC, NWSC, ERA, UECCC, UCC, NITA UN-Habitat, GIZ, USAID, KfW Development Bank Habitat for Humanity, Plan International, Uganda Society of Architects, UIPP, UIE Private sector, PSFU MoICT&NG, NITA, Internet service providers FSD Uganda, MFIs, Banks, DFS providers	Long Term
4.3	Improve access to education, health and social welfare services and facilities, and other social services, facilities, and amenities, including through ICT and online service delivery options	Living conditions and quality of life of communities living in smart upgraded slums significantly improved.	% of population with access to online education life-long learning services. % of adults participating in life-long learning, including online. % of population with online access to health services. Proportion of the area for recreational sports and leisure use, Number of social facilities (e.g. social halls)	MOES, MGLSD, MOH, MoICT&NG, NITA, LGs, LCs, CDFs, MDFs, SFs, UNICEF, UNIFEM, USAID	Long Term
4.4	Mobilize, leverage and catalyze public, private and community resources to incrementally and sustainably transform slums — including through innovative PPP and PPCP projects	Smart upgraded slums that continue to be transformed through innovative sustainable PPP and PPCP projects.	Amount of public, private and community resources and utilized in smart slum upgrading initiatives to transform slums No. of innovative PPP and PPCP projects developed and implemented.		Long Term

	Action	Outcome	Indicators	Stakeholders	Timeline
4.5	Improve compliance to the rule of law and capacity to contain prevailing and emerging crime and security threats, including through civic educations, community-based policing, smart surveillance systems, smart security systems and installations (e.g. smart solar power street lighting and smart floodlights).	A safer living environment for all smart upgraded slums, especially women and children and other special interest group members.	Proportion of area of smart upgraded slums under smart surveillance. Number and coverage of smart security systems and installations % of population that feel safe walking alone at night around the area they live. % of population that have been assaulted or mugged in the previous 12 months % increase in community perception of safety and security, especially among women. % decrease in incidents of crime, violence and other forms of antisocial behaviour — especially against women.	MoLG, LGs, LCs, MoIA, UPF, MoICT&NG, NITA, CDFS, MDFs, SFs, Mobile and internet service providers, PSFU	Long Term
4.6	Developing data capabilities within smart upgraded slums to advance evidence-driven strategies and interventions on safety for all, and in particular women and children and other special interest group members..				
4.7	Improve digital inclusion by developing and executing an evidence-based, community driven comprehensive digital inclusion plan; and through PPP/PPCP initiatives (e.g. free/subsidized Wi-Fi hotspots in commercial and public places	Widespread affordable access to ICTs and internet connections in smart upgraded slums, and reduction in the digital between slums and the wider city.	Comprehensive community-driven digital inclusion plan with a financing strategy developed and implemented. Proportion of households with access to affordable ICT and internet connectivity. No. of free/subsidized Wi-Fi hotspots in commercial and public places in smart upgraded slums	MoICT&NG, NITA, Mobile and internet service providers, CDFS/MDFs, PSFU	Long Term
4.8	Improve financial inclusion through access to digital financial services (DFS), including digital savings and credit; and affordable short term financing on flexible terms for home improvements.	Affordable and accessible financial services readily available to previous underserved and excluded slum communities.	Proportion of adults (15 years and older) using DFS and mobile money services for day-to-day transactions. No. of households with a digital loan for home improvements.	MoICT&NG, NITA, DFS, Mobile and internet service providers,	Medium Term
4.9	Raise awareness of ICT and internet and their uses and benefits; and promote and support community-level initiatives for computer literacy.		No. of youth and adults in smart upgraded slums taking computer literacy each year.	MoICT&NG, NITA, IODeL	Long Term

	Action	Outcome	Indicators	Stakeholders	Timeline
Objective 5: Improve mobility within and between slums and the wider city, and improve ICT connectivity and access to link slums communities with local, national and international resources and opportunities					
5.1	Improve intra- and inter connectivity within and between slums and the wider city to facilitate mobility and movement of people, goods and services through ICT-supported approaches.	Efficient connectivity and mobility systems for the movement of people goods and services within and between smart upgraded slums and the wider city.	Public transport network per inhabitant Satisfaction with access to public transport Satisfaction with quality of public transport	MLHUD, LGs, LCs, MoICT&NG, NITA, Mobile and internet service providers, UTODA SHODAU, SafeBoda	Long Term
5.2	Use data — including data collected through participatory methods using smart devices — to define mobility routes, including private and public vehicle routes, NMT routes, and safe and accessible walking routes.		% of public transport vehicles equipped with real-time information		
5.3	Promote public, private, and multi-lateral investments in mobility projects, including PPPs and PPCPs.		Amount of total investment available for mobility per 10,000 inhabitants per year	MLHUD, MOWT, World Bank, UN-Habitat, UNDP, EU, PSFU	Long Term
5.4	Construct, upgrade and climate proof roads and transportation infrastructure with priority for public transport and service vehicles infrastructure, using labour intensive community based contracting	All weather accessibility, mobility and connectivity within smart upgraded slums.	Km of climate proof roads	MOWT, LGs, ILO, GIZ	Long Term
5.5	Develop adequate, reliable and efficient multimodal transport network within slums that encourages walking, NMT, public transport and e-mobility solutions (e.g. electric motorcycles (e-boda bodas) and e-tricycles; electric-buses (e-buses),	Cleaner air environment in smart upgraded slums owing to reduced vehicular emissions and pollution.	Electric cars per capita and new electric vehicle sales	MOWT, Private sector, Academic Sector, SafeBoda, KMC, Bodawerk, PFSU, UIRI, UIA, UMA	Long Term
5.6	Prioritize and construct emergency vehicle accessible footpaths using innovative environmentally sound labour-intensive construction technologies and materials (e.g. recycled plastic paving stones).	Cleaner air environment in smart upgraded slums owing to reduced vehicular emissions and pollution.	Km of emergency vehicle accessible footpaths	MLHUD, LGs	Short Term
5.7	Enhance accessibility, connectivity and movement through an efficient and sustainable traffic management system within smart upgraded slums	More efficient and optimized movement of people and goods.	No. of smart traffic management interventions	LGs, UPF, NRSA	Long Term
5.8	Develop and launch a multi-mode mobility app to coordinate: a) Pricing, availability and safety of transport; b) Feedback from clients regarding convenience of routes, route hazards and complaints regarding operators.	More affordable, efficient and convenient access to transportation options.	No. of slum residents using the multi-mode mobility app.	MOWT, LCs, SFs, Mobile and internet service providers	Long Term
5.9	Increase coverage and capacity of existing ICT and internet infrastructure and services	Accessible and affordable ICT and internet connectivity in smart upgraded slums.	Internet network coverage Internet penetration rate per inhabitant in the slums.	MoICT&NG, NITA, Mobile and internet service providers,	Long Term

	Action	Outcome	Indicators	Stakeholders	Timeline
Objective 6: Ensure sustainable environmental management and improve environmental governance of smart upgraded slums, and reduce vulnerability to climate change effects.					
6.1	Create an environment that is clean, healthy, comfortable and safe to live and work in at all times for communities in slums.	Improved health and wellbeing of communities living and working in smart upgraded slums	Air quality Water quality % of slum dwellers satisfied with the state of the environment	MOWE, NEMA, MEMD MOLG, UAUA, UN-Habitat, UNEP, UNFCCC, GIZ, USAID CDFs, MDFs, SF,	Long Term
6.2	Mainstream and strengthen implementation and enforcement of the existing enabling policy, strategy and legal framework to provide a safe and clean environment for slum communities.				
6.3	Raise awareness on citizens' constitutional obligation to create and protect a clean and healthy environment (Article 17(j) of the Constitution of Uganda); and support Government efforts to promote sustainable development	Well-informed slum communities aware of their civic obligations and motivated to fulfil them.	% of slum residents aware of their constitutional obligations with respect to the environment.	MOWE, NEMA, UHRC, SFs, NGOs	Long Term
6.4	Promote and support community-led urban greening/urban green infrastructure initiatives, including urban agriculture.	Cleaner and aesthetically pleasing urban environment.		MLHUD, MOWE, NSDFU, SDI, SFs	Long Term
6.5	Develop and strengthen community-led green management, including protection of gazetted environmentally sensitive areas and enforcement of legislation on occupation of the same.	Well-managed, sustainable environment in smart upgraded slums with knock-on benefits for the wider urban environment.	% of slum residents participating in environmental and sustainability oriented activities.	MOWE, MGLSD, SFs, NSDFU, SDI	Long Term
6.6	Use ICT in community-let sustainable environmental management, and environmental monitoring and early warning (e.g. early flood warning systems).	Safe, climate resilient, and disaster-prepared communities	No. of smart upgraded slums with ICT assisted environmental management, and environmental monitoring and early warning systems.	MLHUD, MOWE, MoICT&NG, NITA	Long Term
6.7	Promote urban greening/urban green infrastructure	Aesthetically pleasing urban environment with reduced greenhouse gas emissions.	Amount of greening in smart upgraded slums	MLHUD, MOWE, LGs. LCs, CDFs MDFs, SFs	Long Term
6.8	Promote and encourage slum households to adopt the 5Rs of waste management — refuse, reduce, reuse, repurpose, recycle.	Healthy, garbage free environment for communities in smart upgraded slums with benefits for the wider urban environment	% of households practicing the 5Rs of waste management	CDFs, MDFs, SFs, NSDFU, SDI	Long Term
6.9	Develop and promote the use of smart waste technologies that use technology to make garbage collection more efficient, cost-effective and environmentally friendly.		% of garbage collection companies using smart waste technologies	MTIC, MOWE, Garbage collection companies	Long Term
6.10	Improve energy governance and administration; and reduce energy-related environmental impacts.			MEMD, NEMA, UN-Habitat, GIZ	Long Term
6.11	Promote and implement affordable clean and smart energy technologies and services	Increased energy security and Reduced energy poverty in smart upgraded slums.	% of households using clean and smart energy technologies and services	MEMD, NEMA, UN-Habitat, GIZ, Uganda Carbon Bureau, BEETA	Long Term

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Annex 1: Key Housing Indicators for Uganda

Indicator	Value	Year	Source
Housing construction and investment-related indicators			
Percent of population living in slums, informal settlements or inadequate dwellings	48.3%	2018	World Bank; UN-Habitat
Number of households living in dwellings built using durable building materials (walls and roof)	283 971	2016	Demographic & Health Survey
Number of people per sleeping room in formal urban dwellings	2.13	2016	Demographic & Health Survey
Number of people per sleeping room in informal urban dwellings	2.51	2016	Demographic & Health Survey
Number of people in Bottom 40 per sleeping room, in formal dwellings	2.82	2016	Demographic & Health Survey
Number of people in Bottom 40 per sleeping room,in informal dwellings	2.67	2016	Demographic & Health Survey
Size of cheapest, newly built house by a formal developer or contractor in an urban area (m^2)	85	2019	Comfort Homes Uganda
Cost of standard 50 kg bag of cement (local currency units)	Ush 28 000	2019	Cement News
Total costs of all residential construction permit-related procedure (local currency units)	Ush 8 400 600	2020	World Bank
Total costs of all residential construction permit-related procedure	Ush 7 000 000	2019	Smart Havens Africa;World Bank
Ratio of construction labour costs to total construction costs in Kampala	0.04%	2019	Housing Finance Bank Uganda
Time (in days) from application to completion for residential units in Kampala	240	2019	Housing Finance Bank Uganda
Number of housing construction loans outstanding	6 200	2019	Housing Finance Bank Uganda
Affordability			
Price of the cheapest, newly built house by a formal developer or contractor in an urban area (local currency units)	Ush 125 million	2019	Various property developers
Percent of urban households that can afford the cheapest, newly built house	3.9%	2019	CAHF; C-GIDD
Ownership			
Percent of total households that own their dwelling	46%	2016	Demographic & Health Survey
Percent of Bottom 40 households that own their dwelling	58%	2016	Demographic & Health Survey
Rental			
Typical urban rental price for cheapest newly built dwelling by a formal developer or contractor in an urban area	Ush 500 000	2019	Housing Finance Bank
Finance			
Number of mortgage providers	5	2019	Bank of Uganda
Highest LTV on a residential mortgage	85%	2019	Bank of Uganda
Prevailing residential mortgage rate	17%	2020	Housing Finance Bank
Maximum residential mortgage term	20	2019	Various financial institutions
Proportion of adult population that borrowed formally	10%	2018	FSD Uganda
Number of institutions offering housing microfinance (HMF) loan products			

Source: After Centre for Affordable Housing Finance in Africa and Reall (2020)

Annex 2: Definitions of five slum characteristics

1) **Access to improved water**: A household is considered to have access to an improved drinking water source if the household members use a facility that is protected from outside contamination, in particular from faecal matters' contamination. Improved drinking water sources include piped water into dwelling, plot or yard; public tap/stand pipe; protected spring; rainwater collection; bottled water (if secondary source is also improved); bore hole/tube well; and, protected dug well.

2) **Access to improved sanitation**: A household is considered to have access to improved sanitation if household members have access to a facility with an excreta disposal system that hygienically separates human waste from human contact. Improved sanitation facilities include : flush/pour-flush toilets or latrines connected to a sewer, septic tank or pit; ventilated improved pit latrine; pit latrine with a slab or platform which covers the pit entirely; and, composting toilets/latrines.

3) **Sufficient living area**: Household dwelling unit provides sufficient living area for the household members if not more than three people share the same habitable room.

4) **Structural quality/durability of dwellings**: A house is considered as 'durable' if it is built on a non-hazardous location and has a permanent and adequate structure able to protect its inhabitants from the extremes of climatic conditions such as rain, heat, cold, and humidity. In order to determine the household durability, consider the following elements:

    i) Permanency of structure (permanent building material for the walls, roof and floor; compliance with building codes; the dwelling is not in a dilapidated state; the dwelling is not in need of major repair); and

    ii) Location of house (The house is not located on or near toxic waste, in a flood plain, not located on a steep slope, not located in a dangerous right of way of rail, highway, airport, and power lines).

5) **Security of tenure**: A housing structure should be accompanied by security of tenure. This means that the members of the household should have a legal status against arbitrary unlawful eviction, harassment as well as any other threats. The housing structure should have statutory or customary law or informal or hybrid arrangements that safeguard the house members against forced evictions.

Source: UN-Habitat (2018) *Sdg Indicator 11.1.1 Training Module: Adequate Housing and Slum Upgrading*

Annex 3: Previous Land Tenure Improvement, Slum Upgrading and Affordable Housing Initiatives

Project	Partners	Location	Results/Achievements
Participatory Slum Upgrading Project (PSUP)	EU	Mbale, Mbarara and Kitgum municipalities	▪ One national and 3 urban profile reports for each city have been finalized and printed. ▪ Cooperation agreement signed with GoU ▪ 1st and 2nd phases completed; 3rd phase ongoing.
Kasoli Slum Upgrading project	MLHUD, Tororo Municipal Council, UN-Habitat, DFCU Bank, Community	Tororo Municipality	▪ Kasoli slum has been upgraded with permanent shelter 98 units, ▪ Slum dwellers have been trained in business skills ▪ Environment has been appreciated.
Kasooli Housing Project (2007)		Tororo District	▪ Project targeted 250 households in Kasoli settlement and aimed to: provide security of tenure; access to basic infrastructure and services; access to housing finance; increase the income-generating capacity of Housing Association members; and, improve the physical environment..
Empowerment of Urban Women Entrepreneurs through Housing Development and Land Rights	Government of Norway and Spain	Jinja Municipality	▪ 20 units of Low cost housing constructed for the low income women of Mpumudde. ▪ Empowered with paralegal training and business skill
Support to ACTogether/ Slum Dwellers International Federation (SDI) on delivering Tenure Security for Urban Poor through Implementation of STDM in selected municipalities	UN-Habitat/ GLTN, Cities Alliance	Kampala, Mbale, Tororo, Masaka, Entebbe and 9 more municipalities	▪ 89 settlements profiled in the up-scaling of the Social Tenure Domain Model (STDM) work ▪ 4 STDM data Management and Learning Centres established in Masaka, Mbale, Entebbe, and Tororo ▪ Supported capacity building of 15 Municipal Councils on the use of STDM on settlements profiling, mapping, enumerations and data processing.
Support to Uganda Land Alliance to Strengthen Women's Access to Land and Land Governance in Northern Uganda	UN-Habitat/ GLTN, Netherlands Government	Northern Uganda	▪ Improved knowledge and awareness n issues and measures for strengthening land and natural resource tenure security of poor women and men. ▪ 10 District Local Governments trained on Gender Evaluation Criteria (GEC) tool
Oli Housing Project		Arua	▪ A total of 156 houses built
Namuwongo Slum Upgrading and Low-Cost Housing Project		Kampala	▪
Malukhu slum-upgrading Project			▪ 460 houses constructed out of the planned 484
Masese Women's Low Cost Housing Upgrading Project (1989-1994)	DANIDA	Jinja	▪ Aimed at improving housing conditions and empowering women to increase their income ▪ 370 housing units completed
Kampala Integrated Environmental Planning and Management Project (KIEMP)	BTC (Enabel)/Belgian Government		▪ The project strengthened the capacity of KCCA in environmental planning and management; and improving environmental and housing conditions of slum communities .
"Cities without Slums" (CWS) Sub-regional Programme for Eastern and Southern Africa in Uganda			▪ The programme supported the administration of KCCA to develop a comprehensive approach of upgrading un-planned settlements and improve living conditions of populations living and working within slum settlements

Source: UN-Habitat (2016) *Country Programme Document 2016 – 2021: Uganda*

Annex 4: Importance of stakeholder cooperation and coordination

Lack of recognition of the multiactor nature of the housing ecosystem and lack of cooperation and coordination among key stakeholders has constrained the development and implementation of relevant, effective and sustainable slum upgrading and affordable housing interventions

The scale of the challenge of slums, informal settlements and other forms of inadequate housing, and its wider structural causes (including low incomes; lack of housing affordability; inadequate urban planning, land use, housing policies, etc.) makes the involvement of both national-and local level entities critical. Indeed, UN-Habitat affirms that: "65 percent of the SDG agenda may not be fully achieved without the involvement of urban and local actors."[48]

Moreover, in order to realise SDG 11 and its targets, comprehensive coordination is also necessary with other actors and stakeholders, including the private sector, academia and research institutions, the international community and other development partners. Contextual knowledge, mandates and responsibilities make the participation of local government essential. However, local governments may suffer from ineffective governance, limited political power or mandate, limited budgets, limited expertise and administrative resources, poor coordination and communication among departments, lack of awareness of sustainability challenges, and poor communication and engagement with the public and other stakeholders — in particular civil society and slum communities.

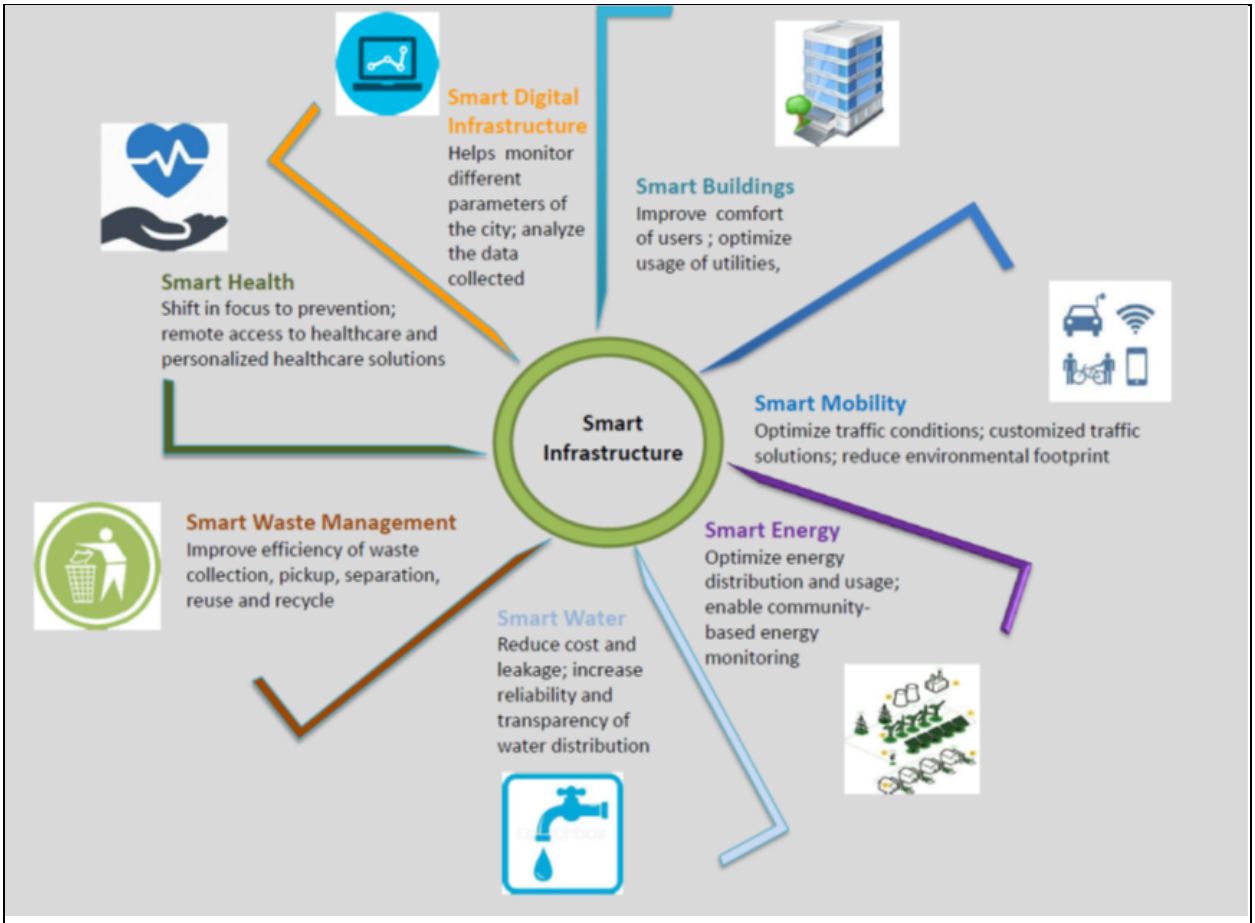
Participatory approaches are crucial. Without the engagement of local communities, the chances of successful and sustainable interventions are limited. If these approaches are not effectively used, they can lead to increasing inequalities within communities. For example, if advantaged members of a community have better chances for participation while no measures are taken to include the most vulnerable, political manipulation and patronage may be strengthened. In addition, if interventions remain ad hoc, without institutionalisation, the potential for participatory planning and participatory budgeting[49] is limited.

Source: Habitat for Humanity International (2021) *Progress Report: Sustainable Development Goal 11 Target 11.1*

[48] SDSN (2016) *Getting Started with the Sdgs in Cities: A Guide for Stakeholders*

[49] Article 176(b) of the Constitution of Uganda affirms that "*decentralization shall be a principle applying to all levels of local government and in particular, from higher to lower local government units to ensure peoples' participation and democratic control in decision making*". The Local Government Act, Cap. 243 gives effect to the decentralization and devolution of powers, functions and services to Local Government and administrative units, and thus operationalized the concept of participatory budgeting (PB) as part of the decentralisation policy.

Annex 5: Smart Infrastructure



Source: Wu, D. (2016) *Smart Cities and Infrastructure: Introduction of the Secretary General's Report*

Infrastructure is key to the development of a smart city, and likewise to smart slum upgrading. Smart Infrastructure can be broadly categorized as: (1) physical and (2) digital.

Smart physical infrastructure, which is a key to element of smart slum upgrading, includes: Smart Buildings; Smart Water Management; Smart Waste Management; Smart Energy; and Smart Mobility and Transport.

Smart buildings integrate the different physical systems present intelligently to ensure that all the systems act together optimally and efficiently. Smart building management systems can improve building energy efficiency, reduce waste and ensure optimum water use, with operational effectiveness and occupant satisfaction.

Smart water management uses digital technology to save water, reduce leaks, improve water quality metrics, reduce costs, and increase reliability and transparency of water distribution. Consumers can be provided real time relevant information to conserve water and reduce water bills.

Smart waste management adopts the 5Rs approach: refuse, reduce, reuse, repurpose and recycle. It categorizes the type of waste at the source and develops methods for appropriate handling of waste. It converts waste into a resource and creates closed-loop economies.

Smart energy meets energy needs in an environmentally sustainable way using cost effective solutions. *Smart energy management systems use renewable energy sources, advanced meters, digital devices and analytic tools to monitor and optimize energy distribution and consumption.*

Smart mobility and transport are approaches that foster faster, greener and cheaper transportation options, increase connectivity and reduce congestion. Smart mobility systems include pedestrian and non-motorized transport (NMT) facilities, and mass transit and individual mobility systems

Annex 6: Criteria used in defining slums, informal settlements and inadequate housing

Criteria	Slums	Informal Settlements	Inadequate Housing
Access to water	✓	✓	✓
Access to sanitation	✓	✓	✓
Sufficient living area, overcrowding	✓		✓
Structural quality, durability and location	✓	✓	✓
Security of tenure	✓	✓	✓
Affordability			✓
Accessibility			✓
Cultural adequacy			✓

Source: UN-Habitat, 2019, p.4

Annex 7: Slum Upgrading and Adequate Housing for communities living and working in slums as related to the Sustainable Development Goals

Goal	Relationship to adequate housing for children
SDG 1: No Poverty	Poverty cannot be eliminated while individuals are living in substandard housing that violates their rights and ability to thrive and survive. Adequate housing builds resilience and reduces vulnerability to economic, social and climate-related shocks and disasters. Additionally, lack of affordable housing options and secure tenure reduces a family's ability to build generational wealth and contributes to cycles of poverty.
SDG 2: Zero Hunger	Affordable housing and secure tenure have been linked to improved food security; lower housing costs increase the percentage of income available to spend on food. The urban poor are often more vulnerable to price-induced food insecurity than their rural peers because of their limited ability to grow or access crops or natural food sources.
SDG 3: Good Health and Well-Being	Adequate housing can improve child health outcomes by reducing exposure to toxic chemicals and indoor air pollution, reducing the spread of infectious diseases, providing access to safe WASH infrastructure, preventing injuries related to substandard construction materials and building practices, and reducing risks for noncommunicable diseases such as cardiovascular diseases or respiratory diseases due to extreme temperatures and other risk factors. Housing with secure tenure is also linked to reduced stress and improved mental health outcomes. In many cases, formal housing and a permanent address are prerequisites for accessing health services.
SDG 4: Quality Education	Children perform better in school while in the confines of a safe home. Housing quality and access to basic services benefit children's health, which leads to better school attendance rates. Adequate housing with sufficient space, light, electricity and internet connection improves a child's ability to thrive in school.
SDG 5: Gender Equality	Ensuring equal rights and access to housing for women and girls protects them from discriminatory policies and practices related to land distribution, titling and inheritance. Women and girls face disproportionate risk for housing-linked health conditions because of the increased amount of time they spend at home. To reduce these health disparities, housing conditions must be addressed. Women and girls are also often disproportionately responsible for collecting water for the household, which eliminates time for leisure and livelihood-generating activities. Improving access to safe water sources in and around the home would improve gender equality in many settings.
SDG 6: Clean Water and Sanitation	Access to clean water and sanitation infrastructure is an important element of adequate housing. Improved water, sanitation and hygiene, or WASH, infrastructure has been linked to reduced incidence of diarrhoeal disease, one of the leading causes of child mortality. Urban poor are one of the fastest growing population groups and their unique water and sanitation needs must be addressed to achieve target goals for adequate water and sanitation access.
SDG 7: Affordable and Clean Energy	Individuals in inadequate housing will often pay higher costs to heat or cool their homes because of poor insulation and substandard building materials. Many individuals rely on open fires and simple stoves to cook their meals and heat their homes.16 Despite living in urban areas, individuals residing in slums and informal settlements may have limited access to electricity when compared with their wealthy urban peers. Investments in affordable and clean energy for families and children in slums and informal settlements can save energy costs, reduce air pollution and mitigate the effects of climate change.

Goal	Relationship to adequate housing for children
SDG 8: Decent Work and Economic Growth	Improved living conditions and reduced crowding in homes create opportunities for individuals, especially women and children, to practice livelihood activities from within the homes. Advancements in secure tenure, housing conditions and access to basic services associated with adequate housing mean that households can spend less of their income on home repairs and unpredictable rental costs. Convenient access to safe water and sanitation services, electricity, clean fuel sources, and transportation services also reduce the amount of time children and their families must spend in transit to meet their basic needs. This reclaimed time could be dedicated to income-generating activities or leisure time. Expanding or upgrading housing stock also creates dignified jobs for community members seeking employment. Children benefit from economic growth within their families and neighbourhoods
SDG 10: Reduced Inequalities	The urban poor are often excluded from the social and economic benefits associated with living in a city. To reduce inequalities at the city and country levels, resources must be dedicated to support the development of affordable housing options and healthy, sustainable neighbourhoods for all urban residents.
SDG 11: Sustainable Cities and Communities	SDG 11 directly addresses the need for adequate housing, calling for **"access for all to adequate, safe and affordable housing and basic services."** Addressing adequate housing for the urban poor is an essential step for building sustainable cities and communities. Sustainable urban planning must include considerations for adequate, affordable housing and sufficient social protections for individuals living in slums and informal settlements.
SDG 13: Climate Action	Individuals living in slums and informal settlements are extremely vulnerable to the effects of climate change because of the poor quality of their homes, their precarious location and their already compromised health conditions. Many informal settlements exist on land that is environmentally compromised or is more prone to flooding. Substandard building materials may also exacerbate the effects of extreme heat or cold. Children in slums and informal settlements are particularly vulnerable, as they are more susceptible to extreme temperatures and face a greater risk of being displaced multiple times over their life spans
SDG 16: Peace, Justice and Strong Institutions	Recognition of informal settlements and security of tenure promote the inclusion of vulnerable groups (including women, children and migrants) in decision-making processes. Strong, participatory governance systems model collaboration and tolerance for urban youth, which supports their social development.
SDG 17: Partnerships for the Goals	Partnerships are required to increase access to adequate housing an related products and services and are vital for quality impact at scale. The scale, complexity and challenges related to providing adequate housing in urban areas and addressing the needs of children requires multisector and multistakeholder partnerships to raise awareness and pool resources and expertise to support the co-creation, implementation and scale-up of viable solutions.

Source: Habitat for Humanity et al. (2022) *Children, Cities and Housing: Rights and Priorities*

Annex 8: Sustainable Urbanization and Housing Interventions and Respective Actors in Uganda

Interventions	Actors
1. Support establishment of labour-intensive manufacturing, services, and projects for employment creation including development of bankable business plans	MLHUD, MoLG, NPA, MDA's, Private sector, DPs
2. Upgrade accredited institutions to offer certified skilling, entrepreneurship and incubation development in sustainable urbanisation and housing related fields	MGLSD, MoFPED, MOE, MLHUD, MOLG
3. Reform and improve business processes in cities and urban areas to facilitate private sector development	MOTIC, URA, MoFPED, MLHUD, MoLG, Private Sector
4. Develop and implement an integrated rapid mass transport system (Light Railway Transport and Mass Bus Transport) to reduce traffic congestion and improve connectivity in urban areas	MoWT, KCCA, MLHUD, MDA's, private sector, DPs, CSOs, Local Communities, LGs
5. Improve urban safe water and waste management services and associated infrastructure for value addition and revenue generation	MoWE, KCCA, MLHUD, MoLG, MoWT, NWSC, MDA's, private sector, DPs, CSOs, Local Communities
6. Improve the provision of quality social services to address the peculiar issues of urban settlements	MoWE, KCCA, MLHUD, MoLG, MoWT, MoH, MoES, NEMA, private sector, DPs, CSOs, Local Communities
Objective 2: Promote urban housing market and provide decent housing for all	
1. Develop and implement an investment plan for adequate and affordable housing	MLHUD, MoLG, MoFPED, NPA, MDAs, MTIC
2. Develop, promote and enforce building codes/standards	MLHUD, MoLG, MoFPED, NPA, MDAs, MTIC, MoWT
3. Develop an inclusive housing finance mechanism including capitalization of Housing Finance Bank to provide affordable mortgages and revisiting the mandate of NHCC to support housing development for all	MoFPED, MKCC&MA, MLHUD, NPA, DPs, Private Sector, Civil Society, Local Communities
4. Incentivize real estate companies to undertake affordable housing projects to address the housing deficit	UIA, MLHUD, Private sector
5. Address infrastructure in slums and undertake slum upgrading including operationalisation of the Condominium Law in slums and cities	UIA, MTIC, Uganda Free zones Authority, MoWT, MoLG, MLHUD, MAAIF, LGs
6. Design and build inclusive housing units for government workers (civil servants, police and army)	UNHCC, MLHUD, MOLG, MKCC&MA, Housing Finance Bank
7. Promote the production and use of sustainable housing materials and technologies	MTIC, MLHUD, Private Sector
Objective 3: Promote green and inclusive cities and urban areas	
1. Conserve and restore urban natural resource assets and increase urban carbon sinks	MLHUD, MWE, NEMA Private Sector
2. Undertake waste (including faecal matter) to wealth initiatives which promote a circular economy	MLGSD, MOWE, MOEMD, MLHUD
3. Develop green buildings, risk sensitive building codes and systems to promote energy efficient housing	MLHUD, MoFPED, OPM, MOEMD, MKCC&MA
4. Promote mass transport and non-motorized transit in city	MOW, MLHUD, MOWE
5. Increase urban resilience by mitigating against risks of accidents, fires, flood earthquake, landslides and lightning specifically focusing on: a) Strengthen effective early warning systems; and b) Improve emergency responses.	MLHUD, MOWT, MOWE, OPM
6. Develop and protect green belts	MLHUD, NEMA, MOWE
7. Establish and develop public open spaces	MLHUD, MOWE

Interventions	Actors
Objective 4: Enable balanced and productive national urban system	
1. Develop and implement integrated physical and economic development plans in the new cities and other urban areas	MLHUD, MOLG, OTHER MDAs and Private Sector
2. Implement the Greater Kampala Metropolitan Area Economic Development Strategy	MKCC&MA, MLHUD, MOLG, other MDAs and Private Sector
Objective 5: Strengthen urban policies, governance, planning and finance	
1. Review, develop and enforce urban development policies, laws, regulations, standards and guidelines	MLHUD, MWE, PSFU, CSOs, Local Communities, MoLG, LG
2. Implement participatory and all-inclusive planning and implementation mechanism to enforce the implementation of land use regulatory and compliance frameworks	MLHUD, KCCA, MWE, MoLG, LGs, PSFU, CSOs, Local Communities,
3. Scale up the physical planning and urban management information system	MLHUD, NPA, MTIC, , MoLG, LGs, DPs PSFU, CSOs, Local Communities,

Source: Republic of Uganda (2020) *Third National Development Plan (Ndp Iii) 2020/21 - 2024/25*

Annex 9: The Parish Development Model: Community Mobilisation and Mindset Change Operational Manual

In March 2021, he Ugandan Cabinet approved the implementation of the Parish Development Model (PDM) as a multi-sectoral strategy to create socio-economic transformation by moving households out of the subsistence economy into the money economy.

The Parish Development Model (PDM) is the last-mile strategy for service delivery by the Government of Uganda for improving incomes and welfare of Ugandans. It is an extension of the whole-of-Government approach to development as envisioned in National Development Plan III, with the Parish as the lowest administrative and operational hub/epi-centre (for planning, budgeting, reporting and delivery of interventions). Under the PDM, the government has set up structures and frameworks that will bring planning, budgeting and delivery of public services closer to the people and hence foster local economic development (LED).

Goal and Objective of Parish Development Model

The goal of the PDM is to increase household food security and incomes and improve the quality of life of Ugandans with specific focus on the total transformation of society (both on-farm and off-farm, rural and urban settings).

The overall objective of the PDM is to increase the effectiveness of infrastructure and service delivery, including agricultural extension and social services, in order to accelerate the realization of the long-term goal of socio-economic transformation. The immediate target is move the 39% of the households out of subsistence production into the money economy in the next five years.

The specific objectives of the PDM include the following;

i) Increase production and productivity throughout the entire value chain from production to post harvest handling, transportation, storage and marketing;

ii) Provide the necessary social and economic infrastructure, including community access roads, energy, water for domestic consumption and production, local markets and economic services;

iii) Increase participation of households in the financial sector through financial literacy, improved business management and a culture of saving, credit and investment;

iv) Strengthen social services at the grassroots in terms of health, education, environment management, improved housing, sanitation and hygiene;

v) Increase awareness, mobilization and attitude change among the population to take responsibility to improve their own livelihoods and incomes;

vi) Maintain a community information system that will provide administrative and economic data at the parish level, for improved planning and development; and

vii) Deepen decentralization buy strengthening governance and administration of the localities.

Republic of Uganda (2020) *The Parish Development Model: Community Mobilisation and Mindset Change Operational Manual*

Annex 10: Constitution, National Development Frameworks and Policy, Strategy, Legal and Regulatory Frameworks

Constitution of Uganda, 1995

The Constitution of Uganda[50] is the supreme law of Uganda and apex of the legal framework. Objective XIV on 'General social and economic objectives' obligates the State to ensure that all Ugandans are afforded equal rights, opportunities and access to decent shelter, clean and safe water, work, education, health services, food security, adequate clothing, and pension and retirement benefits.

Article 237(1) affirms that: *Land in Uganda belongs to the citizens of Uganda and shall vest in them in accordance with the land tenure systems provided for in this Constitution"* namely: (a) customary; (b) freehold; (c) Mailo; and (d) leasehold. However, Article 234(1) authorizes the Government and local governments to acquire land for public use or in the interest of defence, public safety, public order, public morality or public health, as stipulated in Article 26.

National Development Frameworks

Uganda Vision 2040

Uganda Vision 2040[51] is the country's long-term development blueprint, which provides development paths and strategies to operationalize the vision of "*A Transformed Ugandan Society from a Peasant to a Modern and Prosperous Country within 30 years*. The Vision aims to transform Uganda from a predominantly peasant and low income country to a competitive upper middle income country by 2040. The Vision attributes are consistent with the principles of the Constitution of Uganda

Chapter 5 on 'Social Transformation' affirms that the Government will focus on improving the quality of its population, health and nutrition status; literacy and numeracy; housing, water and sanitation conditions; and social protection in order for Ugandans to enjoy a high standard of living. It will also focus on reducing the number of people living in absolute poverty and reach a per capita of US$ 9,500 by 2040.

Third National Development Plan (NDPIII) 2020/21 – 2024/25

The *Third National Development Plan (NDPIII) 2020/21 – 2024/25*[52] is the third of the National Development Plans (NDPs) aimed to facilitate the achievement of the aspirations articulated in *Uganda Vision 2040*. Formulated with the goal of "*Increased Household Incomes and Improved Quality of Life of Ugandans*", the NDPIII defines the overall direction for the country and sets key objectives, interventions and targets for sustainable socioeconomic transformation towards the achievement of Vision 2040.

NDP III outlines 21 development strategies that will be adopted to achieve the key expected results, which are aimed to "*Leverage urbanization as a driver for socio-economic transformation*". It also identifies 18 programmes designed to deliver the required results. One of these is the Sustainable Urbanisation and Housing Programme, the goal of which is "to attain inclusive, productive and liveable urban areas for socio-economic development". Key results to be achieved over the plan period 2020/21 - 2024/25 include: "Reduce the acute housing deficit of 2.2 million by 20%", and "Decrease the percentage of urban dwellers living in slums and informal settlements from 60 % to 40%".

[50] Republic of Uganda (1935) *The Public Health Act*.

[51] Republic of Uganda (2013) *Uganda Vision 2040*.

[52] NPA (2020) *Third National Development Plan (Ndpiii) 2020/21 – 2024/25*

National Physical Development Plan (NPDP)

The *National Physical Development Plan (NPDP)*[53] was prepared as required by *The Physical Planning Act, 2010*, and is the Government's strategic approach to resolving the conflicting sectoral pressures on land use in the context of a growing population and modernizing country. The Plan combines the spatial content of Vision 2040 and NDPs into one over-arching framework for the coordinated and sustainable physical development of the country based on balanced regional growth. Its central objective is to give the physical dimension of economic and social development a more central role within government policy making. The National Planning Authority (NPA), MDAs, private sector and other development agencies and partners will therefore be required to adopt relevant physical planning considerations in their sector development plans to facilitate efficient and effective implementation of the NPDP.

Policy Framework

The Uganda National Land Policy

The goal of *The Uganda National Land Policy*[54], published in 2013, is "to ensure efficient, equitable, and optimal utilization and management of Uganda's land resources for poverty reduction, wealth creation and overall socio-economic development". The policy notes that approximately 19% of the Ugandan population lives in urban areas, and only 51 % of these are in planned settlements. The policy therefore commits to human settlements development through land use regulation, adequate physical planning, and provision of infrastructure and utilities.

The policy recognizes that while slum dwellers are an integral part of the urban fabric and contribute significantly to the urban economy, many are forced to settle in marginal, environmentally sensitive areas where they live under health threatening conditions. Section 4.11 consequently addresses land rights of slum and informal settlement dwellers. The policy states that the Government will ensure an adequate supply of affordable land in urban areas and provide a framework for regularizing land tenure for slum dwellers. The strategies that will be pursued include: facilitating negotiations between land owners, the Government and slum dwellers to regularize their land rights; promoting PPPs to enhance tenure security and curtail the growth of slums; allocating serviced land for affordable housing development for the urban poor; and providing affordable infrastructure for self-improvement for the urban poor.

The National Land Use Policy, 2006

The overall goal of *The National Land Use Policy*[55] published in 2006 is "to achieve sustainable and equitable socio-economic development through optimal land management and utilization in Uganda". The specific goals are to: 1) Adopt improved agriculture and other land use systems that will provide lasting benefits for Uganda; 2) Reverse and alleviate adverse environmental effects at local, national, regional and global levels; 3) Promote land use activities that ensure sustainable utilization and management of environmental, natural and cultural resources for national socio-economic development; 4) Ensure planned, environmentally friendly, affordable and well-distributed human settlements for both rural and urban areas; and 5) Update and harmonize all land use related policies and laws, and strengthen institutional capacity at all levels of Government.

Policy Statement 22 is "To promote and encourage the development of adequate and appropriate shelter for all". The strategies to achieve this end include: reviewing building and planning standards to make them 'user friendly' instead of a deterrent to development; encouraging developers and local authorities to buy properties on unviable plots in order to promote planned development consolidation; and discouraging the development of slums and promote slum upgrading initiatives in urban areas.

[53] Republic of Uganda (2019) *National Physical Development Plan (Npdp)*

[54] Republic of Uganda (2013) *The Uganda National Land Policy*

[55] Republic of Uganda (2006) *The National Land Use Policy*.

National Housing Policy

The goal of *The Uganda National Housing Policy*[56] published in 2016 is "to provide a framework that provides adequate housing for all". The objectives of the Policy are to:

1. Increase the production of adequate housing for all income groups, from the current 60,000 to 200,000 housing units per annum to meet the housing need by 2022.
2. Improve the quality of the existing housing stock.
3. Promote efficient utilization of energy and other resources in housing.
4. Increase access to affordable housing.
5. Improve security of land tenure.
6. Improve the mechanisms for development and management of real estate industry.

Policy Statement 8 affirms that: Government shall develop programmes for affordable urban housing and improve living conditions in slums and prevent future development of slums and informal settlements. The strategies to achieve this are: 1) Implement the recommendations of the National Slum Upgrading Strategy and Action Plan; 2) Acquire land and plan it for mass housing schemes; 3) Undertake affordable housing schemes on a PPP arrangement; and 4) Formulate and implement the National Urban Policy.

The Uganda National Urban Policy

The Uganda National Urban Policy[57], published in 2017, was developed to address the high urban growth in Uganda estimated at 5.2% per annum, and the numerous consequent challenges such as urban sprawl, proliferation of slums and informal settlements, environmental degradation, climate change, natural disasters, high levels of unemployment, urban poverty and crime among others. The policy goal is thus "*To promote livable urban areas that are organized, inclusive, productive and sustainable*". The objectives that have been set to achieve this goal are the following: a) To promote spatially integrated urban development; b) To facilitate balanced regional development; c) To promote urban competitiveness and productivity for employment creation; d) To promote urban environmental conservation and protection, climate change, mitigation and adaptation mechanisms; and e) To promote good urban governance.

The Uganda Gender Policy (2007)

The Uganda Gender Policy 2007[58] was formulated to support the implementation of the Constitutional and policy provisions. The ultimate objective of the policy is to evolve a society that is both informed and conscious of gender and development issues and concerns. The policy emphasizes that sustainable development requires maximum and equal participation of both men and women in economic, political and social cultural development. The policy was thus designed to establish a comprehensive framework for identifying, implementing, and coordinating interventions designed to achieve gender equality and women's empowerment in Uganda. The policy is a guide to all stakeholders in planning, resource allocation, implementation and monitoring and evaluation of programmes with a gender perspective.

Local Economic Development Policy

The *Local Economic Development Policy*[59] published in 2014 provides a framework for partnerships in local economic development (LED) and a vehicle for implementing local government LED initiatives. The policy is aimed to mainstream decentralization, eradicate poverty and ensure inclusive, sustainable and equitable economic growth at local level. To affirm its commitment, the Government adopted LED as the

[56]Republic of Uganda (2016) *The Uganda National Housing Policy*.
[57] Republic of Uganda (2017) *The Uganda National Urban Policy*.
[58] Republic of Uganda (2007) *The Uganda Gender Policy (2007)*.
[59] Republic of Uganda (2014) *Local Economic Development Policy*.

sixth pillar of the Decentralization Policy and Strategic Framework (DPSF) and the Local Government Strategic Investment Plan (LGSIP).

National Strategy for Local Economic Development 2021/22 - 2024/25

The mission of the *National Strategy for Local Economic Development 2021/22 - 2024/25*, sub-titled 'Re-igniting Local Resources and Self Help',[60] is: "To create local and national governance mechanisms which promotes a conducive, economic and political environment for private sector investment, employment creation in local areas for improved household incomes and service delivery." The Strategy is based on increasing the number of local jobs, sustainable household incomes, and impact achievement.

The National Environment Management Policy, 1994

The overall goal of *The National Environment Management Policy*[61] is 'to encourage sustainable development by wise use of natural resources while enhancing environmental quality without compromising the ability of future generations to meet their own needs'. The policy has six policy objectives: 1) Enhance health and quality of life through sustainable development, sound environmental management and wise use of natural resources; 2) Encourage participatory integration of environmental concerns in all development policies, planning, and activities at national, district and local levels; 3) Conserve, preserve and restore ecosystems and maintain ecological processes and life support systems, especially conservation of national biological diversity; 4) Optimize resource use and achieve a sustainable level or resource consumption; 5) Raise public awareness, sensitization and advocacy for a linkage between environment and development; 6) Ensure individual and community participation in environmental improvement activities.

The key principles that underpin the policy include: every person has a constitutional right to a clean environment; sustainable natural resource use; security of land tenure; the use of environmentally friendly technologies; enforcement of environmentally friendly laws, involvement of gender and vulnerable groups, integration of environmental concerns in all sectors, involvement of the communities in decision making and meeting international and regional obligations.

National Policy for the Conservation and Management of Wetland Resources 1995

The *National Policy for the Conservation and Management of Wetland Resources*[62], popularly known as the "National Wetlands Policy", was launched in 1995 to promote the protection of wetlands in order to sustain their ecological and socioeconomic functions. The overall aim of the policy is to curtail the rampant destruction and loss of wetland resources — which are a key feature of the urban environment, especially in Kampala City — and ensure sustainable and equitable distribution of the benefits from wetlands.

Uganda National Climate change Policy

The goal of the *Uganda National Climate change Policy*[63] is to ensure a harmonised and coordinated approach towards a climate-resilient and low-carbon development path for sustainable development in Uganda. Its overarching objective is to ensure that all stakeholders address the causes and impacts of climate change through appropriate measures while promoting sustainable development and a green economy. The policy highlights the benefits of low carbon climate resilient development, which include improving the lives of the poor and vulnerable in particular the urban poor living in flood-prone slums.

[60] MOLG (2022) *National Strategy for Local Economic Development 2021/22 - 2024/25*.

[61] .Republic of Uganda (1994) *National Environmental Management Policy*.

[62] Republic of Uganda (1995) *National Policy for the Conservation and Management of Wetland Resources*

[63] Republic of Uganda (2015) *Uganda National Climate Change Policy*.

A National Water Policy 1999

A National Water Policy[64] launched in 1999 reaffirms the Government's policy objective of "Sustainable' provision of safe water within easy reach and hygienic sanitation facilities, based on management responsibility and ownership by the users, to 75% of the population in rural areas and 100% of the urban population by the year 2000 with an 80% - 90% effective use and functionality of facilities". The policy thus promotes an integrated approach to the management of the country's water resources in ways that are sustainable and most beneficial to Ugandans.

The Energy Policy for Uganda

The Energy Policy for Uganda[65] was developed in 2002, with the main goal being: "To meet the Energy needs of the Ugandan population for social and economic development in an environmentally sustainable manner". The broad objectives of the policy are to: 1) Establish the availability, potential and demand of the various energy resources in the country; 2) Increase access to modern affordable and reliable energy services as a contribution to poverty eradication; 3) Improve energy governance and administration; 4) Stimulate economic development; and 5) Manage Energy-related environmental impacts.

Electricity Connections Policy

The primary objective of the *Electricity Connections Policy*[66] is to increase electricity access and provide cleaner energy for Ugandans. The policy thus aims to address the major obstacles that have constrained increased electricity access in Uganda. The policy has adopted a subsidy approach as the major financing strategy for single phase connections, which will enable many more Ugandans to wire their homes, included poorer households. At the same time, this will increase the number of customers on the networks and, hence, create more revenue for the Electricity Service Providers.

National Population Policy

The updated *National Population Policy*[67], the draft of which published in 2018, has as its goal: "to attain a quality, cohesive, productive and innovative population for social transformation and sustainable development". The Policy responds to new realities and challenges with respect to Uganda's population dynamics and, in particular, the increasing high share of young people in the population. Vision 2040 recognizes this young population as an important resource to be mobilized in the country's socioeconomic transformation drive in what has come to be known as "harnessing the demographic dividend". The main thrust of the new policy is thus on accelerated fertility and mortality reduction as well as investing in the young people in order to realize the demographic dividend.

The National NGO Policy

The vision of *The National NGO Policy*, sub-titled "Strengthening Partnership for Development"[68], is: "a vibrant and accountable NGO Sector enabling citizens' advancement and self transformation". Launched in 2010, the Policy complements and promotes Uganda's overall development goals, and is aimed to promote and support holistic human development. The Policy recognizes the extensive opportunities for stakeholder collaboration based on common interest and strategic complementarity.

[64] Republic of Uganda (1999) *A National Water Policy*.
[65] Republic of Uganda (2002) *The Energy Policy for Uganda*.
[66] Republic of Uganda (2018) *Electricity Connections Policy*.
[67] Republic of Uganda (2018) *National Population Policy*.
[68] Republic of Uganda (2010) *The National Ngo Policy*.

The National Employment Policy for Uganda

The purpose of *The National Employment Policy for Uganda*[69] is to guide all stakeholders on creation and enhancement of the quality and availability of gainful employment opportunities in order to promote and create more decent jobs for women and men on the basis of freedom, equity, security and human dignity. The Policy, whose theme is "Increasing Decent Employment Opportunities and Labour Productivity for Socio-Economic Transformation", lays down strategies to provide productive and decent employment for better lives and livelihoods for all. In this regard, three of the policy priority action areas are: (i) 'Improving informal sector, micro and small-scale enterprises'; (ii) 'Employment of Vulnerable Groups and Promotion of Gender Equality'; and (iii) 'Promotion of Youth Employment'.

Public-Private Partnership Framework Policy

The *Public-Private Partnership Framework Policy*[70] was approved in 2010 following the adoption by the Government of Public-Private-Partnership (PPP) as a tool for the provision of public services and public infrastructure.[71] The policy provides a framework that enables the public and private sectors to work together to improve public service delivery through private sector provision of public infrastructure and related services. The key objectives to be realized through the use of PPPs are (a) Cost effective delivery; (b) Good quality services; (c) Clear customer focus; (d) Enhanced service diversity; (e) Enhanced incentive; (f) Better asset utilisation; (g) More project delivery; and (h) Wider economic benefits.

Legal and Regulatory Framework

The Local Government Act

The Local Governments Act[72] published in 1997 provides for decentralisation at all levels of local governments to ensure good governance and democratic participation in, and control of, decision making by the people. Specifically, the objectives of the Act are to: (a) give full effect to the decentralisation of functions, powers, responsibilities and services at all levels of local governments; (b) ensure democratic participation in, and control of, decision making by the people concerned; (c) establish a democratic, political and gender-sensitive administrative setup in local governments; and (d) establish sources of revenue and financial accountability.

The Act details specific functions for the different levels of local government. District councils thus play a key role in land administration, land surveying, physical planning, and management of forests, wetlands, environment and sanitation services that are not the responsibility of the central government. They are therefore charged with the crucial role of acquisition of land for development/construction purposes and in the sensitisation and mobilisation of the local communities.

The Land Act

The Land Act[73] (Chapter 227), which came into effect in 1998, provides for tenure, ownership and management of land; amendment and consolidation of legislation relating to tenure, ownership and management of land; and for other related matters. Article 2 reiterates that all land in Uganda vests in the citizens of Uganda, as affirmed in Article 237 of the Constitution, and shall be owned under the following land tenure systems: (a) customary; (b) freehold; (c) mailo; and (d) leasehold.

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[69] Republic of Uganda (2011) *The National Employment Policy for Uganda*.

[70] Republic of Uganda (2010) *Public-Private Partnership Framework Policy*.

[71] Public infrastructure refers to physical assets and related services, where physical assets include (but are not limited to) economic infrastructure such as roads, rail, ports, communications and social infrastructure such as health care facilities, educational facilities, accommodation facilities, court facilities and correctional facilities. Related services encompass services that support the main public service function, including non-core services such as maintenance, security, cleaning, laundry, grounds keeping and other support services.

[72] Republic of Uganda (1997) *The Local Governments Act*.

[73] Republic of Uganda (1998) *The Land Act*.

Article 8 guarantees the rights and security of tenure for owners of customary land through certificates of customary ownership, and the recognition of such certificates as evidence of title by financial institutions, bodies and authorities. Article 9 provides for conversion of customary tenure to freehold tenure, in accordance with the Constitution; while Article 42 affirms that the Government or a local government may acquire land in accordance with articles 26 and 237(2) of the Constitution. Article 15 provides for the formation of a communal land association by any group of persons for any purpose connected with communal ownership and management of land, whether under customary law or otherwise. The Act also recognizes the right of customary owners of land to obtain mortgages using customary certificates of ownership.

The Land Acquisition Act

The Land Acquisition Act[74], which came into force in 1965, provides for compulsory acquisition of land for public purposes and related matters. It also provides for the acquisition of part of house, factory or other building for public purpose, as well as temporary occupation of waste or arable land. Under the Act, the Minister in consultation with the District Land Board (DLB), is responsible for the identification, assessment, surveying and determination of compensation on lands to be acquired by the government for public purposes.

The Survey Act, 1939

The Survey Act[75] (Chapter 232) was enacted in 1939 to provide for and regulate the survey of lands. Section 2 of the Act gives powers to the Commissioner of Lands and Surveys to authorise any trigonometrical or topographical survey, or of any other survey, that they deem necessary. Section 3 gives powers to the Minister to order special surveys, not provided for in section 2, of any part of the country However, the nature, purpose and area of Uganda within which the survey is to be carried out must be published in the Gazette.

The Registration of Titles Act

The Registration of Titles Act[76], Chapter 230, that commenced in 1924, addresses the transfer of land and registration of titles, and applies to freehold, leasehold and Mailo land. The Act enables an owner of land registered under the Act to mortgage that land. The mortgage can be used as security, but this does not mean transfer of ownership of the land that has been mortgaged.

Mortgage Act, 2009

The *Mortgage Act, 2009*[77] consolidates the law relating to mortgages and repeals the Mortgage Act Cap 229 of 1974. It provides for the creation of mortgages; defines the duties of mortgagors and mortgagees regarding mortgages; and for mortgages of matrimonial homes. The Act also affirms that a mortgage shall have effect as a security only and shall not operate as a transfer of any right or interest in the land from the mortgagor to the mortgagee.

The Condominium Property Act, 2001

The Condominium Property Act[78] provides for (i) the division of buildings into units and common property; (ii) individual ownership of those units by issuance of certificates of title; (iii) ownership of common property by owners of units as tenants in common; and (iv) the use and management of the units and common property. It also stipulates specific requirements to which condominium plans must conform;

[74] Republic of Uganda (1935) *The Land Acquisition Act*
[75] Republic of Uganda (1939) *The Survey Act*.
[76] Republic of Uganda (1924) *The Registration of Titles Act*.
[77] Republic of Uganda (2009) *Mortgage Act, 2009*
[78] Republic of Uganda (1998) *The Condominium Property Act, 2001*.

provides for sub-division or consolidation of units, and gives conditions for change of use. The Act also requires the establishment of a corporation composed of unit owners when a condominium plan is registered, whose functions include managing and keeping the common property in a good state of repair, and submitting new plans to the registrar in the event of alterations to the condominium property.

Physical Planning Act, 2010

The Physical Planning Act, 2010[79] designates the entire country a planning area to which the Act applies in all respects. It thus provides for the establishment of a National Physical Planning Board and district and urban physical planning committees; and for the preparation and approval of national, regional, district, urban and sub-county physical development plans. It also provides for applications for development permission, including for subdivision/consolidation of land and all buildings. The functions of the boards include approval of development applications relating to housing, schools, industries, petrol stations, dumping sites or sewerage treatment, which may adversely impact the environment.

The Physical Planning (Amendment) Act, 2020

The Physical Planning (Amendment) Act, 2020[80] amends *The Physical Planning Act, 2010.* The Act includes amendments to, among other things, streamline the composition of physical planning committees, and to provide for offences and deterrent penalties for contravention of the Act. A key amendment is the insertion of a new section "*2A. Right to a clean and healthy environment*", which affirms that: 1) Every Ugandan has a right to a clean and healthy environment in accordance with article 39 of the Constitution; and 2) every Ugandan has a duty to create, maintain and enhance a well-planned environment.

The Building Control Act, 2013

The Building Control Act, 2013[81] is intended to consolidate legislation relating to the erection of buildings; provide for building standards; and ensure planned, decent and safe, environmentally sound buildings. The Act also establishes a National Building Review Board and Building Committees for each District and for each Urban Authority. The functions of Building Committees include scrutinizing and approving building plans; issuing building permits and occupation permits; and ensuring that the design and construction of public buildings and utilities are accessible to persons with disabilities.

The Public Health Act

The Public Health Act[82], which came into effect in 1935, requires all local authorities to safeguard and promote the public health. Under Part IX on sanitation and housing, the Act directs local authorities to take measures to prevent or remedy any conditions that may be harmful to health arising from construction of dwellings on inappropriate sites, the construction or occupation of unsuitable dwellings, or from overcrowding. The Act further states that nobody should own or occupy any land or premises that may be harmful to health or cause a nuisance.

The Water Act Cap. 152

The Water Act[83], published in 1997, provides for the use, protection and management of water resources and supply. It also provides for the constitution of water and sewerage authorities, and facilitates the devolution of water supply and sewerage undertakings. Specifically, the objectives of the Act are: (a) to promote the rational management and use of the waters of Uganda; (b) to promote the provision

[79] Republic of Uganda (2010) *The Physical Planning Act, 2010*
[80] Republic of Uganda (2020) *The Physical Planning (Amendment) Act, 2020.*
[81] Republic of Uganda (2013) *The Buidling Control Act, 2013*
[82] Republic of Uganda (1935) *The Public Health Act*.
[83] Republic of Uganda (1997) *The Water Act, Cap. 152*.

of a clean, safe and sufficient supply of water for domestic purposes to all persons; (c) to allow for the orderly development and use of water resources for purposes other than domestic use; and (d) to control pollution and to promote the safe storage, treatment, discharge and disposal of waste which may pollute water or otherwise harm the environment and human health. Section 50 of the Act specifically permits the formation of water user groups and water and sanitation committee to plan and manage the water supply system in their area, and also take responsibility for sanitation and hygiene in the area.

The Roads Act, 2019

The Roads Act 2019[84] consolidates the legal framework relating to roads in Uganda. The Act provides for the construction of an access road to a public road or highway through private property after compensation of the affected landowner. It also provides for a road authority to acquire land owned by any person for purposes of the Act, in accordance with the Constitution, and to excavate and take materials required for road construction or maintenance of a public road.

The National Environment Act, Cap 153

The National Environment Act[85] came into force in 1995 to provide for sustainable management of the environment. The Act also established the National Environment Management Authority (NEMA) as the principal agency in the country for the management of the environment, and for coordination, monitoring and supervision of all environmental activities. The Act details the requirement for an environmental impact assessment (EIA) and environmental impact statement (EIS) for specific projects. It also provides for the establishment of environmental standards for air quality, water quality, discharge of effluent into water, control of noxious smells, control of noise and vibration pollution, subsonic vibrations, minimisation of radiation, and other standards. Regulations have also been developed and published for particular standards, including those listed in Box 7.

Box 7: Environmental regulations

- Environmental Impact Assessment Regulations, 1998
- The Water Resources Regulations, 1998
- The National Environment (Wetlands, River Banks and Lake Shores Management) Regulations, 2000
- The National Environmental (Standards for Discharge of Effluent into Water or on Land) Regulations, 1999
- The Water (Waste Discharge) Regulations, 1998
- The National Environment (Waste Management) Regulations, 1999
- The National Environment (Noise Standards and Control) Regulations, 2003
- The National Environment (Mountainous and Hill Areas Management) Regulations, 2000
- The National Environment (Management of Ozone Depleting Substances and Products) Regulations, 2001
- The National Environment (Draft Air Quality Standards) Regulations, 2006
- The National Environment (Conduct and Certification of Environmental Practitioners) Regulations, 2003
- The National Environment (Audit) Regulations, 2006

[84] Republic of Uganda (1998) *The Roads Act, 2019*.

[85] The National Environment Act, Cap 153

The National Environment Act, 2019

The National Environment Act, 2019[86] provides for the management of the environment for sustainable development, with NEMA continuing to have overall responsibility for environmental management in the country. The Act provides for emerging environmental issues including climate change, the management of hazardous chemicals and biodiversity offsets; strategic environmental assessment; to address environmental concerns arising out of petroleum activities and midstream operations, to provide for the management of plastics and plastic products; to establish the Environmental Protection Force; to provide for enhanced penalties for offences under the Act; to provide for procedural and administrative matters.

The Uganda Bureau of Statistics Act, 1998

The *Uganda Bureau of Statistics Act*[87], (Act 12 of 1998) provides for the development and maintenance of a National Statistical System to ensure collection, analysis and publication of integrated, relevant, reliable and timely statistical information. It also provides for the establishment of the Uganda Bureau of Statistics (UBOS) as a coordinating, monitoring and supervisory body for the National Statistical System

The Fourth Schedule of the Act itemizes matters on which statistical information may be collected, compiled, analysed, abstracted and published. They include Population; Housing; Land tenure and the occupation and use of land; Social welfare and education; Employment and unemployment; Income; Personal expenditure and consumption; Savings; and Health.

The Kampala Capital City Authority Act, 2010

The Kampala Capital City Authority Act, 2010[88] provides for Kampala as the capital city of Uganda in accordance with article 5 of the Constitution, and for the administration of Kampala by the Central Government through the establishment of the Kampala Capital City Authority (KCCA) as the governing body of the city. It also provides for, among other things, the territorial boundary of Kampala; the development of Kampala Capital City; for lower urban councils under the Authority; and for the devolution by the Authority of functions and services. In addition, the Act provides for the establishment of a Metropolitan Physical Planning Authority for Kampala and adjacent districts which is mandated to develop Physical Development Plans for the Capital City and the metropolitan area.

The Public Private Partnership Act, 2015

The Public Private Partnership Act, 2015[89] is the prime law that regulates the formation, development and implementation of PPPs in Uganda. It establishes the Public Private Partnerships (PPP) Committee which directly oversees and approves all projects under the PPP model and the Public Private Partnerships Unit (PPPU) within the Ministry of Finance, Planning and Economic Development (MoFPED) which serves as the secretariat and technical arm of the Committee. The Act also provides for PPP processes and contains information on the procurement rules and methods that apply to Public Private Partnerships.

The Tier 4 Microfinance Institutions Act and Money Lenders Act, 2016

The Tier 4 Microfinance Institutions Act and Money Lenders Act, 2016[90] established the Uganda Microfinance Regulatory Authority (UMRA) and provides for the licensing and management of tier 4

[86] Republic of Uganda (2019) *The National Environment Act, 2019*.
[87] Republic of Uganda (1998) *The Uganda Bureau of Statistics Act, 1998*.
[88] Republic of Uganda (2010) *The Kampala Capital City Act, 2010*.
[89] Republic of Uganda (2015) *The Public Private Partnership Act, 2015*.
[90] Republic of Uganda (2015) *The Tier 4 Microfinance Institutions Act and Money Lenders Act, 2016*.

microfinance institutions (MFIs)[91]. The purpose of this Act is to, among other things, regulate tier 4 MFIs by facilitating the microfinance industry to promote social and economic development; promote legitimacy and build the confidence of members, customers and investors in MFIs; and establish standards for MFIs in order to safeguard the deposits of members.

The Cooperative Societies (Amendment) Act, 2020

The Cooperative Societies (Amendment) Act, 2020 amends the Cooperative Societies Act, 1991 in various provisions concerning, among other things, registration of societies, rights and obligations of members, audit of records, amalgamation of societies, and liability of past members. The amended Act is intended to strengthen the regulation and supervision of all types of cooperatives; improve safety and soundness of savings and credit cooperatives (SACCOs), enhance cooperative identity and solidarity, promote member empowerment; and improve governance within cooperatives for sustainability of cooperative enterprises. The Act provides for a four-tier co-operative structure which consists of: 1) Primary societies comprised of individual persons; 2) Secondary societies comprised of primary societies; 3) Tertiary societies comprised of secondary societies; and 4) the apex society comprised of tertiary and secondary societies.

Persons with Disabilities Act, 2020

The *Persons with Disabilities Act, 2020* provides for the respect and promotion of the fundamental and other human rights and freedoms of persons with disabilities. Under this act, persons with disabilities are entitled to, among others, the following rights and freedoms: Access to justice, information and training; Non discrimination in the provision of education and health services; Non discrimination in employment; Accessibility to buildings Non discrimination in the provision of transport services; and Non discrimination in the provision of services on a commercial basis.

The Landlord and Tenant Act, 2022

The Landlord and Tenant Act, 2022[92] reforms and consolidates the law relating to the letting of premises; to regulate the relationship of landlord and tenant; and to provide for the responsibilities of landlords and tenants in relation to the letting of premises. It requires that residential premises are fit for human habitation at the commencement of the tenancy, and that the landlord keeps the exterior of the premises and common areas fit for human habitation during the tenancy in accordance with the requirements of the Public Health Act or the Building Control Act 2013. The Act also prohibits landlords from increasing rent by more than 10% annually except under specific conditions.

The National Physical Planning Standards and Guidelines

The *National Physical Planning Standards and Guidelines*[93] provides criteria for determining the scale, location and site requirements of various land uses and facilities. The planning standards affect the allocation of scarce land and financial resources.

[91] For the purposes of this Act, tier 4 microfinance institutions comprise: a) Savings and Credit Cooperatives (SACCOs); b) non deposit taking microfinance institutions; c) self-help groups; and d) community-based microfinance institutions.

[92] Republic of Uganda (2020) *The Building Control Regulations, 2020*.

[93] MLHUD (2011) *National Physical Planning Standards and Guidelines*.