



Strategic Plan 2018 – 2022



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SDI

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1. Who are we?

SDI was officially launched in 1996 as a transnational social movement of the urban poor following years of peer-to-peer exchanges between Indian and South African slum dweller movements and subsequent inter-Africa, inter-Asia and intra Africa and Asia exchanges which revealed the critical value of a network of community-based organizations driven by the poor themselves. The network now brings together over a million slum dwellers in over 30 countries throughout Africa, Asia and Latin America. The federations comprise thousands of the most vulnerable women, men, and children who are mobilized around dynamic saving schemes networked at the settlement, city, and national levels to drive a collective, bottom-up change agenda for inclusive and resilient cities and to influence global development agendas.

Federations use tools and strategies such as daily savings, peer-to-peer exchanges, community profiling, enumeration, and mapping to organize a critical mass of urban poor communities in cities of the Global South – enabling them to engage with local and national government as partners in development rather than beneficiaries, and to shift development agendas to be more inclusive and pro-poor and ultimately more resilient and sustainable. These people's movements enable the urban poor to change their own lives and the shape of their cities.

The savings collectives that form the building blocks of SDI provide a supportive space for poor women and youth to become active local organizers and later drivers of urban transformation rooted in gendered, local, and communal priorities. Organized communities coproduce city-wide strategies for securing tenure and increasing access to basic services, housing, and livelihoods with their local and national governments. They also play a central role in implementation, monitoring and evaluation of these strategies.

The SDI network consists of a professional Secretariat, a community Management Committee for the network, a Board comprising professionals and community leaders, and a Council of Federations. SDI is situated as a unique actor in the urban ecosystem and one that is a keystone for effective development. It is unparalleled in its capacity to bring together slum dwellers across three continents and to facilitate partnerships between poor communities, governments, and development partners. SDI prides itself on making investments in poor people's efforts to drive their own development.

1.1 Our vision

SDI's vision is for resilient and inclusive cities that substantively improve the lives of the urban poor.

1.2 Our mission

SDI seeks to transform slums into resilient neighborhoods and inclusive cities by collectively driving a women-led, bottom-up change agenda for securing tenure, and increasing access to basic services, housing and livelihoods.

1.3 Our primary strategies

- Mobilizing and organizing the urban poor through women-led savings groups
- Building and legitimizing local knowledge through peer-to-peer learning exchanges
- Building agency and voice through community-led profiling, enumeration and mapping
- Bridging the finance gap through Urban Poor Funds and other pro-poor financial instruments
- Incremental, in situ slum upgrading through the coproduction and joint implementation of innovative precedent setting projects
- Scaling-up through targeted advocacy and influencing city-wide policies, plans and investments, as well as co-investment (with cities and private sector) in viable, pro-poor infrastructure and related investments
- Mobilizing informal settlement youth through KYC (TV and data) and peer-to-peer exchange

1.4 Our values

- SDI values poor people being their own best advocates, decision makers, and planners
- SDI values the wisdom, capacity, and tenacity of slum dwelling communities
- SDI values local capacity, local partnerships, and local knowledge
- SDI values the special contribution of women in the production of collaborative, horizontally accountable development interventions
- SDI values organized community partnership with government in pursuit of scalable, sustainable transformation
- SDI values development processes that create equal, inclusive and sustainable cities

2. Why do we need a Strategic Plan?

The SDI Strategic Plan 2018–2022 seeks to articulate the network’s consensus as to the direction and priorities for the next 5 years. It will support the network to take decisions regarding investment of time and resources that are in accordance with a vision of success for the period. The Strategic Plan will guide the network in its operations and support communication of strategy both inside and outside of the network. It will serve as a tool to ensure our decisions are aligned to our shared goals, intended outcomes and our values. Given its importance, the process for generating it was highly conscious and recognized as being about far more than the production of a document.

3. How did we come up with our Strategic Plan?

3.1 We made our own Theory of Change

Having a clear Theory of Change (TOC) is essential for organizations such as SDI that are engaged in complex, multidimensional interventions where the connection between activities and short and long term goals are not automatically obvious. Central to SDI’s Learning, Monitoring and Evaluation (LME) work is the legitimization of knowledge created within urban poor federations. As such, the process of refining and strengthening the TOC involved a series of meetings and reflections with federation leadership and support professionals from throughout the network. The process resulted in the development of a robust Theory of Change that clearly articulates and maps out the logic behind SDI’s activities, outputs, and the outcomes it seeks along settlement, city, and global pathways to create slum-friendly cities where the lives of the urban poor are substantively improved. See Annex for documentation on SDI’s Theory of Change.

3.2 We evaluated ourselves

This TOC served as the anchor to a community-led internal review process. The review focused on “attribution” – drawing causal links between observed change at city level and SDI interventions. It focused on the “city” as the unit of analysis and thus focused on the “city transformation” pathway in SDI’s TOC.

The internal review clearly showed that output level change – evidenced by progression toward LME targets – is indeed contributing to outcome level change at city level. The results showed clear upward movement along self-determined increments toward intended city change outcomes. Overall, Know Your City profiling and enumeration was the most cited reason for progressing along the city change outcome continuums, followed by peer-to-peer exchange and forums, and savings and partnerships. While KYC was identified as a key driver of change (especially toward 1. *Institutionalized collaboration between government*

and urban poor communities and 2. *Pro-poor data driven city development*), the internal review suggested its potential for influence on 3. *Equitable and resilience urban policy implementation* and 4. *Expanded pro-poor finance instruments and city finance flows* should be improved in the coming Strategic Plan.

3.3 We asked external experts to evaluate us

Building upon the internal review, SDI commissioned an external evaluation to assess strategic issues to help inform the choices and decisions for the evolution of SDI in its next Strategic Planning period (2018–2022). The evaluators conducted focus groups, interviews, and meetings with SDI federation leaders at settlement and global levels, support NGO representatives, Secretariat staff, as well as funders to reflect on the critical issues and opportunities facing SDI. The evaluators also commissioned short global context briefs to identify the trends, challenges, and opportunities to which the SDI network will need to respond in evolving its strategy and structure.

The evaluation used products from SDI's improved Learning, Monitoring, and Evaluation (LME) systems to verify progress against plans and targets, and to triangulate results with what federation members consider to be the most significant changes for them. The evaluation concluded that SDI is at a critical juncture and made key recommendations for SDI's model of operation in order to maintain relevance, growth, and sustainability. These recommendations included the need to:

- Deepen understanding and engagement with innovative finance
- Invest in organizational capacity to achieve greater policy influence and scale of impact
- Recognize youth as a critical stakeholder to SDI's future
- Strengthen risk management and internal controls through the network
- Support transition planning to second-tier community and professional leaders
- Capitalize on the remarkable potential of the KYC process, platform, and campaign

3.4 We reflected on how we performed against our last Strategic Plan

We said we would strengthen the ability of our communities to apply their learning tools with more rigor: The first objective of the previous strategic plan was for federations to apply tools for learning with greater rigor. Through concentrated investment in peer-to-peer learning between federations community networks have: enhanced their understanding of and engagement with the global resilience agenda; undertaken transnational eviction prevention and response action; and taken the quality and impact of profiling and enumeration data to new heights. New learning centers have been established for action-based learning at innovative project pilots that utilize this learning in innovative and scalable ways. Peer-to-peer learning, monitoring, and evaluation systems have been socialized throughout the network, resulting in increasingly aggregated data that is digestible for national and international audiences, opening up opportunities for new partners and resources. Critically, these capacities are also serving local and regional strategy-setting and accountability by federations.

We said we would get governments to prioritize incremental, in situ upgrading: The second objective was for incremental, in situ, affordable upgrading to be prioritized by city governments. Here we see concrete and directly attributable improvements to the built

environment through upgrading projects. The increasing size and complexity of upgrading projects is noted as is the larger share of the project portfolio held by energy projects. Area-based project interventions have implications regarding demands for more refined professional inputs and also the longer project planning and implementation periods. City officials are increasingly incorporated in city-to-city learning exchanges on such projects, generating partnership agreements between federations and officials in many cities. Documentation of such learning is robust and digitized and thus feeds not only exchange participants, but also the network more broadly. Project-linked data show the change to peoples' lives in terms of increased access to secure tenure and basic services. SDI placed considerable efforts on the identification of emerging good upgrading practice in respect of clean energy for slums. Through solar and clean cooking interventions throughout our African and Asian affiliates, SDI has been able to address the dearth of local maintenance and installation capacities in low income areas and the network has taken impressive strides to demonstrate SDI's value add in the clean energy space – training local communities to install and distribute clean technologies, to undertake research into the energy demands of slum communities, to map appropriate technologies, to maintain and repair solar home and public lighting systems and to manage energy service hubs for awareness generation and behavioral change initiatives.

We said we would make sure slum dwellers were part of the international advocacy space:

The third objective of the previous plan was for the international advocacy space to focus on people-centered upgrading. SDI reached all programme targets related to advocacy and the impact of this work on the New Urban Agenda and SDGs is easily recognized. The challenge facing the network is to ensure these new policy opportunities translate into concrete implementation strategies and increased finance flows to inclusive upgrading of informal settlements. The previous strategic planning period saw considerable transnational collaboration between SDI and other popular movements and joint efforts to influence implementation plans and resource flows. Finally, a key success for advocacy was the increasing role of community-produced content for advocacy, learning, and knowledge spearheaded by SDI's Know Your City TV initiative.

We said we would decrease our reliance on donor funding: The fourth objective spoke to the long-term sustainability of the SDI network. The network took strides to diversify income streams and reduce reliance on unpredictable and increasingly projectized donor support. SDI reduced its donor dependency from 100% to 90% during the past 4 years. A new Global Poverty Fighter campaign has been launched and aims to generate new revenues from the European, African, and later US public. SDI's Trust Fund is growing slowly, but steadily, and is making incrementally greater annual contributions to SDI. These sustainability efforts are complemented by investment in building second-tier leadership and a larger youth membership. These latter efforts are more straightforward than the finance-diversification ambitions and SDI is consistently exceeding set targets.

3.5 We looked at the global context

A scan of the world's most pressing issues illuminates both the relevance and legitimacy of SDI's work. The World Economic Forum's Global Risks Report has highlighted for many years a persistent cluster of social, economic and political fragilities, including the failure of urban planning, the failure of national governance, profound social instability, state collapse, large scale involuntary migration, profound social instability, and rising income and wealth disparity. One of the key findings of the 2017 Global Risks Report is that inequality and polarization are now ranked in the top three underlying drivers of global risks. The report notes that civil society organizations and individual activists are increasingly experiencing government crackdowns on civic space, social protection systems are at breaking point, and the influence of polarized societies, political landscapes

deepening generational and cultural divisions and the risks associated with accelerating technological change. It also highlights the importance of civil society in mitigating risks.

The issue of urban resilience (characterized as the ability to withstand and thrive in the face of risks and shocks) has gained prominence in recent years. The concept recognizes that the urgent imperative for cities to grow their capacity to manage climate stressors and shocks is completely intertwined with their capacity to manage chronic stressors such as poverty and inequality. The resilience dialogue resonates well with the urban development sector given its recognition of cities as complex systems. For SDI the concept offers strong support for an understanding of the interconnectedness of formal and informal city futures. Moreover, it enables a nuanced reflection on the natures of shocks and chronic stressors – recognizing that the latter are particularly acute in slum dweller communities and that this undermines the entire city's economic, social, political and environmental resilience. However the global discourse and practice relating to urban resilience generally fails to recognize organized slum dweller communities as powerful agents for change. This opens the space for SDI intervention in the advocacy space and in resilience responses on the ground.

In 2015, nations recognized the urgent need for resilience-building at all levels within the principles and targets of three global frameworks: the Sendai Framework for Disaster Reduction, the Sustainable Development Goals, and the Paris Agreement. SDI and its partners were able to exert considerable influence on these agendas. For the first time, governments have a scientific as well as a political mandate, at the highest levels, to take swift and bold action to create more resilient and climate-friendly cities in cooperation with all stakeholders.

The challenge remaining is to secure widespread understanding for the robust and multidimensional risk reduction, climate and resilience benefits that accrue from good quality, city-wide settlement upgrading. Now over a billion people live in slum settlements with inadequate access to secure tenure, basic services, housing and space. Global efforts to reduce poverty and inequality and build city resilience and adaptation to climate change must interact with this rapidly growing population and rise to the challenge to engage rather than deliver development to them. The unique competence and scale of SDI's implementation-oriented work in informal settlements is unparalleled and should be viewed as central to the achievement of the following SDGs.

Goal 1: No poverty

Goal 2: Good health and wellbeing

Goal 5: Gender equality

Goal 6: Clean water and sanitation

Goal 7: Affordable and clean energy

Goal 10: Reduced inequalities

Goal 11: Sustainable cities and communities

Goal 13: Climate action

Goal 16: Peace, justice and strong institutions

Goal 17: Partnership for the goals

3.6 We brought the network together to identify insights from the above inputs and create a Strategic Planning team comprising Board, Management Committee and Secretariat

We decided that over the next five years the Strategic Plan will support SDI to become:

More powerful resulting from its refined strategy and relevance as an actor capable of responding to the following critical global trends: rapid urbanization and inequality, migration, decline of public sector influence and resources, the influence of private investment and new forms of finance, new technology and innovation, and the effects of climate change. SDI's strategy will continue to be rooted in the fundamental belief that systemic changes are required and that decision-making processes must be reshaped in favor of greater equity and resilience. The strategy continues to emphasize that those directly affected by systemic exclusion must play a lead role in shifting this reality. Thus, SDI's primary investments will continue to be principally directed to slum dweller federations and their own initiatives for change. In five years SDI federations will be more powerful and relevant through concentrated efforts to engage slum dweller youth at scale and incorporate them into the leadership. In five years, the efforts of these federations will be increasingly scalable owing to an enhanced technical support offering with respect to large-scale upgrading and innovative finance. In five years time the network's Know Your City data system will be indispensable for inclusive city planning in partnership with city governments and catalyze bottom-up city resilience building throughout the global South.

More durable and sustainable owing to the diversification of income streams and the building of reserves using SDI's Inqolobane Trust (IT) instrument. IT was established by SDI in 2011 to diversify SDI's funding streams and reduce SDI's reliance on donors. In five years SDI will have significantly increased the annual net returns of the Trust through investment in: a) Land value capture for the urban poor in targeted slum upgrading interventions b) Property in formal, low income areas of the city (office space, rental space); c) Safe financial instruments – banking institutions; d) Diversified income streams such as branding and fund-raising, e) The digitization and consolidation of savings and data for investments, insurance etc. Effective stewardship of this process will result from bolstered human resource capacities and network governance.

More impactful through investment in the social, human, and political capital of slum dweller federations. In five years the network will have taken concrete steps to catalyze major shifts in the global urban architecture. Specifically, the urban poor, organized and networked at the global scale, will co-determine global urban policy through institutionalized inclusion in urban development platforms. The resulting implementation plans and practice will be inclusive, implementable, and participatory and deliver long-term sustainable improvements to the lives of the urban poor. Additionally, the general public (in the global North and South) will acquire new knowledge and become more engaged in building urban equity and resilience. Progress will be registered in efforts to have global urban decision makers commit to restructure existing finance flows to increase access to state grants and subsidies that improve lives of the urban poor. At the same time, global networks of the urban poor will work alongside urban decision makers to co-produce new innovative pro-poor finance mechanisms, including impact investment opportunities, program related investments, mission related investments, and new innovation challenge funds driven by the poor.

To do so, the new Strategic Plan increases commitment to the following:

Knowledge and Evidence: Data and technology: The external and internal evaluations were clear that the success and the unmet potential of KYC are enormous. The Know Your City initiative (including SDI's own data platform for slum data collected and used by poor

communities through Africa, Asia and Latin America) has supported considerable city-level change – particularly in areas of organizing communities at scale, strengthening partnership with government and shaping urban policy and practise. In the next strategic plan we will move toward greater usability of the platform, developing simpler analysis and visualization functions for communities. SDI will increase support to federations using KYC data to inform area-based city planning and city strategy and policy. Underpinning the next iteration of the data platform with SDI's Theory of Change will allow for more robust assessment of impact and change at settlement, city and global level. It will challenge dominant proprietary data systems built to guide decision making in cities that further exclude the urban poor majority from understanding or participating in city decision making.

What's New? While the Know Your City (KYC) campaign is not new, the scope and emphasis is expanding. As committed at Habitat III in Quito, SDI profiled 100 cities ahead of the World Urban Forum. The platform and the campaign have gained tremendous traction, but in this period SDI needs to improve data analytics so this data better serves local planning and investment decisions and supports the monitoring and evaluation of development agenda. This means being very clear about data user profiles, about the appropriate technology stack, and having robust data audits to build confidence in and use of the data by planning authorities and upgrading financiers.

In this period, SDI's KYC work will be more explicitly and effectively linked to one of the most central issues for slum dwellers globally: evictions. It should be noted that evictions were the primary impetus for the formation of most slum federations in the network. Long term transformative change for more inclusive and resilient cities demands an end to forced eviction. The KYC Campaign will ensure that insecurity of tenure, inadequate services and poor access to public amenities is reduced through planned interventions based on the granular information generated by SDI linked communities and their partners.

SDI's KYC data system will maintain a live map of all settlements under threat from forced eviction and health and safety hazards resulting from inadequate services. The data system will also categorize the source of these threats. It will undertake a systematic grassroots process for developing upgrading and relocation alternatives for each threat category. Wherever possible this will be done in partnership with local government. Experience has shown that these alternatives may involve spatial reorganization or densification of the settlement (for instance to clear infrastructure reserve ways); striking a deal with developers and authorities to apportion a segment of a new development for low income housing; challenging investors in court (where land claims are fraudulent), instituting community-managed ecosystem rehabilitation. Through the project SDI will raise considerable awareness at the local, national and global scale. It will not limit this to an awareness raising exercise, but will use the data to plan and execute win-win alternatives to eviction, neglect and exclusion.

Broader Reach and Scale: Emphasis on Youth: As noted above, Board, Management Committee and Secretariat agreed that the KYC Campaign is a key vehicle for expanding the reach of the network. This, they agreed, allows SDI to expand further with less resources than it can using an expansion strategy anchored by the establishment of new federations and NGOs in each country.

The KYC campaign will move in first to test the waters and unite other grassroots groups to mobilize communities, profile and map settlements, and engage governments in dialogue about priorities identified. It was also agreed by the Board, Management Committee and Secretariat that organizing savings groups and supporting forums needs to be explicitly incorporated into the KYC process network-wide to ensure the movement grows and that the data is used by organized communities to achieve the outcomes of the Theory Of Change.

The Board, Management Committee and Secretariat agree with the evaluation's conclusions regarding aging membership and leadership and the related necessity to step up efforts to engage youth. The Board, Management Committee and Secretariat have agreed to double down on efforts to engage youth and to build mentorship into the organizational development work of the next four years. The group noted the appeal of KYC TV to the youth and think it has shown the most potential for inspiring, engaging and attracting youth. They also agree with the evaluation's conclusions regarding youth prioritizing livelihood opportunities and will factor this into future planning. A youth conference will be convened for informal settlement youth so that they themselves can prioritize areas of engagement in the coming 5 years.

What's New? In the past Strategic Plan there was a commitment to mobilizing youth. Now federations have systems to track youth membership and deliberately try to attract youth to the movement. The difference in this Strategic Plan is that youth will be given a chance to formulate their own strategy and priority investments in the coming plan. The Know Your City TV program – which emerged towards the end of the past Strategic Plan – will be scaled up given the resounding enthusiasm from the youth for this as a point of engagement with the network. In this strategic period SDI will establish a number of KYC youth centers to serve as hubs for youth organizing.

Transition from projects (and outputs) to programs (and outcomes): Board, Management Committee and Secretariat believe the Theory of Change supports SDI to better articulate this reality and begin to emphasize reflection upon and measurement of our contribution to outcome level change. The evaluation notes that this should align to organizational capacities and this, we agree, is an area in need of attention. The Board, Management Committee and Secretariat note that its precedent setting projects go to scale when they influence policy, shift practice and shape new partnerships. Sometimes this influence is not a neat one-to-one relationship, but a cumulative result of many projects and processes. As SDI maps out a value proposition for its upgrading projects work that is underpinned by the Theory of Change, it will try to clarify measures for leverage, impact, sustainability and scale, which have always guided SDI's assessment of project success.

Programmatic approaches will demand expanded technical, managerial and community based research capacity. The Board, Management Committee and Secretariat agreed that expanded capacities in these areas are required. An agreement was made to carve out a budget line for organizational development in the new Strategic Planning period to fund this effort at both the Secretariat and affiliate level. The Board, Management Committee and Secretariat drafted an SDI Professional Support Organization (PSO) Charter to guide these investments in professional support and in order be clear about the professional capacities the network prioritizes.

Innovation: SDI's data, new finance and large scale upgrading effort will demand greater engagement with innovation. The Board, Management Committee and Secretariat appreciate the evaluation's recognition that SDI has begun to explore new forms of innovative finance with support from the Bertha Center for Social Innovation and Entrepreneurship at the University of Cape Town's Graduate School of Business. SDI is in the final stages of developing a fundraising campaign centered on "Global Poverty Fighters". Moving ahead, the Board, Management Committee and Secretariat will meet two to three times per year for planning and reflection on the connection points for greater innovation to enhance impact.

4. Our New Strategic Plan

4.1 Our Theory of Change guides a programmatic approach

As noted above, SDI has been encouraged to move to a programmatic approach (rather than project-based) to achieve greater policy influence, scale, and impact (outcome focused). This will require expanding managerial, technical, research and data analytics capacity, and strengthening strategic management across the network. This encouragement has been echoed by affiliates who have consistently expressed concern for what they perceive to be "target driven" interventions and "checkbox" approaches to planning. In addition, the internal review undertaken by the federations clearly showed the limitations of some output indicators for measuring city level change.

To underpin this approach, SDI invested considerable time and energy developing a robust Theory of Change for the network. As opposed to a logframe and targets, which focuses much more on output level achievements and fails to adequately capture the pathways to change and the complexity of transformation sought by SDI, the Theory of Change is a far better tool for articulating complex interventions. The network is confident it comprehensively maps out the connection between activities, outputs, short and long-term goals, and therefore offers a more accurate tool for assessing impact. While SDI will continue to track output level indicators, it will place much more energy into the assessment of program outcomes and identify key milestones to track progress each year. The TOC responds to the inputs from the Strategic Plan generation process and will anchor our budget development and programming for the next 5 years.

What's New? Based on network feedback and external advice, SDI will move away from a logframe and output target tracking toward an approach to planning, monitoring and evaluation underpinned by a Theory of Change. This is in line with international "best practice" for organizations engaged in long-term, complex change interventions for reducing poverty and making multidimensional social change. Based on a shared understanding of the following outcomes and change pathways, SDI will offer annual support to affiliates for settlement and city pathway transformation (managed by national affiliates with PSO registration) and network wide support for global transformation, managed by the MC and Secretariat. These outcomes become the workstreams for our affiliates and network program.

4.1 Change pathways and what success looks like

We have a very distinct understanding of what our Theory of Change outcomes look like. Our process is as important as our product. Our emphasis is on the poorest quintile and on empowering women, poor people and youth. Our approach is therefore completely in line with the intent of the 2030 Agenda to “leave no one behind”.

Settlement Level Change Pathway

Outcome 1: Improved public health and safety

Long-term outcome: Organized urban poor communities through collective action and improved access to basic services and infrastructure improve health, hygiene, safety and security in slum settlements

Short-term outcome: Organized urban poor communities at the settlement level exhibit solidarity and social cohesion and the ability to collectively identify issues and implement solutions

Success looks like: Women-led collective organizing and action by urban poor communities produces solidarity and social cohesion, generating improved health among residents of slum settlements (particularly the most vulnerable). Residents have the skills, knowledge and confidence to secure tenure and improve access to safe water, health services, sanitation, and cleaner energy that improve their quality of life and their ability to adapt, absorb and transform in the face of shocks and stresses. This is evidenced by reductions in (e.g.) malaria, food and water borne disease, and pollution related respiratory diseases. Additionally, improved social and physical infrastructure reduces incidents of fire, forced eviction and other hazards that threaten the safety and wellbeing of the urban poor, particularly women, and the inclusivity and resilience of the city at large.

Outcome 2: Enhanced livelihoods

Long-term outcome: Organizations of the urban poor create and benefit from increased livelihood opportunities and enterprise creation, especially for women and youth.

Short-term outcome: Organizations of the urban poor, in which women and youth play a central role, develop and benefit from incubators of innovations and ideas in order to enhance livelihood opportunities.

Short-term outcome: Organized urban poor communities have increased access to pro-poor credit and build assets

Success looks like: Women-led collective organizing and action by urban poor communities, produces solidarity and social cohesion enhancing, equitable and inclusive access to goods and services at individual, household and collective level. A range of livelihood opportunities, including employment and enterprise creation, results in improved lives of the urban poor (particularly the most vulnerable) and transformative city growth. This involves communities increasing savings, producing stronger social safety nets and assets, and enhancing their capability to access and benefit from pro-poor financial services. Slum dwellers, who are organized into collectives in which women and youth participation is central, have the skills, knowledge, confidence, and good health to pursue livelihood strategies that increase their capacity to adapt, absorb and transform in the face of shocks and stresses, building the inclusivity and resilience of the city at large.

Outcome 3: Integrated and resilient neighborhoods.

Long-term outcome: Organized urban poor communities facilitate the transformation of the built environment from slums to inclusive and resilient neighborhoods

Short-term outcome: Organized urban poor communities demonstrate integrated settlement planning and incremental upgrading through precedent setting projects, and partnerships with local government.

Success looks like: Women-led collective organizing and action by urban poor communities anchors the co-production (by communities and local government and other development stakeholders) of strategies for transformation of the built environment from slums to resilient, inclusive and integrated city neighborhoods. This coproduction is underpinned by community-driven data processes and dialogue between communities and government and the joint planning and implementation of incremental, in situ precedent setting upgrading. Coproduction and joint implementation of informal settlement upgrading produces socially and economically integrated neighborhoods with security of tenure, universal access to affordable basic services and adequate housing. Greater integration produces improved wellbeing through better access to connective infrastructure (roads, public transport systems, communications etc), safe and accessible public space, social services and economic opportunities.

Outcome 4: Greater strategic influence of the urban poor

Long-term outcome: Organized urban poor communities and government are active partners in the formulation and implementation of the urban development agenda

Short-term outcome: Organized urban poor communities come together to plan, implement and monitor settlement upgrading collectively, to build partnerships and increase community ownership of urban development

Short-term outcome: Organized urban poor communities navigate the continuum from facing eviction threats to upgrading and relocation, to the regularization of collective tenure

Success looks like: Women-led collective organizing and action by urban poor communities produces political voice resulting in secure tenure for slum settlements and the prevention of forced evictions. This is evidenced by recognition for the existence of slums by government, which serves as a foundation for dialogue between the urban poor and cities that recognizes slum dwellers as citizens and their role in city transformation. Strong partnerships and the coproduction of transformative policy and practice emerge from this dialogue and result in secure tenure, improved housing, infrastructure and services as well as enhanced livelihoods which improve the lives of the urban poor and the inclusivity and resilience of the city at large.

City Level Change Pathway

Outcome 5: Institutionalized collaboration between urban poor and government

Long-term outcome: Organized urban poor communities engage urban decision makers in institutionalized spaces for urban planning and decision making

Short-term outcome: Organized urban poor communities agglomerate at city level and create voice as central stakeholders in the urban agenda

Success looks like: City development is informed by community data collection practices, coproduced knowledge and collective intelligence underpinned by principles of equity, inclusivity and resilience. Knowledge and data are generated by organized urban poor communities in collaboration with city government and used for joint planning and monitoring of urban development. Urban decision makers recognize and value urban poor knowledge and experience as an essential input to resilient development. Such collaboration improves accountability and dialogue between the urban poor and cities. The Know Your City platform and associated knowledge products are part of the institutional knowledge structure in cities and urban decision makers use it as a first port of call for evidence-based,

practical guidance to urban development efforts in cities characterized by informality. Know Your City supports the role and enhanced capacity of the urban poor and local governments in data collection, mapping, and analysis, informing evidence-based governance and development. City development rests on a shared knowledge base of locally generated and contextual data that is at the same time globally comparable.

Outcome 6: Pro-poor data driven development

Long-term outcome: Urban decision makers capture and utilize urban poor knowledge and experience as an essential input to inclusive and resilient city development

Short-term outcome: Organized urban poor communities collaborate with government in collecting city-wide slum data for joint planning

Success looks like: City development is informed by city-wide community data collection practices, coproduced knowledge and collective information underpinned by principles of equity, inclusivity and resilience. Knowledge and data are generated by organized urban poor communities in collaboration with city government and used for joint planning and monitoring of urban development. Urban decision makers recognize and value urban poor knowledge and experience as an essential input to resilient development. Such collaboration improves accountability and dialogue between the urban poor and cities. The Know Your City platform and associated knowledge products are part of the institutional knowledge structure in cities and urban decision makers use it as a first port of call for evidence-based, practical guidance to urban development efforts in cities characterized by informality. Know Your City supports the role and enhanced capacity of the urban poor and local governments in data collection, mapping, and analysis, informing evidence-based governance and development. City development rests on a shared knowledge base of locally generated and contextual data that is at the same time globally comparable.

Outcome 7: Equitable and integrated urban policy implementation

Long-term outcome: Urban decision makers formulate urban policies which represent consensus on resilient and equitable city development and decentralized implementation

Short-term outcome: Organized urban poor communities exhibit strong partnerships with urban decision makers through implementation of area-based in situ upgrading projects

Success looks like: City development is implemented in accordance with an urban policy landscape reflecting consensus on resilient and equitable city development. As a result of strong partnerships with urban decision makers, organized communities shape the formulation, implementation, and monitoring of these policies and accelerate pro-poor city transformation. Urban decision makers recognize and value organized urban poor communities for having the skills, knowledge, and data to partner with and implement city-wide solutions for achieving social, economic, and physical integration of slum settlements into the city. Decentralized implementation processes involve a diverse range of local actors (especially community and local government) supported by innovative pro-poor finance instruments that improve the lives of the urban poor and the inclusivity and resilience of the city at large

Outcome 8: Expanded pro-poor finance

Long-term outcome: Urban decision makers establish and resource an expanded range of financing instruments for city-wide slum upgrading

Short-term outcome: Recognition of informal financial systems and inclusive financial instruments that emphasize the very poor

Success looks like: City development is increasingly inclusive thanks to an expanded range of pro-poor financing instruments that lever new resources, new thinking and innovative

solutions for both informal settlements and cities resulting in improvements in the lives of vulnerable communities and greater inclusivity in cities. This begins with recognition of the validity of informal financial assets and savings and loans systems. It links them to smart state and market subsidies and goes on to include program related investments, mission related investments, and access to impact investing and new innovation challenge funds driven by the poor. New financial instruments for the benefit of the urban poor are developed and implemented to improve equity, inclusion and diversity across cities in general, and help cities absorb, adapt and transform in light of shocks and stresses. In addition, existing financial instruments and rating systems in cities adapt to integrate informal settlements into the mainstream of social and physical infrastructure. Investment ready in-situ upgrading and livelihood enhancement opportunities are developed with the urban poor, and accelerate the placement of investment in urban poor communities. The SDI network build their skills, knowledge and confidence to engage state institutions around grants and subsidies and the financial investment landscape, and represent the urban poor in global financial forums related to cities, infrastructure, DRR, etc. The use of these instruments enable the SDI network to scale up informal settlement achievements to cities and to have global influence.

Global Level Change Pathway

Outcome 9: Slum friendly global urban architecture

Long-term outcome: Global urban poor network consolidates its position as a central contributor to the formulation and implementation of the global urban agenda

Short-term outcome: Global urban poor network has the capacity to develop and replicate best practices for achieving equitable and resilient cities

Short-term outcome: Global urban poor network is actively engaged in building global resilience through slum transformation

Success looks like: Global networks of the urban poor have the social, human, and political capital to catalyze a paradigm shift in the global urban architecture. The urban poor, organized and networked at the global scale, co-determine global urban policy through institutionalized inclusion in urban development platforms. Resulting implementation plans and practice are inclusive, implementable, and participatory and deliver long-term sustainable improvements to the lives of the urban poor. Additionally, the general public acquires new knowledge and experience, changes attitudes, and promotes civic engagement.

Outcome 10: Global pro-poor finance and investment

Long-term outcome: Global urban poor network shifts the narrative among the international public on issues of urban poverty

Long-term outcome: Global decision makers restructure finance flows to allocate and unlock resources for combatting urban poverty proportionate to need

Short-term outcome: Global decision makers commit to support community driven slum transformation for building resilience

Short-term outcome: Global urban poor network shapes urban policy and practice to create inclusive and resilient cities

Short-term outcome: Global urban poor network enhances awareness among the international public on issues of urban poverty

Success looks like: Transparent and accountable financing mechanisms enable effective implementation plans that directly benefit the urban poor. Global urban decision makers commit to restructure existing finance flows to increase access to state grants and subsidies

that improve lives of the urban poor. At the same time, global networks of the urban poor work alongside urban decision makers to co-produce new innovative pro-poor finance mechanisms, which may include impact investment opportunities, program related investments, mission related investments, and new innovation challenge funds driven by the poor. Additionally, global urban poor networks successfully institutionalize recognition of the validity and strength of informal financial assets and savings and loans systems..

What's New? This very precise articulation makes clear how SDI responds to “multidimensional poverty”, recognizing that impoverishment involves exclusion from resources, opportunities and choice, power and voice, and human security (Sida). SDI's approach builds mutually re-enforcing social, economic, political, human, environmental and physical capital in poor communities to break cycles of poverty and vulnerability. With network-wide agreement on outcomes, affiliates are free to package their activities and outputs into national programs that suit their context and priorities.

4.3 We added a workstream for institutional strengthening

To effectively implement SDI's Strategic Plan for 2018–2022 and accelerate progress against our TOC, a dedicated workstream for institutional development will be included that focuses on the following:

4.3.1 Network Governance

The SDI network's driving force is a slum dweller movement spanning 30+ countries. This self-organized movement is rooted in the local struggles of slum dwellers and united by a shared understanding of the forces that exclude over a billion slum dwellers globally. The SDI network brings together professional support to this movement, but it is clear that this is intended to augment the investment made in local communities. For the movement to remain rooted in local knowledge, community consensus, and poor people's priorities, SDI must invest in spaces for collective analysis, strategizing, organizing, mobilizing, consensus-building and governance. Investments will be made in national, regional, and transnational governance spaces as well spaces for joint planning by Secretariat and the federation Management Committee.

In this Strategic Planning period SDI will be very deliberate in these efforts and nurture the institutional arrangements that support and enable a mandate for joint planning, decision making, budgeting, monitoring and evaluation. The effectiveness of community led development hinges on the transparency and accountability of mechanisms for disseminating information, taking decisions and holding each other to account when it comes to values and commitments. SDI's governing bodies are primarily managed by slum dweller members, but there is recognition that some professional functions can add value and this period will see the network reflect on what those functions are and how to go about filling them in a way that is consistent with the collective, bottom-up, women-led values of the organization and supports productive, transparent and strategic operations. A well-planned programme for mentorship of new and emerging leadership by senior professional and community leaders within the SDI network will be instituted.

4.3.2 Technical offering

A human resources function for the SDI Secretariat will be established to clarify roles and responsibilities, identify and fill capacity gaps, develop and retain effective human

resources, and optimize performance and organizational resilience. Senior SDI professionals (particularly the Board Chairperson and Secretariat Managing Director) will lead a program of mentorship to new and existing professional leadership in the network (at local and Secretariat level) to ensure it is equipped with the lessons and insights from the organization's pioneers and their rich experience from the past two decades in SDI. Spaces for reflection, debate, and support will be convened on a regular basis to facilitate this mentorship. SDI Secretariat will also build upon efforts to diversify the networks income streams and build reserves for the network. In all cases, SDI's technical offering (at the Secretariat and local affiliate level) will be geared toward achieving the mission and agenda determined by SDI's slum dweller led governance bodies and be accountable to it through protocols that are clearly defined. Peer-to-peer support between professionals in the network and between professionals and affiliates in need of their expertise will be facilitated in order to produce a core of conscious professionals committed to SDI's values and vision and capable of accelerating its implementation. SDI's technical offering will be geared toward programmatic approaches to achieve city and global change outcomes.

4.3.3 Evidence and influence

SDI is committed to significant investments in community gathered data as a mechanism for both understanding and enhancing city resilience and inclusion. For over 20 years SDI federations have refined and scaled their profiling and enumeration work and standardized these efforts under the Know Your City initiative. This is a totally unique information infrastructure for social change that is driven by urban poor communities. People's data generates the political capital required to make information-based change in cities. The Know Your City data platform is the visible technological tip of the iceberg. Without investment in the social infrastructure that supports it, the transformational capacity of the technological platform or the data is minimal.

This Strategic Planning period will see investment in both, and span collection, ingestion, storage, analysis and application through development of a strategy for Know Your City 3.0 (in partnership with city governments) that is underpinned by SDI's new Theory of Change. It will develop and test new standards for data management (such as data audits) so that the KYC data is of "investment grade"; it will enable greater normative analysis and thus potential to monitor and evaluate many global and city level efforts to implement SDGs, NUA etc.; and it will support simple and useful tool development to support data analysis by communities that can be used by federations in eviction prevention and upgrading alternatives. It has been noted that the social sector has not yet seen the kind of data-driven transformation that is taking place in other sectors. SDI understands that the people's pressure is central to making this shift toward greater social justice and setting an agenda based on people's needs rather than donor priorities. Advancements in artificial intelligence have the potential to shift decision-making further away from the people, with unclear consequences for equity and transparency. The KYC platform supports "collective intelligence" and greater citizen oversight. The data platform is inseparable from the process of organizing communities, raising awareness for the value of local knowledge, shifting the power balance between communities and government/development partners, and the participatory monitoring and evaluating of change at the grassroots.

What's New? Thanks to insights received through the external evaluation and a partnership secured with Ford Foundation's BUILD program, SDI has – for the first time – developed and resourced a comprehensive institutional strengthening program for the network over the next four years. This will be funded as part of the SDI Basket Fund in support of the 3 areas outlined above.

4.4 We will target our support programs based on affiliate capacity

The extent to which different SDI affiliates are able to make change along these pathways and achieve desired outcomes varies. The affiliates' demands for and contribution to organizational development nationally and within the network also varies. In this Strategic Planning period SDI will differentiate support according to the capacities of federations. This will increase the efficiency and responsiveness of support and increase support available to areas where there is the greatest return on investment in terms of outcome achievement.

An affiliate scorecard will be filled in during PSO registration that is guided by self-assessment and reflection. This will shape the support offered by the SDI network in a given year. A committee from the Board, Management and Secretariat will review the scorecard each year, which will also assist impact assessment. Please find the scorecard for self-assessments in **Annex 2**.

AFFILIATE CATEGORY	DESCRIPTION	SDI NETWORK SUPPORT OFFERING
Emerging affiliate (Level 1)	Progress strongest along the settlement level change pathway. Upgrading projects serve a learning function and primarily build social and political capital and contribute to outcomes such as enhancing livelihoods, health and safety, and the strategic influence of the poor.	Eligible for Annual Support Contract Eligible for trans-border exchanges (out-going) Eligible for funding for learning projects and technical assistance Secretariat, MC, and other affiliates with capacity and experience provide support
Aspiring affiliate (Level 2)	Progress is registered along settlement and city level change pathways. Upgrading agenda can be characterized as "precedent setting" and builds political and economic capital for federations. These federations are achieving outcomes related to institutionalized partnerships with government, pro-poor data driven development and equitable and integrated urban policy implementation.	Eligible for Annual Support Contract Eligible for trans-border exchanges (in-coming and outgoing) Eligible for learning and "precedent" project funding and technical assistance MC, Secretariat Projects team, and other affiliates with capacity offer principle support
Mature affiliate (Level 3)	Progress registered at settlement and city level has strong potential for influence along global pathway. Upgrading agenda can be characterized as demonstrating "scale". These contribute to city outcomes that seek to expand pro-poor finance and investment in pro-poor urban development. The affiliates have considerable influence on global decision-making.	Eligible for Annual Support Contract Eligible for "upgrading at scale" funding and technical assistance Eligible for trans-border exchanges and international advocacy MC, Board, and Secretariat team offer principle support

4.5 We will offer two levels of program support

SDI will offer two levels of strategic programmatic support:

1. National affiliate programs for settlement and city transformation

2. International program for global transformation

Our budget speaks directly to our Theory of Change, allocating resources to settlement, city and global transformation as well as institutional strengthening. Settlement and city level resources are managed by local affiliates through annual grants allocated according to the affiliate categories outlined above. Global transformation support is managed by the Management Committee, Council of Federations and Secretariat on behalf of the network.

National affiliate programs for settlement and city transformation

REPRESENTING APPROXIMATELY 60% OF THE BUDGET, NATIONAL AFFILIATE PROGRAMS FOR SETTLEMENT AND CITY TRANSFORMATION WILL BE MANAGED AS FOLLOWS.

Link to Theory of Change	In pursuit of settlement and city change pathway outcomes in SDI's Theory of Change
Strategic programmatic management	National SDI affiliates (federation + PSO) Programs developed nationally by slum dweller federations and funded through Annual Grants Programs approved by regional MC/Sec committee and key mentors from within the SDI network assigned to support implementation
Program scope	Over 500 cities and over 10,000 settlements
Program essentials	Slum dweller planned and implemented action to improve the lives of the urban poor and make cities more resilient and inclusive. Programs are based on local priorities derived from slum dweller federation profiling and enumeration of informal settlements and community knowledge. Programs are implemented in partnership with local and national government and other urban stakeholders to shift policy and practice.
Program assumptions	Development assistance is overly focused on external solutions, research, consultancies etc. that are expensive, do not build local capacity and frequently have little impact at community level. Based on over 20 years experience, SDI supports a program to combat this trend, bridge implementation gaps, reduce inequality and dysfunction in development decision making and investment
What's new?	Evolved set of tools for assessing and supporting upgrading project investment portfolios guided by Theory of Change outcomes and maximizing capacity to influence policy, practice, decision making and finance flows MC/Sec approved national programs and assigned mentors from within the network (community/professional) Broader application of KYC for city planning, policy influence, investment decision making, and monitoring and evaluation of SDI programs as well as national and global development agenda
Results Based Management (LME)	Federation and network self-evaluation Biannual affiliate reporting and monthly project reports Periodic external evaluation

CORE PROGRAM ELEMENTS	ACTIVITIES
Local organizing	Savings group mobilization and support Slum dweller city, regional and national convenings for consensus-building, agenda setting, monitoring, mentorship and movement-building
Local knowledge	Know Your City slum profiling, mapping and enumeration Peer-to-peer exchange between slum communities and their government partners Know Your City TV youth media and film Federation led Learning, Monitoring and Evaluation
Local partnerships	Settlement and city forums for dialogue between communities and government Joint working groups that steering committees bring together slum communities and government to coproduce upgrading interventions and influence policy and practice
Local action	Precedent-setting upgrading projects implemented in partnership Institutional strengthening aimed at enhancing capacity to implement a city-scale agenda and to ensure robust accountability from local to global City and national urban poor funds and community finance facilities
Local investment	Mature affiliates will be eligible to access capital and project planning funding for “upgrading at scale” as approved by the Projects Sec/MC/Board committee

International program for global transformation

REPRESENTING APPROXIMATELY 28% OF THE BUDGET, INTERNATIONAL PROGRAM FOR GLOBAL TRANSFORMATION WILL BE MANAGED AS FOLLOWS.

Link to Theory of Change	In pursuit of global change pathway outcomes in SDI's Theory of Change
Strategic programmatic management	Joint committee comprising SDI Board, MC and Secretariat that meets quarterly
Program scope	The program will be implemented across three continents: Africa, Asia and South America
Program essentials	Voice of the urban poor on the global stage Global movement governed by and for the urban poor Critical mass of slum dweller federations to influence global decision making
Program assumptions	SDI efforts over the past 20 years have ensured the urban poor are increasingly visible on the global stage. Their voice and their priorities have been incorporated into global development agendas. More work is needed to translate visibility on the global stage and in the agreements made for it to translate to change in implementation practice and finance
What's new?	Move to a programmatic approach to achieve greater policy influence, scale, influence and impact across sectors at settlement, city, national and global levels (housing, energy, infrastructure, water and sanitation, finance, etc.). Investment in expanded technical, research and data analytics capacity, and strengthening strategic management across the network Investment in improved data collection and management capacity to enable Know Your City to engage with large scale urban poor measurement initiatives and ongoing city opportunities (e.g. 100RC, C40, New Urban Agenda sample cities, SDGs, etc) Investments strengthen risk management, internal controls, and build a culture of accountability
Results Based Management (LME)	Federation and network self-evaluation (Hubs, Council, Exchanges) – inquiry linked to action and enabling better practice Affiliate biannual output tracking and outcome narratives – for both inward and outward accountability and knowledge transfer Periodic external evaluation (baseline, mid-term and end of project)
CORE PROGRAM ELEMENTS	ACTIVITIES
Global slum dweller movement	International exchanges, regional hub meetings, youth engagement programs
Slum dweller knowledge feeds global decision making	Data platform, tool development, KYC TV training, equipment and youth engagement programs Donor engagement, strategic international events that support achievement of global pathway outcomes, engage innovation experts, develop new finance streams etc
Institutional strengthening	Enable and aggregate learning of the network Enhanced capacity to add value to settlement and city change process – through development of innovative finance, markets-for-good, social enterprise, innovation, engage early adopters and thought leaders, Program for transition planning

Budget structure and deliverables for affiliate grants

ANNUAL SUPPORT GRANTS FOR SETTLEMENT AND CITY TRANSFORMATION PROGRAMS (FUNDS MANAGED BY NATIONAL AFFILIATES FOR NATIONAL PROGRAMS)			
BUDGET LINE	ELIGIBLE EXPENDITURE	MANDATORY DELIVERABLES	AFFILIATE CATEGORY
Federation building	National federation meetings, regional federation meetings, settlement and city forums, youth programmes, meetings with government, local peer-to-peer exchange, working team meetings, savings group mobilization, visas for travel, project planning meetings	1. Reports from 2 national federation meetings presented at HUB 2. Biannual "Settlement and City Transformation Report" using template provided	Level 1, 2
Know Your City	Profiling, enumeration, mapping, settlement forums, federation meetings with other urban stakeholders, city forums, KYC TV, federation documentation	1. Data verified and updated to Know Your City 2. Biannual "Settlement and City Transformation Report" using template provided 3. Videos/media uploaded to KYC TV	Level 1, 2, 3
Institutional strengthening	Board meeting, director and finance manager salary contribution, annual report, internal audit, external audit, LME, Strategic Plan, Theory of Change	1. Annual report published 2. External audit report (with Board Response)	Level 1, 2
Administration overheads	Office rent (fed/NGO), salaries, office running costs (fed/NGO)	1. Bi-annual full financial report - ledger	Level 1, 2

ANNUAL SUPPORT FOR GLOBAL TRANSFORMATION PROGRAMS
(FUNDS MANAGED BY MC AND SECRETARIAT FOR NETWORK)

BUDGET LINE	ELIGIBLE EXPENDITURE	MANDATORY DELIVERABLES SECRETARIAT TO MC/BOARD	AFFILIATE CATEGORY
Federation building	International exchanges, regional hub meetings, youth engagement programs	1. Report from Each Hub meeting twice per year 2. Peer-to-peer exchanges prioritized by Hubs	Level 1, 2, 3
Know Your City	Data platform, tool development, KYC TV training, equipment and youth engagement programs	1. KYC data platform and tool development 2. KYC TV site	Level 1, 2, 3
Projects	Capital and TA	1.Revolving fund report	Level 2, 3
Global advocacy	Donor engagement, strategic international events that support achievement of global pathway outcomes, engage innovation experts, develop new finance streams etc	1. Participation in key events 2. Publication of key materials 3. Campaigns and new finance	Level 2, 3

What's New? Annual support contracts for affiliates tailored to category of maturity in terms of capacity to have an impact at outcome level. This responds to affiliate demand for annual allocations to reduce administrative burden and allow better planning, recommendations of external evaluation for greater programmatic approach, and refines support and expectations according to affiliate maturity. Reporting will place increased emphasis on outcome progress.

5. How will we know we're making progress?

5.1 Learning, Monitoring and Evaluation

In the past Strategic Plan period, SDI developed robust community managed Learning Monitoring and Evaluation capacities geared equally to the promotion of inward and outward looking accountability, transparency, learning, and performance enhancement. SDI's work in the people-responsive LME practice field is quite unique in its "learning-by-doing" and "bottom-up" approach. SDI resists the dominant tendency for M&E to be viewed as a professional industry or tool for compliance. Community learning, monitoring and evaluation is part and parcel of standard federation business, undertaken through participatory dialogue and reflection by the poor and directly linked to local action. SDI understands that LME system reforms must be collaboratively designed and tested and serve the local agenda as meaningfully as the international agenda. Central to SDI's LME work is the legitimization of knowledge created within federations. The following framework for results based monitoring will be deployed for the grant.

a. Peer monitoring, mentoring and learning

- Peer-to-peer exchanges and mentorship
- Regional Hubs and Federation Council
- National and regional federation leadership meetings

b. Federation LME data system

- Both the external and internal evaluation systems will meet and be housed and managed on the KYC 3.0 data platform
- Biannual output tracking by slum dweller federations at their regional and national meetings
- Biannual outcome reflection by national affiliates in their biannual reporting
- Annual Basket Fund report by Secretariat to aggregate progress and learning and determine necessity for course correction

c. Internal and external evaluation

- Baseline survey using Know Your City data, affiliate reports, underpinned by TOC which identifies metrics to be tracked annually to assess Strategic Plan progress toward outcome achievement
- Mid-term internal review of impact toward intended outcomes
- Final external evaluation of impact toward intended outcomes

5.2 Annual affiliate support grant reporting template

To be completed biannually online via Know Your City platform. The combined contents of biannual reports should provide a solid base for affiliate annual reports. The Secretariat will assist affiliates to compile these where requested.

SECTION 1: AFFILIATE AT A GLANCE TO BE FILLED BY ALL AFFILIATES (CATEGORY 1, 2, AND 3)						
Country						
Federation Name						
Support NGO						
Date						
INDICATORS	BL	Y1	Y2	Y3	Y4	OVI
Cities where we work						KYC map
Settlements where we work						KYC map
Savings groups						KYC map
Members						KYC map & group register
Youth members						Savings group register
Settlements profiled						Register, media
Cities profiled						KYC map
Settlements enumerated						KYC map
HH with improved WATSAN						KYC map
HH with improved tenure						KYC map
HH with improved energy						Project inventory, KYC map
HH with improved housing						Project inventory, KYC map

**SECTION 2: SETTLEMENT AND CITY TRANSFORMATION
TO BE FILLED BY ALL AFFILIATES (CATEGORY 1, 2, AND 3)**

ACTIVITIES / WORK DONE

Describe the activities done during the period under the following categories

**CONTRIBUTION TO SETTLEMENT
AND CITY OUTCOMES**

Explain how the activities are contributing toward settlement and city level change

**LINK TO FURTHER INFO,
VIDEO, BLOG OR PHOTOS**

Provide URL links or upload attachments

Federation building

eg. National federation meetings, regional federation meetings, settlement and city forums, youth programmes, meetings with government, local peer-to-peer exchange, working team meetings, savings group mobilization, visas for travel, project planning meetings

Know Your City

eg. Profiling, enumeration, mapping, settlement forums, federation meetings with other urban stakeholders, city forums, KYC TV, federation documentation

Organizational Development

eg. Board meeting, director and finance manager salary contribution, annual report, internal audit, external audit, LME, Strategic Plan, Theory of Change

Projects

Summarize precedent settling and scalable upgrading projects underway and the stage at which the project is at.

CHALLENGES & OPPORTUNITIES

Challenges

Opportunities

Attachments

- 2.1 National federation meeting minutes
- 2.2 Annual report (published)
- 2.3 Annual audited financial statements
- 2.4 Full financial report (ledger)
- 2.5 Revolving fund report
- 2.6 Individual project reports for active contracts

**SECTION 3: GLOBAL TRANSFORMATION
TO BE FILLED BY AFFILIATES CATEGORY 2 AND 3**

ACTIVITIES / WORK DONE

Describe the activities done during the period under the following categories

**CONTRIBUTION TO SETTLEMENT
AND CITY OUTCOMES**

Explain how the activities are contributing toward settlement, city and/or global level change

**LINK TO FURTHER INFO,
VIDEO, BLOG OR PHOTOS**

Provide URL links or upload attachments

Projects

Summarize precedent settling and scalable upgrading projects underway and the stage at which the project is at.

Federation building

Describe your affiliate's participation in the regional Hub meeting

Organizational development

Describe your affiliate's participation in either Council, Board, or MC meetings

Attachments

3.1 Exchange reports

3.2 Hub reports

6. Who will do what?

SDI's Board of Directors primarily comprises female community leaders. The governing body emphasizes effective stewardship of resources and commitment to SDI core values and mission. In addition, the body supports the mentorship of board members to understand and grow in their role. The learning function of governance spaces has long been prioritized by SDI federations, is intertwined with its history and culture, and is an essential function for building transparency, managing complexity and institutionalizing knowledge. The Board Chairperson has prioritized mentorship of two co-chairs (one community leader and one support professional) so that they can take the organization forward in the coming years.

As a network guided by a slum dweller social movement, it is critical that organizational management and organizational strengthening investments build the capacities of community leaders and the professional support infrastructure in interdependent ways. SDI operations are managed by a management committee of community leaders and a professional secretariat. In this Strategic Planning period these bodies will come together 3 – 4 times per year to ensure effective joint management and planning. The Secretariat Managing Director has decentralized leadership at the Secretariat through the appointment of four department directors and supporting their increased capacity to manage programs and budgets.

Slum Dweller Federations

- Organize poor communities, placing women at the center and ensuring that they articulate their needs and priorities and work collectively for their achievement
- Ensure accountability to the poorest families in the settlements in which they live and work
- Champion the rights and the aspirations of organized poor communities, fighting for positions of mutual respect and responsibility in negotiations and contestations for resources, recognition and inclusion

Federation Support NGOs

- Provide technical and financial back-stopping to slum dweller federations
- Facilitate reflection, monitoring and learning in national federations from settlement to city to national level
- Create linkages and opportunities for engagement for the federations with other stakeholders including Government, private sector, academia, donors and other grassroots networks

SDI Secretariat

- Facilitate trans-border learning and monitoring for affiliated federations
- Provide a framework and a platform for global advocacy so that international decision makers respond to the local demands of affiliated federations
- Strengthen systems of horizontal and vertical accountability within federations and support NGOs
- Decode and defend informal processes in formal spaces

7. Who will we partner with and why?

The table below is indicative only. SDI partnerships are not limited to those presented in the table.

WHO	WHY
Cities Alliance	To influence global urban programming to be more pro-poor and to make greater investment in local knowledge and action. For networking with global urban actors.
Sida	Build risk management and internal control systems and institutional capacity
UCLGA	Institutionalize community-local government partnership and action in Africa
C40 Cities	Institutionalize climate friendly community-local government partnership and action in mega-cities
100RC	To influence resilience planning, implementation and M&E in cities characterized by informality
IIED	Produce policy advocacy tools and publish community research and knowledge, develop strategies for community-led upgrading for climate adaptation and resilience
Other grassroots networks (eg. ACHR linked groups, WIEGO, Huairou Commission)	Produce policy advocacy tools and publish community research and knowledge, develop strategies for community-led upgrading for climate adaptation and resilience
City and local governments	To influence policy and investment decisions and build pathways for sustainable action
HCC	Influence decision making regarding large infrastructure investments by private sector – especially where displacement/relocation expected
Duurzaamheid	Build joint ventures between European entrepreneurs and slum communities
You Me Agency	Build SDI's public brand globally
UN Habitat (including GLTN)	To influence global urban programming to be more participatory and pro-poor and to make greater investment in local knowledge and action. To create links with other agencies within the UN system.
Civil society platforms (General Assembly of Partners, World Urban Campaign, Global Platform on the Right to the City)	To work jointly with other civil society groups to raise the visibility and voice of grassroots organizations of the urban poor to enable them to co-produce participatory and inclusive development solutions with the State and other stakeholders.

8. What could go wrong and how will we try to stop it?

GLOBAL		CITY		SETTLEMENT	
RISK	MITIGATION	RISK	MITIGATION	RISK	MITIGATION
Mismanagement in SDI affiliates could negatively impact SDI reputation and partnerships	Improve internal controls (with support from Sida anti-corruption) and establish PSO charter to guide affiliation obligations	Lack of appeal to youth results in declining relevance	Dedicated youth programs are resourced and driven by youth	Evictions destroy social networks and SDI investments	KYC doubles down on eviction threat monitoring and organizing around eviction alternatives
Senior leadership at NGO, Board and Federation level may not sufficiently prepare next generation of leaders to play the roles required	Formalized mentorship program and transition planning	Under investment in human capital may undermine SDI's ability to deliver on ambitious area based development	Invest in precise managerial and technical capacity required to support federation upgrading projects that exhibit city-scale and influence	Insufficient settlement coverage (in terms of savings groups) reduces political influence	Accelerate savings groups mobilization and networking to form critical mass
If community led network governance spaces aren't planned for and budgeted, planning will happen at Secretariat	Joint planning meetings scheduled and budgeted for at least 3 times per year (MC, Sec, and Board)	Dilution of SDI core rituals (eg women and savings) in order to attract community level support	Invest in knowledge building and awareness of the Council and the MC	Patronage and corruption intimidate and undermine community savings, solidarity and accountability	Peer-to-peer support through exchanges and direct solidarity engagement – from shared experiences to shared resources
Market interventions as an attempt to dilute donor dependence leads to upwards drift of the process	Dedicated team from MC, Board, and Sec protects core values and practices while specialized teams explore innovative finance opportunities.	Under the guise of co-production, federations are co-opted by government	Regular assessment and evaluation by Sect and MC, followed by interventions through the hubs		
Smart cities and proprietary data driven development further alienates the poor from decision making	Invest in KYC innovation and scale	Professionals and Federation leaders may be pressurized to make deals that exclude the very poor	Board and MC to assess affiliate leadership's commitment to SDI community processes on a regular basis and follow up with intensive mentorship		
		Delays and blockages in implementing projects and programs due to political and administrative changes	Institutionalize relationships between federations and local governments		

Annex

Glossary of key terms

Slum friendly cities

This refers to cities that understand slums are part of the city and neighborhoods in need of upgrading rather than clearance.

Organized urban poor communities

This refers to women-led slum dweller savings collectives that come together at the settlement, city, and national level as urban poor federations to set and implement their own development agenda

Enhanced livelihood opportunities

This refers to the capacity to enhance economic wellbeing through acquisition of skills, sharing of knowledge, and access to credit

Urban development agenda

This refers to the collection of policies, norms, and practice guiding urban decision makers

Solidarity and social cohesion

This refers to community capacity to resolve conflict and forge a collective agenda

Incubators of innovation

This refers to spaces for skills transfer and acquisition such as: exchanges, training sites, and enterprise development services

Precedent setting projects

This refers to upgrading projects that demonstrate innovative pro-poor solutions for improving the well being of slum dwellers

Ownership of urban development

This refers to community perception of control over development strategy and implementation

Resilient neighborhoods

This refers to the social, economic, physical, political and environmental capacity of neighborhoods to recover from shock

Pro-poor credit

This refers to credit with affordable interest rates and flexible collateral and repayment options

Urban decision makers

This refers to public, private and community actors charged with taking decisions that guide urban development

Theory of Change

The overall intended impact of SDI's work is the creation of inclusive and resilient cities where the lives of the urban poor are substantively improved.

Pathways to change

What SDI does



Settlement

- We organize women-led savings groups and network them at settlement level
- We profile, enumerate, and map our settlements
- We mentor and train women leaders
- We support livelihood-building
- We equip youth with multi-media documentation skills
- We conduct settlement forums for dialogue between communities, government, and other urban stakeholders



City

- We network savings groups into city-scale federations
- We support partnerships between city governments and federations
- We produce citywide profiles and maps of all informal settlements
- We support city forums to shape urban policy and practice
- We establish community upgrading funds
- We support peer-to-peer exchange
- We design, build, and manage slum upgrading projects



Global

- We participate in global debates to influence policy
- We support regional hubs of national slum dweller federations
- We support peer-to-peer exchange between federations and their partners
- We manage Urban Poor Fund International (UPFI) and other community finance facilities
- We use our data to inform, monitor, and evaluate development agendas and commitments



What change looks like

Outcomes

→ We see slum settlements that are recognized by the city, have secure tenure, and universal access to basic services. We see safe and healthy communities where social cohesion is evident and even those with low incomes have access to economic livelihood opportunities and pro-poor credit. We see communities engaged in dialogue with government and our youth filled with opportunity and hope.



Improved public health and safety



Enhanced livelihoods



Integrated and resilient neighborhoods



Greater strategic influence of the urban poor

→ We see cities where development is inclusive and urban decision makers recognize and value the skills, knowledge, and data of organized urban poor communities. We see institutionalized collaboration spaces for dialogue and strong partnerships for the coproduction of transformative policy, practice, and investment. We see citywide improvements to tenure security, housing, infrastructure, services, and livelihoods. We see slum upgrading supported by innovative pro-poor finance instruments that improve the lives of the poor and inclusivity and resilience of the city at large.



Institutionalized collaboration between the urban poor and government



Pro-poor data driven development



Equitable and integrated urban policy implementation



Expanded pro-poor financing instruments

→ We see a world where organized urban poor communities are considered valued partners in urban development decision-making and where investment in inclusive and resilient urban development is prioritized. We see global decision-makers exhibit an increased capacity to integrate community driven knowledge in policy and practice, enhancing the social, human, physical, political, and economic capital of urban poor communities and enabling transformation of the status quo.



Global urban decision-making is slum-friendly as a result of collaboration with the urban poor



Global public sentiment supports slum-friendly cities



Greater global investment in pro-poor urban development

Affiliate Scorecard

(to be filled during PSO registration and signed off by Board and MC) Affiliates should email SDI for high res digital versions.

Affiliate Name:

Date:

SETTLEMENT CHANGE CAPACITY

Outcome 1: Improved public health and safety

Long-term outcome: Organized urban poor communities through collective action and improved access to basic services and infrastructure improve health, hygiene, safety and security in slum settlements

Short-term outcome: Organized urban poor communities at the settlement level exhibit solidarity and social cohesion and the ability to collectively identify issues and implement solutions

Short-term outcome: Organized urban poor communities develop and benefit from incubators of innovations and ideas in order to enhance livelihood opportunities

AFFILIATE SCORE	1	2	3	4	5	6	7	8	9	10
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Outcome 2: Enhanced Livelihoods

Long-term outcome: Organizations of the urban poor create and benefit from increased livelihood opportunities and enterprise creation, especially for women and youth.

Short-term outcome: Organizations of the urban poor, in which women and youth play a central role, develop and benefit from incubators of innovations and ideas in order to enhance livelihood opportunities

Short-term outcome: Organized urban poor communities have increased access to pro-poor credit and build assets

AFFILIATE SCORE	1	2	3	4	5	6	7	8	9	10
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Outcome 3: Integrated and resilient neighborhoods

Long-term outcome: Organized urban poor communities facilitate the transformation of the built environment from slums to inclusive and resilient neighborhoods

Short-term outcome: Organized urban poor communities demonstrate integrated settlement planning and incremental upgrading through precedent setting projects, and partnerships with local government

AFFILIATE SCORE	1	2	3	4	5	6	7	8	9	10
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Outcome 4: Greater strategic influence of the urban poor

Long-term outcome: Organized urban poor communities and government are active partners in the formulation and implementation of the urban development agenda

Short-term outcome: Organized urban poor communities come together to plan, implement and monitor settlement upgrading collectively, to build partnerships and increase community ownership of urban development

Short-term outcome: Organized urban poor communities navigate the continuum from facing eviction threats. To upgrading and relocation, to the regularization of collective tenure

AFFILIATE SCORE	1	2	3	4	5	6	7	8	9	10
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CITY CHANGE CAPACITY

Outcome 5: Institutionalized collaboration between urban poor and government

Long-term outcome: Organized urban poor communities engage urban decision makers in institutionalized spaces for urban planning and decision making

Short-term outcome: Organized urban poor communities agglomerate at city level and create voice as central stakeholders in the urban agenda

AFFILIATE SCORE	1	2	3	4	5	6	7	8	9	10
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Outcome 6: Pro-poor data driven development

Long-term outcome: Urban decision makers capture and utilize urban poor knowledge and experience as an essential input to resilient city development

Short-term outcome: Organized urban poor communities collaborate with government in collecting city-wide slum data for joint planning

AFFILIATE SCORE	1	2	3	4	5	6	7	8	9	10
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Outcome 7: Equitable and integrated urban policy implementation

Long-term outcome: Urban decision makers formulate urban policies which represent consensus on resilient and equitable city development and decentralized implementation

Short-term outcome: Organized urban poor communities exhibit strong partnerships with urban decision makers through implementation of scalable precedent setting projects

AFFILIATE SCORE	1	2	3	4	5	6	7	8	9	10
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Outcome 8: Expanded pro-poor finance

Long-term outcome: Urban decision makers establish and resource an expanded range of financing instruments for city-wide slum upgrading

Short-term outcome: Recognition of informal financial systems and inclusive financial instruments that emphasize the very poor

AFFILIATE SCORE	1	2	3	4	5	6	7	8	9	10
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INSTITUTIONAL CAPACITY (MANAGEMENT AND GOVERNANCE)

Federation

Long-term outcome: National federation leadership represents and organized base, is accountable and transparent in its operations and drives a community led agenda in line with SDI core values

AFFILIATE SCORE	1	2	3	4	5	6	7	8	9	10
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Professional Support Organization

Short-term outcome: Support PSO has a functioning board, strong and timely reporting and managerial systems, generates resources, and has clear lines of accountability to federation

AFFILIATE SCORE	1	2	3	4	5	6	7	8	9	10
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KEY

1 to 30

Level 1

Emerging

30 to 70

Level 2

Aspiring

70 to 100

Level 3

Mature

TOTAL SCORE

LEVEL



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