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Enhancing the Role of TA NGOs in Housing the Poor in the Philippines A Case Study of TAO-Pilipinas, Inc.

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Summary

The point of departure of this thesis is on the belief that the role of **Technical Assistance NGOs** (TA NGO) also referred to as technical service organizations (TSO) in the Philippines, is crucial in helping address the problem of insufficient and inadequate housing for the poor. TA NGO is herein defined as an organization of technical professionals primarily in the urban planning, architecture, and engineering disciplines involved in development work. These are non-profit non-government organizations that focus on issues of housing and land tenure issues for the poor in the Philippines. Housing in this thesis is defined based on John Turner's definition of not just the physical infrastructure but also involves the environment, basic services, community organization as well as economic opportunities (Turner, 1976). By understanding the roles of TA NGO, technical assistance to the poor in housing will become more effective and through a clear understanding of the legal and policy environment in housing and relationships between TA NGOs and key actors in housing, initiatives to enable the poor access housing by TA NGOs will be more efficient, integrated and coordinated.

The thesis starts with a review of housing and its issues from an international perspective, touching briefly on the effects of globalization and rapid urbanization in cities especially of developing countries. This is followed by a discussion on the consequent urbanization of poverty and the growing roles of NGO/civil society as acknowledged by international declarations and covenants stressing the importance of NGO/civil society participation in the fight against the effects of urban poverty as manifested by homelessness, insecurity of land tenure, poor housing conditions, poverty, and urban crime¹. General concepts and theories on civil society and NGOs are explored by the research where the definition for TA NGO is finally drawn. At the local context the development of the Philippine NGO movement is discussed—its history, dynamism and diversity which facilitated the emergence of TA NGOs in development work. The legal and institutional frameworks in the Philippines are also discussed. These include housing policies and programs that provided the basis for involvement and continued housing assistance by various sectors of society like private and civil society organizations. This research focuses on the experience of TAO-Pilipinas, Inc. one of the three professional TA NGOs in the Philippines based in Metro Manila. A review of international experiences of TA NGOs in Thailand and Cambodia also provides important lessons in order to understand the roles of TA NGOs bringing an international perspective to the debate of the local Philippine case. Further the report makes an analysis of the strengths and weaknesses, opportunities and constraints of these roles.

The author, being one of the pioneers in the organization of TAO-Pilipinas, has been involved with development work for already more than a decade and has first hand experience with the complexities and difficulties by technical assistance work in poor communities and this research is critical in rationalizing continued technical assistance in housing the poor by technical professionals.

This research contributes to the greater understanding of the roles that TA NGOs play on the issue of housing the poor and concludes among other things that TA NGOs are important actors in supporting the initiatives of housing actors like NGOs and POs in the aspects of community development planning, project design and management, and advocacy for secure tenure.

¹ See UN Habitat Report on Basic Facts About Urbanization 2000

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*“To laugh often and much,
to win the respect of intelligent people and the affection of children,
to earn the appreciation of honest critics and endure the betrayal of false friends,
to appreciate beauty, to find the best in others
to leave the world a bit better whether by a healthy child,
a garden patch or a redeemed social condition
To know even one life has breathed easier because you have lived
This is to have succeeded.”
- Ralph Waldo Emerson*

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Foreword

Abbreviations

ADB – Asian Development Bank
Alterplan – Alternative Planning Initiatives, Inc.
BIR – Bureau of Internal Revenue
CBO – Community Based Organization
CCAD – Center for Community Assistance and Development
CFC – Couples for Christ
CMP – Community Mortgage Program
COPE – Community Organizations of the Philippines Enterprise
CO-Multiversity – Community Organizers’ Multiversity
CS – Civil Society
CSO – Civil Society Organizations
HUDCC – Housing and Urban Development Coordinating Council
FDA – Foundation for Development Alternatives
FDUP – Foundation for the Development of the Urban Poor
GK – Gawad Kalinga
HDM – Housing Development and Management
HFHP – Habitat for Humanity - Philippines
HIC – Habitat International Coalition
IHS – Institute for Housing and Urban Development Studies
IPC – Institute of Philippine Culture
LDC – Local Development Council
LGU – Local Government Unit
MTDP – Medium Term Development Plan (Philippines)
NCR – National Capital Region
NHA – National Housing Authority
NHMFC – National Home Mortgage Finance Corporation
NGA – National Government Agency
NGC – National Government Center
NGO – Non-Government Organization
ODA – Overseas Development Assistance
P NGOs – Professional NGOs
Pani - Panirahanan

PO – People’s Organization
PCNC – Philippine Council for NGO Certification
PSF – President’s Social Fund
PRRP – Pasig River Rehabilitation Program
SAMAPI – Samahan ng mga Maralita sa MRR-Pineda (Association of the Poor in Pineda)
SANAGMANA – Samahang Nagkakaisa ng mga Maralita sa Navotas (United Association of the Poor in Navotas)
SEC – Securities and Exchange Commission
SHFC – Social Housing Finance Corporation
TA NGO – Technical Assistance NGO
TAO-Pilipinas – Technical Assistance Organization-Pilipinas, Inc.
TRICOR – three NGOs composed of COPE, UPA, and CO-Multiversity
TSO – Technical Service Organization
UDHA – Urban Development and Housing Act (RA 7279)
UNCHS – United Nations Center for Human Settlements
UPA – Urban Poor Associates
WB – World Bank

Table of Contents

Summary	ii
Acknowledgements	iii
Foreword	iv
Abbreviations	v
Table of Contents	vii
Chapter 1 Introduction and Research Methods	1
1.1 Introduction	1
1.2 Background.....	1
1.3 Rationale.....	2
1.4 Definition of the Problem	3
Figure 1.4 Problem Analysis Summary (refer to Annex A-Problem Tree Analysis)	3
1.5 Objectives of the Study.....	4
1.6 Scope and Limitations	4
1.7 Description of the Research Area.....	5
1.8 Research Questions.....	5
1.9 Research Methods.....	5
1.9.1 Primary Data Gathering Strategy.....	5
Figure 1.9 Research Process	6
1.9.2 Secondary Data Gathering Strategy.....	6
1.9.3 Criteria for Selection.....	7
1.9.4 Framework for Analysis	7
Figure 1.9.4 Analytical Framework	8
1.10 Thesis Structure.....	8
Chapter 2 Literature Review and Theoretical Framework	9
2.1 Introduction	9
2.2 Globalization and Civil Society roles in shelter development	9
2.3 International Declarations on Human Settlements Development in relation to NGO/Civil Society Roles	10
Table 2.3 Timeline of Influential International Events on Human Settlements	11

2.4	General Concepts in Civil Society/NGO Development	12
2.4.1	Civil Society, NGOs and CBOs: A Definition	12
2.4.2	Civil Society (CS) as a ‘third force’	13
2.4.3	NGO Typology	14
	Table 2.4.3a NGO Typology by Orientation (According to Davidson & Peltenburg) ..	15
	Table 2.4.3b NGO Typology by Roles (According to Rajesh Tandon)	15
	Table 2.4.3c NGO Typology by Roles (According to Hari Srinivas)	16
	Figure 2.4.3b The TA NGO place in Civil Society (Developed by the author from the discussions on the concepts and models on civil society/NGOs)	17
2.4.4	The CO-CD approaches to community organizing	17
2.4.5	TA NGO Definition	18
Chapter 3 The Philippine NGO Movement.....		20
3.1	NGO Historical Development	20
3.2	Current Situation: Philippine NGOs.....	21
3.3	Philippine NGO Legal Framework.....	22
Chapter 4 The Philippine Housing Situation		26
4.1	Background.....	26
4.2	The Housing Sector	26
	Table 4.4 Housing Production Trend 2001-2003 based on HUDCC MTDP 2001-2004 report.....	26
	Table 4.2b Housing Target and Accomplishments, 2001-2004	26
	Table 4.2c Housing Need 2005-2010.....	27
	Table 4.2d Housing Targets, 2005-2010.....	27
4.3	Key Features in Land and Housing in the Philippines	28
	Table 4.3 Land and Housing Key Features	28
4.4	Relevant Housing Programs for the Poor	29
4.4.1	Community Mortgage Program (CMP).....	29
	Table 4.4.1a CMP Loan Ceiling per Household	29
	Table 4.4.1b CMP Performance.....	30
4.4.2	National Housing Authority (NHA) Programs for the Poor	30
	Table 4.4.2 NHA Production Performance 1975-2001*	31
4.4.3	Government’s Incremental Development Policy on Resettlement....	31
4.5	Civil society pro-poor housing initiatives	31
4.5.1	Gawad Kalinga (GK)	32
4.5.2	Habitat for Humanity Philippines	32

Chapter 5 Case Study: TAO-Pilipinas, Inc.	33
5.1 Introduction	33
5.2 Background and History	33
5.3 Organizational Context: Vision, Mission, Goals and Programs.....	34
5.4 Organizational Structure.....	34
Figure 5.4 TAO-Pilipinas Organizational Structure.....	35
5.5 Community Approach in Technical Assistance	35
5.5.1 Community participation in planning	36
Table 5.5.1 Activities for Community Participation	36
5.5.2 Tools in participatory planning.....	36
Table 5.5.2 Tools for Participation	36
5.5.3 Application of TA output.....	36
5.6 Community Projects	36
5.6.1 Pasig River Rehabilitation Program (PRRP) affected communities..	37
5.6.2 The Technical Assistance Process in Pineda Community	37
5.6.3 PNR Rehabilitation affected communities.....	38
5.7 Housing Actors, Roles, and Relationships in technical assistance.....	39
5.7.1 Government as provider– enabler	39
Figure 5.7.1 Government-TA NGO Relations	40
5.7.2 NGO Community Approaches—CO and CD.....	41
Figure 5.7.2 NGO-TA NGO Relations	41
5.7.3 The Academe	42
5.7.3.1 Informal Settlements inside university campus property	42
Figure 5.7.3.1 Academe -TA NGO Relations #1	43
5.7.3.2 Other Academe interaction: PUP/UST/UP/BulSU-IAFA.....	43
Figure 5.7.3.2 Academe -TA NGO Relations #2	44
5.7.4 Other PO interactions.....	44
Figure 5.7.4 PO -TA NGO Relations.....	45
5.7.5 Network interactions	45
Figure 5.7.5 Network -TA NGO Relations	46
5.8 Sustainability of the Organization and the Donor Agencies	46
Figure 5.8 Funding Source – TAO-Pilipinas Relationship.....	47
5.9 Dole-out mentality	47
5.10 Technical Assistance Roles.....	48
5.10.1 NGOs as social welfare-oriented and service providers	48
5.10.2 Role in development/advocacy/education	48

5.10.3	Consultation and support roles to other NGOs	49
5.11	Summary tabulation based on articulated/observed TA roles.....	49
	Table 5.11a Summary of Roles: TAO-Pilipinas' view of its role in relation to other Housing Actors	49
	Table 5.11.b Summary of Roles: Other Housing Actors' perception of TAO-Pilipinas' role.....	49
5.12	Strengths, Weaknesses, Opportunities and Threats on TA work	49
5.12.1	Internal Factors: Strengths and Weaknesses.....	50
	Table 5.12.1 Summary: Internal Factors: Strengths and Weaknesses	51
5.12.2	Opportunities and Threats.....	52
	Table 5.12.2 Summary: External: Opportunities and Threats	53
Chapter 6 Learnings from Other TA NGO Experiences.....		54
6.1	Introduction	54
6.2	Strategies for Sustainability.....	54
6.2.1	Linking with established groups	54
6.2.2	Project funding over grants/institutional support.....	54
6.2.3	Choose and focus technical assistance.....	55
6.2.4	Networking technical assistance and support	55
6.3	Innovation of Approaches	55
6.3.1	'Architecture for the Poor'	55
6.3.2	Learn the 'Language of the Community'	56
6.3.3	Clarify TA Roles.....	56
6.4	Mainstreaming TA participatory process	57
6.5	NGO Partnerships and Government Collaborations in Thailand	58
6.6	Multi-Partnerships in Cambodia.....	59
6.7	Technical assistance and organizing.....	60
6.8	Affecting policy change and the 'Living Heritage'	60
6.9	A Simple, Low-key Approach.....	61
Chapter 7 Conclusions and Recommendations.....		62
7.1	Summary Results.....	62
7.1.1	Roles, actors and relationships.....	63
7.1.2	Institutional frameworks, policies and program environment	64
7.1.3	Learnings from other TA NGOS	65
7.1.3.1	Alterplan: Sustainability in project funding/networking.....	65
7.1.3.2	Panirahanan: Learn the language of POs and NGOs	65

7.1.3.3	CASE-Thailand: Participatory process/government collaborations	66
7.1.3.4	URC/TTA: Simple and low key approach	67
7.2	Summary Conclusion	67
7.3	Recommendations	68
7.4	Final Remarks.....	69
References		70
Annex		74
Annex 1	Resource Organization/Persons List	74
Annex 2A	Fieldwork Photos: Workshop with SANAGMANA, Navotas	75
Annex 2C	Fieldwork Photos: Visit and Interview in SAPSPA, Manila	77
Annex 3	Problem Tree Analysis.....	78
Annex 4	National Shelter Program (NSP) Structure	79
Annex 5	– Scale of Nonprofit Activity.....	80
Annex 6	– Local TSO/TA NGO Profile: Alterplan.....	81
Annex 7	– Local TSO/TA NGO Profile: Panirahanan,Inc.....	82
Annex 8	– International TSO/TA NGO Profiles:CASE -Thailand	83
Annex 9	– International TSO/TA NGO Profiles: URC-Cambodia.....	85
Annex 10	– International TSO/TA NGO Profiles: Tneang Tnaut Association..	87

Chapter 1 Introduction and Research Methods

1.1 Introduction

The phenomenon of globalization and urbanization seen before as a positive process because of its link with modernization, industrialization and global integration has brought unprecedented negative effects to cities of the world like the growing urbanization of poverty which is posing a challenge to local, national, and international development policies. (Berner, 2001) According to UNCHS, 91% of the rapid urbanization process is occurring in cities of the developing world and the number of urban dwellers will very soon outnumber those in the rural areas. A large percentage of these city dwellers live in slums. (UNCHS, 2004)

Urban poverty is often manifested by the growing backlog in the delivery of basic services as the demand grows beyond institutional capacity, financial resources and environmental carrying capacity; worsening state to shelter and security of tenure access resulting in severe overcrowding, homelessness and environmental health problems; growing inequalities in cities evident in increasing residential segregation and violence which impacts more on women and the poor; and the lack of participation of communities in decision-making processes and activities².

The Philippines is also facing the challenge of urban poverty. Almost half of the Philippine population lives in urban areas and 38% live below the poverty line. This people are found in slums and informal settlements. The Philippine government has made poverty alleviation its main target for the past several administrations and innovative approaches and strategies are being encourage, one of which is the active participation of civil society in housing the poor.

1.2 Background

The NGO movement in the Philippines has been considered as one of the most active and dynamic in the world³. The vitality it carried and sustained in pursuit of social reform and innovations has earned it the reputation of an 'NGO paradise' or 'NGO super power'. (Racelis, et.al. 2000) The four-day People Power Revolution in 1986 which ended the 15 year repressive rule of Ferdinand Marcos was a triumph by civil society brought about by the concerted efforts of NGOs, religious groups, people's organizations (also referred to as community-based organizations), the business sector, labor unions, academics, students, professional organizations, the media, and ordinary citizens—the masses.

The new regime led by Corazon Aquino signalled the 'golden age' of NGOs in the Philippines. (Fugere, 2001) Also, the government recognizes its limitations as provider of basic services and saw the potential of NGOs in filling this gap. NGO partnerships were forged and enabling policies were put forward to facilitate NGO assistance to the poor. Overseas development assistance (ODA) also poured in channelled mostly through NGOs and NGO networks. Many groups recognized this opportunity to access resources and many types of NGOs were formed, some with profit orientation and questionable purposes, during Aquino's administration. It was the peak of NGO growth in the

² In *Global Campaign for Secure Tenure: A Tool for Advocating the Provision of Adequate Shelter for the Urban Poor*, Concept Paper, 2nd Edition, published by UNCHS in 2004.

³ From the article *New Visions and Strong Actions: Civil Society in the Philippines* by Mary Racelis, et.al. *Civil Society Aid and Democracy Promotion*, Washington, D.C. Carnegie Endowment for International Peace, 2000 pp. 159-87 quoting the speech given by USAID Mission Director Patricia K. Buckles during the USAID Partners Annual Conference in Roxas City, Philippines in October 1999.

Philippines. The number of NGOs has since then been reduced considerably after the ODA stopped coming, and these pseudo-NGOs were discovered and weeded out. Administrations also changed and government thrust became more focused on fostering economic growth rather than social reforms. But the strength and influence of NGOs are still there, especially when it comes to mobilizing the poor. This fascinating NGO phenomenon in the Philippines has been the subject of studies and critiques by scholars, theorists, social scientists, and political analysts ever since. (ADB, 1999; Racelis, 2000; Serrano, 2006)

This research is not another attempt to analyze the overall NGO movement in the Philippines although it is a research about a specific type of NGO in the Philippines—the technical service organizations (TSO) or Technical Assistance NGOs (TA NGOs). In this research, TA NGOs are defined as a non-profit non-government organization of technical professionals primarily in the urban planning, architecture, and engineering disciplines involved in community development work. Among the many NGO typologies in the Philippines, TA NGOs only emerged in the late 20th century but it increasingly gained recognition especially at the start of the new millennium in response to changes brought by globalization and urbanization.

Development work has always been the milieu of social development workers and activists ever since the social reform movement started in the 1950's. The emergence of TA NGOs composed of urban planners, architects and engineers in housing the poor is a relatively recent phenomenon.

The study examines the roles of TA NGOs or professional NGOs in the context of housing the poor in the Philippines, to understand how stakeholders in housing perceive technical assistance by professionals from the level of the government, community organizations, NGOs organizing and working in poor communities, academe, and other civil society organizations and interest groups working with the poor in relation to the problem of inadequate housing supply and the difficulty of the poor in accessing affordable and adequate housing units and serviced land, and the mushrooming of informal settlements in Philippine cities, particularly Metro Manila.

At the local context, a Philippine case study, the experience of TAO-Pilipinas, is presented and along with a review of case studies of TA NGOs in Thailand and Cambodia. By understanding these roles of TA NGOs in different contexts, improvements in technical assistance to poor communities will be achieved, relationships with other stakeholders in housing will be facilitated, and initiatives for helping the poor will be coordinated and more efficient.

1.3 Rationale

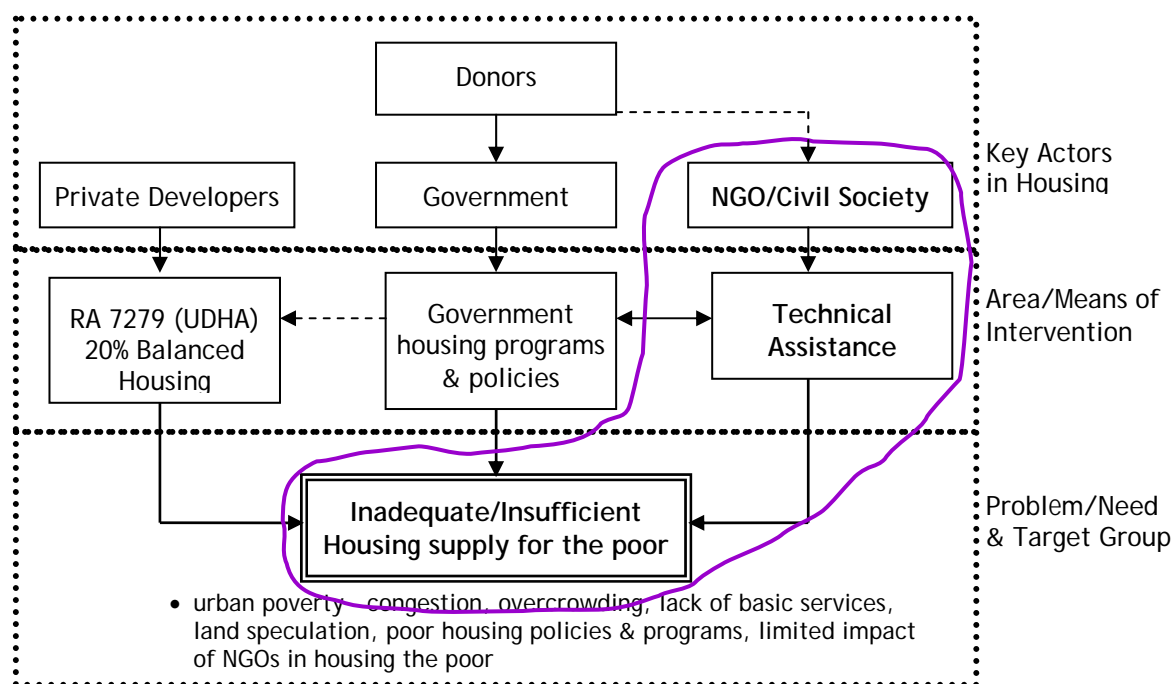
Interventions by the government to provide basic services like housing and security of tenure have largely been ineffective because of government's piecemeal and uncoordinated approach to housing development (MTDP, 2004). There is as yet no comprehensive national housing policy to really guide developments.

Civil society/NGOs have been helping the poor gain access to basic services and tenure security but in general they are also faced with the same problem of ineffectiveness. Community organizing NGOs mobilize the urban poor by tackling specific issues like water, sanitation, electricity, and health but no clear long-term targets/goals have been set or a comprehensive strategy conceived to tie-up relevant urban poor issues together which can direct various efforts into addressing major problems like housing and security of tenure. There is also rivalry among development NGOs for project funding and 'turfing' which has caused many overlapping initiatives and general ineffectiveness in addressing problems in poor communities. This waste in initiatives, human and financial resources is

usually at the expense of the poor. TA NGOs are relatively new to development work and the potential of technical assistance in facilitating people's access to basic services like housing and security of tenure has yet to be realized. This uncoordinated efforts and overlapping initiatives by NGOs, PO/CBOs and even government has also adversely affected TA NGOs. Communities and other development NGOs working in the communities have taken for granted the importance of technical expertise in support of the fight for the housing and security of tenure. This thesis will look at how TA NGOs can improve and sustain its work with the poor given the above scenario.

1.4 Definition of the Problem

Figure 1.4 Problem Analysis Summary (refer to Annex A-Problem Tree Analysis)



The Philippines is facing the problem of insufficient and inadequate housing due to growing urban poverty as evident by widespread insecurity of land tenure, lack of basic infrastructures and growing informality. Inefficient government housing programs has aggravated this and also made urban poor communities loose confidence in the ability of the government to provide for basic services like housing and serviced land. Currently the housing backlog is pegged at 3.6 million units and the government only targets 1.2 million units per year. And so far it has fell short of meeting this target. Government has failed in its role as provider and a growing realization is that government alone cannot provide for all these basic services.

Civil society/NGOs have always been active participants in housing the poor in the Philippines to fill the 'gap' made by government's inability as provider. The people, tired of waiting for the government to act, decided to take initiatives in housing with usually with the assistance civil society. The past decades have shown the growing role of NGOs in urban poverty reduction with the growing recognition of civil society contribution to housing and human settlements by international agencies like the United Nations and governments are forced to acknowledge this.

But access to housing and serviced land is still a difficult and frustrating process especially for the poorest sectors of society even with NGO assistance. There is a need for organizing NGOs to develop alternative strategies and acquire new skills and capabilities in order to facilitate this access to housing, serviced land and basic services as lately, for

informal settlements to get the attention of government in their bid for housing and land tenure, a presentation of concrete development plans, studies and options for housing development is needed.

This is where the emergence of technical service organizations (TSO) or technical assistance NGOs (TA NGOs) in development work in the past decade has made an important contribution and impact by making available the technical expertise that used to be exclusive to those who can afford and inaccessible to NGOs and poor communities. But it is interesting to note that in several decades of development work only three TA NGOs are operating in the Philippines and the impact of their assistance have often been ignored or taken for granted. This research hopes to understand the roles that these TA NGOs play and hopefully this would lead to the enhancement of technical assistance to the poor in their bid for land, housing and access to basic services.

1.5 Objectives of the Study

1. To identify, understand, and analyze the roles as well as potentials and limitations that TA NGOs play in facilitating access to housing by the poor in general, and looking at the experience of TAO-Pilipinas in particular.
2. To assess the institutional framework affecting the relationships between various actors involved in housing particularly the NGOs, and examines how these actors interact to address the housing needs of the poor.
3. To review selected international experiences and case studies where NGOs play an active role in housing so as to see to what extent they can be compared to the Philippine situation and analyzed in this thesis.

1.6 Scope and Limitations

This is mainly an exploratory and descriptive case study of a local TA NGO called TAO-Pilipinas based in Metro Manila. Its focus is on the experience of the organization in its work with urban poor communities in housing and secure land tenure issues. The research also includes a review of two other TA NGO experiences in Metro Manila namely *Alterplan* and *Panirahanan*. Based on the author's experience in more than a decade of development work, only three TA NGOs, defined in the context of this research as non-profit organizations of planners, architects and engineers working with the poor in housing, currently operate in the Philippines among thousands of development NGOs on land and housing issues. The experiences therefore of these TA NGOs are relevant and were used in this research. Two international TA NGOs in Thailand and Cambodia are also included to provide an international perspective to the local TA NGO cases.

The method of data gathering is mainly participant observation and interviews. Due to limited resources interview with government housing agency was limited to the National Housing Authority (NHA) in charge with housing production and delivery. For partners NGOs, interviews were with Urban Poor Associates (UPA) for urban renewal communities affected by the Pasig River Rehabilitation Program (PRRP) funded by the Asian development Bank (ADB), Community Organizations of the Philippines Enterprise (COPE) which is until the present an active partner of TAO-Pilipinas for communities affected by the Philippine National Railways (PNR) rehabilitation project.

People's organizations (POs) interviewed were past and current organizations assisted by TAO-Pilipinas in cooperation with partner NGOs namely KABALIKAT in Barangay Baseco, South Harbor, Manila City as the first community that TAO-Pilipinas became involved with, SANAGMANA in the Municipality of Valenzuela which is currently being assisted, SAPSPA in Tondo, Manila as the longest PO involvement, NALAMA in UP Campus as a unique case, and DAMPA a PO which has evolved into an NGO working in various communities in the region.

TAO-Pilipinas has been cooperating also with several academic institutions but they were not included in this research due to time and resource constraints. Also, only two international TA NGOs were selected for review due to the same reason.

1.7 Description of the Research Area

Metro Manila, also known as the National Capital Region (NCR), is the smallest region in the Philippines in terms of area but with the highest population density at 15,617 persons/km² as against the national average of 260 persons/km² in only 0.2% of the country's total land area. It has 17 cities and municipalities with a population of 12 million in 2000 projected to reach 14.8 million in 2015 and an annual growth rate of 3.3%. (ADB, 2005)

Land ownership in the Philippines is absolute and majority of alienable and disposable lands are privately owned or controlled by a few powerful families, individuals, or organizations making access to land difficult. Metro Manila as the nation's capital is also experiencing rapid urbanization, unchecked population growth leading to congestion and over-crowding, homelessness and deterioration of quality of life.

Currently, 20% of the population in Metro Manila lives below the poverty line and 35% of the population lives in informal slum settlements—blighted urban areas lacking in basic social services and infrastructure and security of tenure. (ADB, 2005)

TAO-Pilipinas has been working in several urban poor communities in Metro Manila for the past five years. Although its operations has taken it to the north and southern parts of the Philippines, for the purpose of this study due to resource limitations, the urban poor communities in Metro Manila is the main research area.

1.8 Research Questions

Based on the above rationale and objectives this research answers the following primary questions:

1. What are the roles that professional TA NGOs play in facilitating housing access by the poor?
2. Who are the actors TA NGOs are involved with in housing provision for the poor?
3. What are housing policies/programs that enable or hinder technical assistance by TA NGOs to work in housing the poor in the Philippines?
4. What are local and international TA NGO processes or experiences that serve as good examples in addressing housing the poor issues especially in the Philippine context?

This research also addresses the following secondary questions:

- a) *How do these housing actors see TA NGO roles in housing?*
- b) *Based on these roles what are strengths, weaknesses, opportunities and threats (SWOT) of TA NGOs in facilitating access to housing by the poor?*
- c) *How do these actors interact with each other in order to address the housing problems?*

1.9 Research Methods

Two methods were used to gather data for this research: Primary data through fieldwork and secondary through desk study and documents review. This is further described below.

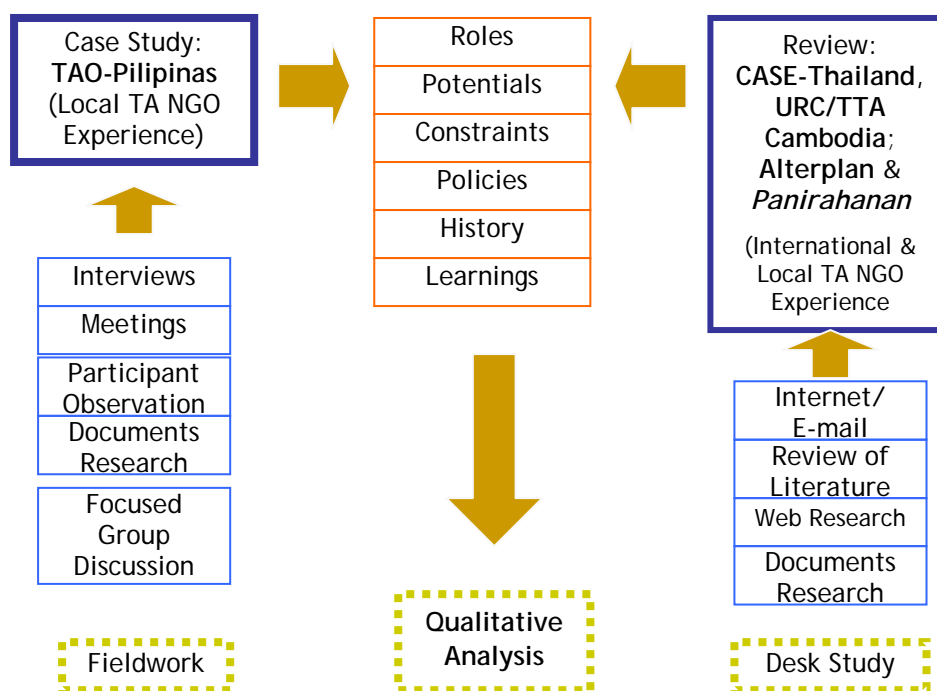
1.9.1 Primary Data Gathering Strategy

Primary data collection was done through participatory observation, workshop, field visits, focus group discussions and key informant interviews. Participatory observation and some focused group discussions were done with TAO-Pilipinas staff as well as the author joining the regular activities of the organization especially in the communities to

get a feel of the work and experience the interaction with other actors. For TA NGOs, interviews were conducted with the executive directors of Alterplan and *Panirahanan*. Community visits, group discussions, community meetings and interviews with TAO-Pilipinas partner POs were done particularly in Baseco, South Harbor, Manila City (KABALIKAT); Navotas, Municipality of Malabon (SANAGMANA); Barangay Magsaysay, Tondo (SAPSPA); and informal settlements inside the campus of the University of the Philippines in Diliman, Quezon City (NALAMA).

An interview with a key official of the National Housing Authority (NHA) was done as well as consultations with some CMP originators like DAMPA and COPE. CMP has been the most responsive housing loan assistance program of the government which has benefited between 1989 to 2003, 140,650 poor families in 1,126 communities secure housing and land tenure all over the Philippines⁴. Interviews were also done with TAO-Pilipinas partner NGOs: Urban Poor Associates (UPA), Community Organizations of the Philippines Enterprise (COPE), and DAMPA to gather information on how they understand the role of TA in relation to community organizing or CMP origination in the poor communities.

Figure 1.9 Research Process



1.9.2 Secondary Data Gathering Strategy

A desk study and web research was conducted to gather additional documents on the experiences of the three TA NGOs, the Philippine housing legislations, policies and programs in government housing agencies, and from resource center databases, related case studies, researches, surveys and publications. For the selected international TA NGO experiences, materials were gathered from past interviews and reports, the Web and email correspondences. It would be interesting to see and present the learning experiences of these TA NGOs in parallel with the local experiences of TA NGOs in the Philippines.

⁴ From the article *Behind “win-win” - the politics, interests, and ideologies within subsidized housing development* by Diana Mitlin

1.9.3 Criteria for Selection

The primary focus of this research is the experience of TAO-Pilipinas, Inc. a TA NGO that has been working with poor communities in the Philippines for the past five years. To the author's knowledge, in her more than a decade of development work experience in the housing sector, one of the only three TA NGOs in the Philippines. TA NGOs in the context of this research is defined as non-stock, non-profit, non-government organizations primarily composed of technical professionals in the planning, architecture, and engineering disciplines conducting development work employing participatory processes. The author has worked with this organization in the past.

TAO-Pilipinas has been involved in urban upgrading and community development planning of several informal settlements in Metro Manila and other provinces like in the Bicol and Visayas Regions, Aurora and Bulacan provinces for the past five years. It is also linked to several housing and urban poor NGO networks like TRICOR, NGO Network of CMP Originators, and CBOs like DAMPA.

The experiences of two other TA NGOs— Alterplan and *Panirahanan*, were also reviewed—Alterplan because it has been providing technical assistance to housing cooperatives and *Panirahanan* in urban poor communities also affected by government infrastructure projects in Metro Manila. Both Alterplan and *Panirahanan* were established at least a decade before TAO-Pilipinas. But the roots of the three organizations were from the same university, the University of the Philippines (UP) in Diliman, Quezon City.

For international TA NGO case reviews, two were selected: CASE-Thailand and URC-Cambodia/Teang Tnaut because TAO-Pilipinas is part of the network of these organizations and there are a lot of similarities in the overall character of the organizations—all have architects as staff and have been working directly with poor communities using participatory process in cooperation with organizing NGOs/social workers.

1.9.4 Framework for Analysis

Two main activities were conducted after field research and data gathering to process and analyze the data.

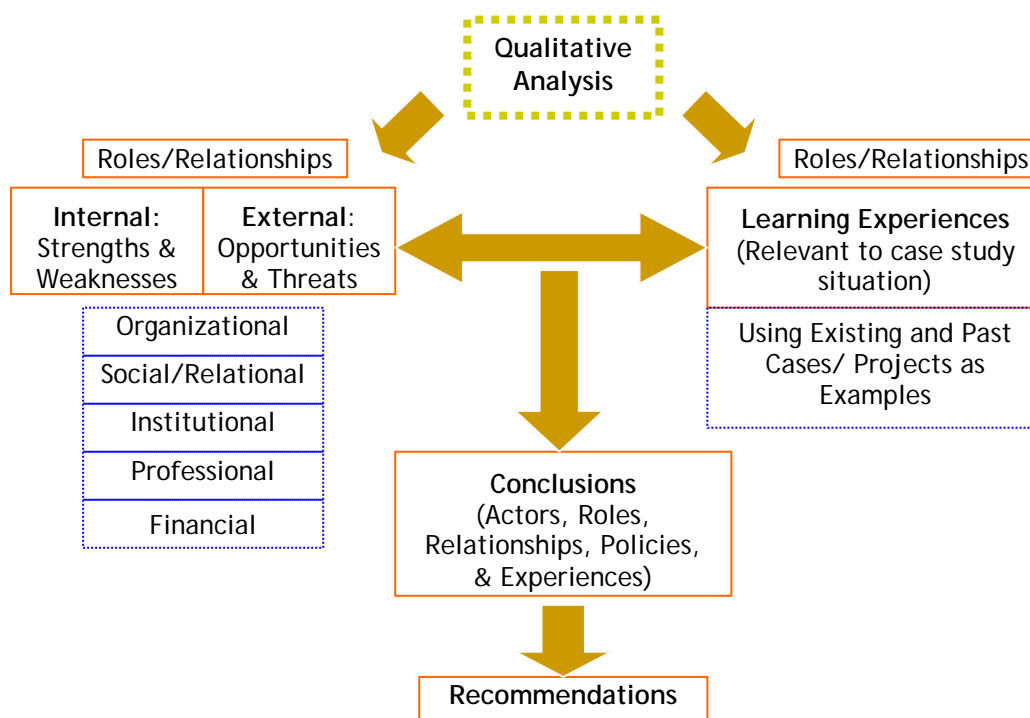
First is the analysis of the case study on TAO-Pilipinas, presenting information about the organization, its vision, mission, objectives, programs, and projects. The organizational structure was also presented. Then housing actors that relates with the organization were identified and their relationships described diagrammatically. In each interaction the roles as perceived by the actors were identified.

A simple analysis of strengths and weaknesses, opportunities and threats (SWOT) of the organization's roles was done, identifying internal and external factors that impact on its relationships with various housing actors.

Elements were then identified, classifying SWOT into organizational, social/relational, institutional, professional and financial. Since conducting an actual SWOT exercise was not possible, the data used were based on the latest SWOT exercise of the organization and validated through participant observation, group discussions and interview with key persons in the organization.

Next, the learning experiences of other TA NGOs local and international were reviewed and relevant experiences relating to the SWOT analysis of the TAO-Pilipinas' role were linked and lessons drawn forming the basis for the conclusions and recommendations.

Figure 1.9.4 Analytical Framework



1.10 Thesis Structure

Chapter 1 provides the introduction and general background of the research, definition of the housing problem in the Philippines and rationale of the study on TA NGOs including scope, limitation, and research methodology.

Chapter 2 reviews relevant literature, concepts and theories regarding the development of civil society/NGOs in human settlements as supported by international declarations and covenants. The challenge of urban poverty as manifested by growing homelessness and insecurity of tenure; lack of access to basic services, facilities, and financial resources; residential segregation; inequality and lack of participation of communities in decision-making has brought a different kind of need for assistance in the poor communities which facilitated the emergence of professional TA NGOs in housing the poor.

Chapter 3 covers the local context of NGO development, focusing on the Philippine legal and institutional frameworks which enabled NGOs to flourish and continue operation. The Philippine housing situation is discussed in Chapter 4 followed by the Case Study on the TAO-Pilipinas experience in Chapter 5. Chapter 6 review other local and international TA NGOs experiences, focusing on the learnings analyzed alongside the TAO-Pilipinas experience. Finally Chapter 7 presents the conclusion and recommendations including highlights and summary results of the case study and TA NGO experiences learnings. Strategies for future actions were also incorporated.

At this point suffice it to say that there is a need for further research on the subject of TA NGOs as this research is not an exhaustive study. Also, this is the first time to the knowledge of the author that a study has been done on TA NGOs in the Philippines. This research will be a good start-off point for further studies on the subject of TA NGOs like the conduct of evaluation or assessment of the impact at the social, economic, organizational, technical, aspects among others of TA NGO at the PO/grassroots, NGO, and government levels. This would provide a better gauge of TA NGO relevance in housing the poor and also contribute to the enhancement and furtherance of technical assistance work in poor communities.

Chapter 2 Literature Review and Theoretical Framework

2.1 Introduction

This chapter begins with a brief discussion on the growing urbanization of poverty happening in cities of developing countries aggravated by globalization and rapid urbanization. A discussion on the increasing relevance of civil society/NGOs role in the fight against poverty follows expounding on concepts about civil society/NGO which leads to some theoretical discussions on the development of NGOs and later emergence of technical assistance as an NGO typology. Also, a definition of TA NGO was drawn.

2.2 Globalization and Civil Society roles in shelter development

A growing concern has developed among nations of the world on how cities, especially in developing countries, can cope with the increasing rate of urban poverty manifested by homelessness, insecurity of land tenure, poor housing conditions, poverty, and urban crime⁵ brought as a consequence of globalization and rapid urbanization.

In 2005, 3.17 billion people, almost half of the world's population of 6.45 billion, already live in urban areas and 95% of the urban expansion will be found in cities of developing countries. The global slum population is increasing at a rate of 27million per year from 2000 to 2020, with one in every three persons living in slums and one-quarter to one-third of all urban households living in absolute poverty⁶. The UN also refers to this lack of access to adequate housing and tenure as housing poverty.

One positive aspect came about with globalization and urbanization—it opened up new political spaces where the poor and the excluded can engage in different forms of social organization. The creation of social movements facilitated by the proximity to urban-based political and social institutions (civil society organizations and other pressure groups) allowed for local differentiation or local responses to global forces. Globalization nurtured the organizational capacity of the poor by encouraging them to be agents of their own development through savings mobilization, self-help, and capacity-building. In some cases like the Philippines, Sri Lanka and Thailand⁷ they were able to influence national and international policies to certain extents (*glocalization*⁸).

At the start of the millennium, cities were widely promoted as “engines of (economic) growth⁹”. (WB, 2000; UN Habitat, 2000) But recent challenges in the cities' development show that it is more appropriate for cities to be regarded as “agents of change” instead of “engines of growth” in order for cities to advance social justice and environmental sustainability. Globalization should serve goals beyond economic growth and to ensure that costs and benefits of globalization are equally distributed, new forms of urban

⁵ See UN Habitat Report on Basic Facts About Urbanization 2000

⁶ From the UN Habitat Report *State of the World's Cities 2006/7*

⁷ from UNESCAP publication *Living in Asian Cities*, No.1, November 1998 issue originally published in 1996

⁸ Glocalization as defined by the UN is a hybrid economic, political, and cultural structures and processes associated with the growing interdependence of local and global forces including the possibility of the creation of new grassroots politics.

⁹ In the speech by Kofi Annan, 2000 in Making Cities Work Urban Strategy: *"We have entered the urban millennium. At their best, cities are engines of growth and incubators of civilization. They are crossroads of ideas, places of great intellectual ferment and innovation...cities can also be places of exploitation, disease, violent crime, unemployment, and extreme poverty...we must do more to make our cities safe and livable places for all."* Available at <<http://www.makingcitieswork.org/>>.

governance and political strategies needs to be developed and this also involves a change in the relationship between public, private and civil society. (UN, 2001)

2.3 International Declarations on Human Settlements Development in relation to NGO/Civil Society Roles

The United Nations¹⁰ recognizes the failure of existing approaches in addressing problems brought by urban poverty like access to adequate housing, infrastructure and basic services. That many of these current approaches are harming the poor and are not helping the long-term sustainability of cities. Therefore new and innovative ways of managing and governing cities is needed. In these, local governments play the critical role as facilitators in decision-making and in coordinating various needs of private and organized elements of civil society.

To make urban governance work, four key elements were identified: (1) decentralization; (2) civil society participation in decision-making; (3) multi-level governance and partnership by public, private, and civil society institutions to resolve urban problems; and (4) process-driven and territorially based decision-making and policies. Although housing and the provision of basic services for the poor is mainly a national responsibility, collective international action by governments and NGOs can provide vital support for these activities directly and indirectly. (UN Habitat, 2000)

The rise of NGOs as major actors in shelter is a recent phenomenon (UN Habitat, 1996) but it is supported by numerous key international declarations and initiatives. Foremost is the adoption of the Universal Declaration of Human Rights in 1948 and the right to shelter i.e. adequate shelter/housing is an important component to the right to an adequate standard of living and that action is required not only by governments but by all sectors in society, including non-governmental organizations:

International Housing Rights:

*“We reaffirm our commitment to the full and progressive realization of the right to adequate housing as provided for in international instruments. To that end, we shall seek the **active participation** of our public, private **and non-governmental partners** at all levels to ensure legal security of tenure, protection from discrimination and **equal access to affordable, adequate housing¹¹ for all persons and their families.**” (Istanbul Declaration (1976) Adopted by UNCHS 1996: Para 8)*

In the Habitat Agenda, the Global Plan of Action of Habitat II held in Istanbul in 1996 acts as the catalyst for action in the improvement of the urban environment. The following focuses on linking sustainable human settlements development with the participation of civil society regarding actions/implementation at the local level on shelter provision:

Adequate Shelter for All

*“The provision of adequate housing for everyone requires **action** not only by governments, but by all actors of society, including the private sector, **non-governmental organizations**, communities and local authorities, as well as by partner organizations and entities of the international communities” (Habitat Agenda, 1996: para 61).*

¹⁰ From Cities in a Globalizing World

¹¹ *Adequate housing* defined by the UN Habitat Agenda includes the following: aside from a roof over one's head it should also include adequate privacy, space, physical accessibility, security, security of tenure, structural stability and durability, lighting, heating and ventilation, basic infrastructure, suitable environmental quality and health-related factors, and adequate and accessible location with regard to work and basic facilities, and all should be available at an affordable cost.

Sustainable human settlement development in an urbanizing world

“Sustainable human settlements development requires the active **involvement of civil society organizations**, as well as the broad-based participation of all people. It equally requires responsive, transparent and accountable government at the local level. Civic engagement and responsible government both necessitate the **establishment and strengthening of participatory mechanisms**, including access to justice and community-based action planning, which will ensure that all voices are heard in identifying problems and priorities, setting goals, exercising legal rights, determining service standards, mobilizing resources and implementing policies, programmes and projects” (Habitat Agenda, 1996: para 181).

Similarly, paragraph 237 of Habitat Agenda (1976) and the Global Strategy for Shelter to the Year 2000 (1988) also put emphasis on the role of civil society organizations as the ‘watchdog’ of the commitments to the Habitat II conference in Istanbul¹². In 1987, an NGO forum was convened by 45 Third World based NGOs and 12 international NGOs in Kenya and drafted the **Limuru Declaration** on the basis of their commitment to fight the current trends of increasing homelessness, over-crowding, lack of basic services, forced evictions, and other forms of socio-economic deprivations.

Table 2.3 Timeline of Influential International Events on Human Settlements¹³

1950	(1956) UN ECOSOC establishes Center for Housing Planning and Building
1960	(1961) Koenigsterber Action Plan for Singapore (1966) Charles Abrams “Housing in the Modern World” (1966) John Turner paper at UN Conference in Pittsburgh
1970	(1972) John Turner “Freedom to Build” published (1972) UN Stockholm Conference on the Environment (1972) First World Bank Sites and Services projects (1974) The UN Environment Program is established (1975) World Bank Housing Sector Policy paper (1976) Barbra Ward “Home of Man” published (1976) UN Conference on Human Settlements Vancouver (1977) Habitat International Coalition (HIC) established (1978) UN Center for Human Settlements established in Nairobi
1980	(1985) ESCAP/UNCHS Joint Section on Human Settlements established (1987) HIC reconstituted (1987) International Year of Shelter for the Homeless (1987) NGO Forum convened and Limuru Declaration drafted (1987) UNCHS/UNDP/World Bank Urban Management Programme Phase 1 (1988) Global Shelter Strategy to the Year 2000 (1988) Asian Coalition for Housing Rights (ACHR) established
1990	(1991) World Bank Urban Agenda for 1990s (1991) UNDP Cities People and Poverty Programme for 1990s (1992) Rio Earth Summit (1993) Population Conference Cairo (1995) Social Summit Copenhagen (1995) Women’s Summit Beijing (1996) City Summit Habitat II Istanbul
2000	(2006) World Urban Forum in Canada

The Limuru Declaration set the distinction between NGOs from community-based organizations (CBO) in that NGOs work beyond the local level. It identified problems in NGO interaction with CBOs, the government and donor agencies and also outlined the

¹² From the UNCHS Guide for Civil Society Organizations for the Implementation of the Habitat Agenda, Final Draft, February 1998.

¹³ Adapted from UNESCAP Influential International Events Table available at <http://www.unescap.org/huset/living/inter.htm>

critical roles that NGOs play in defending people’s rights to shelter, bridging the gap between the government and community, and supporting community-based initiatives. Critical is the recognition that NGOs and CBOs cannot solve all the problems of homelessness and inadequate shelter without the support of enabling policies and legislations by the government. (UN Habitat, 1988)

Finally, a plan of action was defined focused on four key areas: eviction issues, media campaign, strengthening partnerships with international agencies, and the creation of ‘project pools¹⁴’ at regional level. A general timeline of important events in human settlements is presented in Table 2.3 with the major declarations and activities highlighted.

2.4 General Concepts in Civil Society/NGO Development

The previous discussions provided a general global account of NGOs relevance in shelter and human settlements against poverty and homelessness but no mention has been made of TA NGOs specifically—how it came about and what is its specific role in the whole issue of housing provision for the poor. At this point, key terms will be discussed regarding civil society and NGOs to set the context of these concepts in this thesis later focusing more on TA NGOs. Since extensive literature have already been written by researchers, scholars and practitioners on civil society and NGOs, this thesis will only give a brief account of how these concepts developed. Discussions will focus more on how they relate and contribute to the emergence of TA NGOs.

2.4.1 Civil Society, NGOs and CBOs: A Definition

Global interest in recent years has increased in a ‘broad range of institutions’ that occupy the social space between market and state. (Salomon, et. al. 2003) Also known as ‘non profit’, ‘voluntary’, ‘third sector’, ‘social economy’, ‘third way’, ‘third sector’, ‘NGO’, ‘voluntary’, ‘charitable sector’—civil society’s relevance has grown considerably especially in developing countries where the incidence of urban poverty and homelessness is remarkably high. (UNCHS, 2000)

Historically, civil society was referred to as “*every facet of society that was not included functionally and institutionally within the State*” and represents a mixture of the voluntary sector with business and economy. A lot of debate and challenges has been done over this ‘traditional’ view of civil society especially with the emergence of capitalism in the 19th century, by political philosophers and scholars like Hegel and Gramsci¹⁵. But a differentiation was later articulated between civil society, the state and economy by the German philosopher Rudolf Steiner through his threefold concept of society¹⁶. (CADI, 2002)

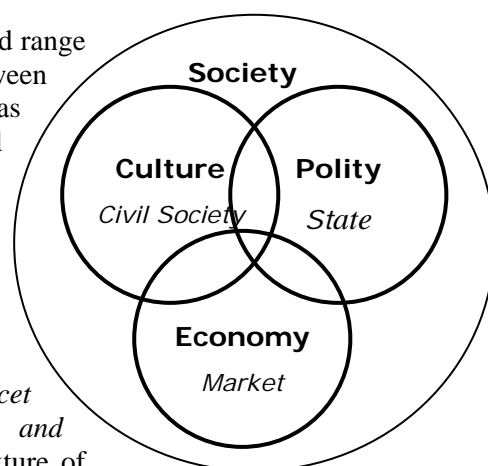


Figure 2.4.1 Three Fold Concept of Society

¹⁴ Intermediate institutions at regional level that will identify NGO programmes needing funding, provide technical assistance, and assist in formulating requests. It would also facilitate links between local NGOs and donor agencies and provide mechanisms to facilitate funding flows

¹⁵ Taken from the Civil Society webpage of the Center for Alternative Development Initiatives (CADI), a Philippine-based NGO website available at <http://www.cadi.ph/civil_society.htm>

¹⁶ for details on three fold model refer to Nicanor Perlas’ book *Shaping Globalization: Civil Society, Culture Power and Threefolding*, 2000 available at CADI website

In the three fold concept (Figure 2.4.1) the societal realm is made up of the interaction and interrelationship between *culture* represented by civil society, *polity* by State, and *economy* by market. Steiner was able to demonstrate the independence of *culture* from *state* and *economy* although he also stressed that *culture* is functionally related to both as it is *culture* that provides the creative dimension for *state* and *economy*. The later usage of the term *civil society* emerged as a reaction to the totalitarianism of states and markets and served as the venue for the articulation of people's agenda and concerns all over the world¹⁷.

From this *civil society* came to be referred to as '*the active and organized formations of associations in the cultural sphere*' where non-government organizations (NGOs), people's organizations (POs) or community-based organizations (CBOs), and religious or church-based groups are included. (CADI, 2002) A more operational definition was given by Johns Hopkins University¹⁸ in their empirical study on the non profit sector in 40 countries initiated in 1991. They defined *civil society* as composed of '*a broad array of organizations that are essentially private i.e. outside the institutional structures of government; that are not primarily commercial and do not exist primarily to distribute profits to their directors, that are self-governing; and that people are free to join or support voluntarily.*' (Salamon, et.al. 2003)

All the above definitions of civil society are applicable. To simplify, **civil society** in this thesis means '*all social, cultural, religious, and non-profit economic organizations outside government but operating within the framework of law*' and **NGOs are a part** of this broader term as they are organized mainly for '*social action, community development, income generating and other purposes*'.¹⁹ (SATO ed., 2004)

2.4.2 Civil Society (CS) as a 'third force'

The Johns Hopkins University claim that there have been no empirical study done on civil society and on 1991 embarked on the comparative non profit sector project to document the scope, structure and role of civil society, explain the uniqueness of the sector, evaluate its impact and contributions as well as drawbacks, improve awareness sharing the results of the study and build capacities of institutions in the sector.

According to the study factors that contributed to growth of civil society include the breakthrough in information technology and literacy awakening the people to realize they have options and that change is possible; dissatisfaction with both the state and the market as mechanisms to solve interrelated social, economic, and environmental problems; its important contribution to the production of 'social capital'; expansion of the pool of educated professionals; and external factor like availability of crucial financial and human resources supporting civil society activities.

Two functional groupings of civil society were made: *service* which covers health, education, housing, welfare and economic development issues, and *expressive* which includes advocacy, cultural expression, community organizing, environmental protection, human rights, religion, political expression, representation of interests. Major findings of the study showed that civil society is a major economic force; the world's seventh largest

¹⁷ *ibid*

¹⁸ The Johns Hopkins Comparative Nonprofit Sector Project report on *Global Society: An Overview*

¹⁹ In *Civil Society and Democratization in the Philippines* by David Wurfel, Chapter 17, pp 215-223 of the book *Growth and Governance in Asia* edited by Yoichiro Sato published by Asia-Pacific Center for Security Studies

economy; and a major employer in the 35 countries studied²⁰. (Refer to Table 2.4 in Annex5)

The Philippines was among the developing countries selected for the study and it stood out together with Pakistan, Morocco, and Egypt as special cases as they do not really conform to the regional patterns of clustering based on the salient features of civil society organizations in the regions where they belong (Table 2.4.2a).

The Philippines bear a striking resemblance to Latin American countries in pattern like the concentration of civil society workforce in the service sector (66% paid staff vs. 44% in Latin America), prominence of fees and service charges in civil society revenues (92% vs. 74% in Latin America), and the heavy reliance on volunteers in social service provision (84% vs. 56% in Latin America). (Table 2.4.2b)

There is also above average civil society workforce engaged in expressive functions as a reflection of the recent history of citizen's protest against a repressive government.

These served to illustrate the potential of civil society as an economic force in society not only as a service provider.

In the Philippine case it is very interesting because it showed that this sector should not be taken for granted and it could really provide an alternative career, especially for technical professionals.

2.4.3 NGO Typology

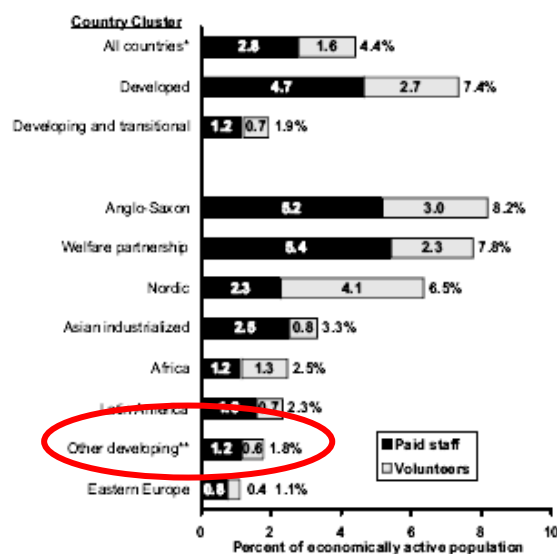
In the working paper of Davidson and Peltenburg²¹ they referred to NGOs as 'associations of people, often professionals who provide support to groups of the

Table 2.4.2a: Other Countries: CS workforce, composition, revenues

	All countries*	Developing and transitional	Egypt	Morocco	Pakistan	Philippines
Workforce¹						
FTE paid	2.8%	1.2%	2.7%	0.7%	0.6%	0.7%
FTE volunteers	1.6%	0.7%	0.1%	0.8%	0.4%	1.2%
FTE total	4.4%	1.9%	2.8%	1.5%	1.0%	1.9%
Composition of workforce^{2,4}						
Service	63.3%	62.5%	-	-	82.7%	59.9%
Expressive	32.4%	32.7%	-	-	17.3%	38.7%
Other	4.3%	4.9%	-	-	0.0%	1.4%
Cash revenues^{3,4}						
Fees	53.4%	62.3%	-	-	51.1%	91.6%
Government	34.9%	21.6%	-	-	6.0%	5.2%
Philanthropy	11.7%	16.1%	-	-	42.9%	3.2%
Total support (with volunteers)^{4,5}						
Fees	42.4%	51.4%	-	-	41.9%	53.7%
Government	27.2%	16.9%	-	-	4.9%	3.1%
Philanthropy	30.4%	31.7%	-	-	53.1%	43.2%

- * Workforce: 35 countries; composition, revenues, and total support 32 countries.
- 1 As percent of economically active population.
- 2 As percent of total civil society workforce (paid and volunteers).
- 3 As percent of total cash revenues.
- 4 Percentages may not add to 100% due to rounding.
- 5 As percent of total cash and volunteer support.

Source: Johns Hopkins Comparative Nonprofit Sector Project



* 35-country unweighted average.
 ** Egypt, Morocco, Pakistan, and Philippines

Table 2.4.2b: CS workforce as % of economically active population

Source: Johns Hopkins Comparative Nonprofit Sector Project

²⁰ FTE refers to full-time equivalent to quantify working employment data of civil society workers and make it comparable among countries and organizations

²¹ Government and NGOs/CBOs working together for better cities (draft) working paper published by the Institute for Housing and Urban Development Studies (IHS) in 1993

population in need of assistance'. **CBOs** on the other hand are *any type of formal or informal organization by a group of people living or working together in pursuit of a common goal* characterized by being focused locally and having direct accountability to members or constituents. (Davidson & Peltenburg, 1993) Further, Srinivas defines NGOs as *'regional, national or global in nature'* and that NGOs bring with them the *'collective knowledge and wisdom of its members, who are nodes in vast, in many cases global, networks'*.

In the Philippine context, **CBOs** are also called people's organizations or **POs**²² and what distinguishes NGOs from POs or CBOs is that the NGO sphere of action and influence is not confined at the local level. (Davidson & Peltenburg, 1993; Limuru Declaration, 1987) There many ways in which NGO can be classified. One such classification was cited by Davidson and Peltenburg from Bowden (1990) on a major study about the experience of working with NGOs in Asia. According to these authors, there are four types: consulting, welfare, development and advocacy. This typology was classified according to orientation. (Table 2.4.3a)

Table 2.4.3a NGO Typology by Orientation (According to Davidson & Peltenburg)

	1 st Generation	2 nd Generation	3 rd Generation
Type	<i>Welfare</i>	<i>Small Scale, Self-Reliant Local Development</i>	<i>Sustainable Systems Development</i>
Consulting			○
Welfare	○		
Development		○ (services, self-help, capacity building)	⊙ (capacity-building)
Advocacy			⊙ (advocacy, education)

Legend: ○ - small NGO ⊙ - large/intermediary NGO

In the Philippines, more 3rd generation consulting type NGOs are becoming common focused on sustainability in development issues. Development types are the most prevalent which focus on services, self-help, and capacity-building. Welfare types are becoming rare mainly because institutional supports are getting harder to access.

Srinivas and Tandon on the one hand classified NGOs according to the roles they take on with Tandon adding another dimension—that of an umbrella or network NGO as new classification (refer to Table 2.4.3b).

Table 2.4.3b NGO Typology by Roles (According to Rajesh Tandon)

Type	First Wave (19 th century)	Second Wave (Post War 70s)	Third Wave (1980s)	Recent
A. Service Providers	Welfare, service-oriented, relief & rehabilitation (Philippines, Chile)			
B. Empowerment		Development- oriented, organization & empowerment thru education (e.g. Popular Education NGOs in Latin America)		
C. Support			Provides sectoral or general support to grassroots NGOs in items A and B	
D. Umbrella or Network				Umbrella NGOs – formal attempts at NGO linking Networks – informal, limited purpose, time-bound associations of NGOs coming together for a specific issue

²² From Mary Racelis' *New Visions and Strong Actions: Civil Society in the Philippines in Funding Virtue; Civil Society Aid and Democracy Promotion* edited by Marina Ottaway and Thomas Carothers published by Carnegie Endowment for International Peace, 2000, pp. 159-87

Table 2.4.3c NGO Typology by Roles (According to Hari Srinivas)

Type	Reactive/ Traditional	Interactive	Proactive
Social Welfare	Charity & relief		
Mediation		Development & social action through communication	
Consultation			Support, documentation and dissemination of expertise and information

There are similarities or parallelism on how these authors see NGOs as reflected in the way they describe the NGO's development. Like NGOs started from being reactive focused on giving relief and welfare (1st generation), then becoming interactive by employing self-help, capacity building, development and advocacy (2nd generation) and finally becoming proactive and focusing on sustainability (3rd generation).

Srinivas further described the actors involved in each stage of NGO development. (Figure 2.4.3d) In his model, technical assistance professionals and experts are secondary actors in the consultative role where support in documentation and dissemination of information and expertise are critical. These proactive roles also support community development and empowerment.

He gave three broad approaches for concrete actions and projects towards community development and empowerment: *publicize*, *interact*, and *support*. *Publicize* includes award programs, multimedia campaigns, non-formal activities like street theater, newsletters, bulletins and documentation of case studies. *Interact* entails formal and informal community group meetings, workshops, site visits and interviews. While *support* includes mini grants, internships, leadership training, organizational and institutional development and management, surveys and information gathering skills.

Looking at Tandon's classification of the roles of NGOs, it can be said that these are more applicable in the Philippine context. But all these concepts helped in defining the role of TA NGOs which later emerged in response to the increasing need for professional technical assistance by poor communities in housing and land tenure issues. Figure 6 illustrates the position of TA NGO in civil society and the four NGO typologies identified were a combination of what the authors have identified.

Therefore, TA NGOs, based on the descriptions in each typology would be a combination of the first three types: **Welfare/service/charity** because of its direct assistance to PO/housing beneficiaries, **Empowerment/Advocacy/Education/Development** for its capacity building roles also in POs, and as **Consultation/Support** to other NGOs, especially in professional technical services. Figure 2.4.3b shows the position and relationship of TA NGO in civil society developed by the author from the concepts and models discussed in this chapter.

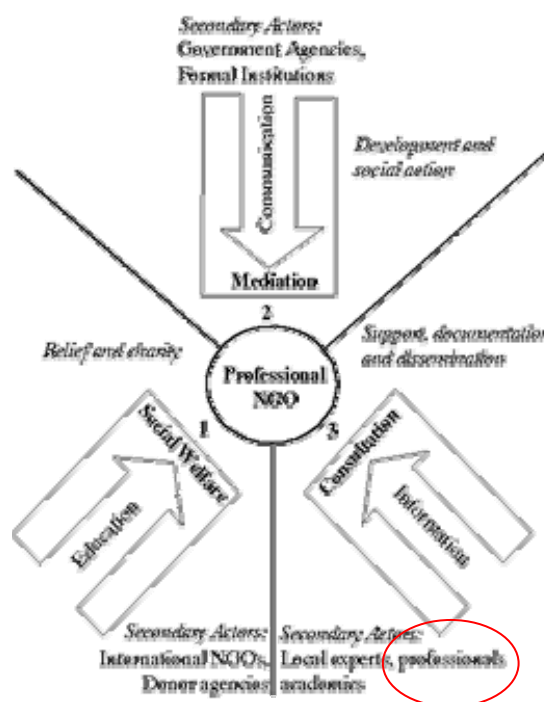
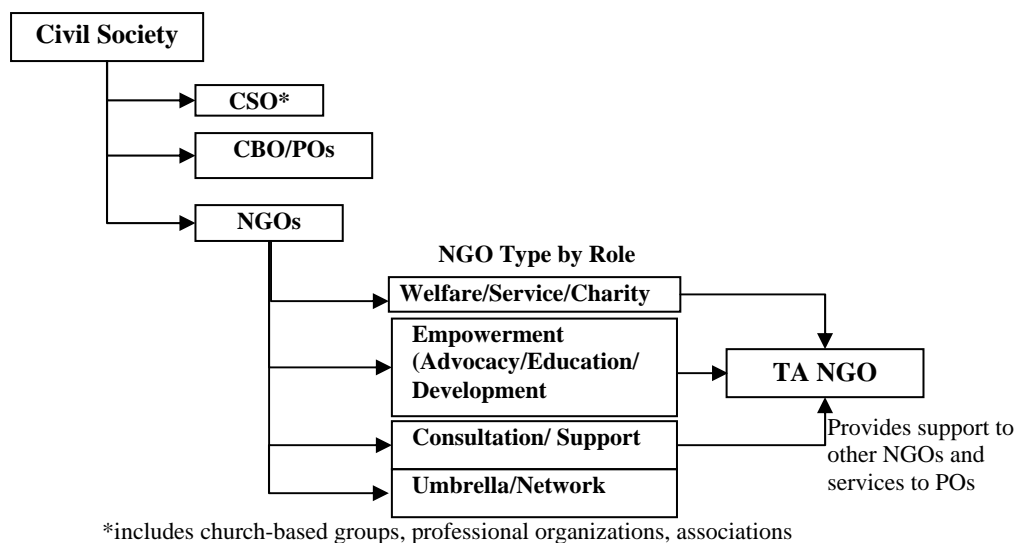


Figure 2.4.3a Three Roles of NGOs
Adapted from Hari Srinivas in NGO Partnerships for Sustainable Development

Figure 2.4.3b The TA NGO place in Civil Society
 (Developed by the author from the discussions on the concepts and models on civil society/NGOs)



2.4.4 The CO-CD approaches to community organizing

The emergence of TA NGO is a manifestation of the changing needs of the people—the POs/CBOs, and also the housing NGOs which are mostly focused on community organizing and community development. NGOs are now facing the challenge of having to develop new skills and capacities because of the changes in the type of assistance of the poor communities in housing and secure tenure issues. In the poor communities, NGOs use two methods in community work: Community organizing or CO and/or community development or CD.

Community organizing is described as ‘building organizations controlled by people normally shut out from decision-making power, which then go on to fight for changes in the distribution of power²³. People are recruited by community organizers to join in local organizations where they are made to choose the issue they want to pursue/address and also lobby these issues themselves. CO is not just winning issues but also building strong community organizations thereby empowering individuals and rebuilding community relationships. Historically, CO has been considered ‘confrontational and polarizing, targeting bad guys with actions and protests designed to cause embarrassment and wrest concession.²⁴ And it is said that the philosophy of confrontation, in this sense the division of society into ‘haves’ and ‘have nots’, still serves as the guiding principle of CO.²⁵

Community development on the other hand, involves ‘action that is purposively directed towards altering local conditions in a positive way²⁶, like building social relationships and communication networks. Some see CD as ‘synonymous to economic development characterized by efforts to recruit industry and services and to others, it serves to enhance the social realm that economies and other structures exist in’²⁷.

²³ Alinsky (1969, 1971), Beckwith (1997) as cited by Randy Stoecker (2003) in the article ‘Understanding the Development-Organizing Dialectic’, *Journal of Urban Affairs*, vol.25, no. 4

²⁴ *ibid*

²⁵ Cortes (200) as quoted by Randy Stoecker (2003)

²⁶ Mark A. Brennan citing Wilkinson (1991); Luloff and Bridger (2003) in his article *IFAS Community Development: Toward a Consistent Definition of Community Development* published December 2004

²⁷ *ibid*

Activities involved in CD include organizing of meetings and conducting researches within the community to identify problems, assets, locate resources, analyze local power structures, assess human needs, and investigate other concerns that comprise the community's character. CD practitioners are sometimes referred to as social activists because they use social resources to get economic and political leverage that a community uses to meet their needs. (Wikipedia, 2006)

Both CO and CD methods use the assistance of TA NGOs in community work. For the CO, outputs by TA NGOs are powerful advocacy tools especially in government negotiations. For CD, the outputs are used for actual project implementation. Table 2.4.4 summarizes the difference between CO and CD. But actually in community work, it does not have to be one or the other. Both are actually critical to community work and should be optimized.

Table 2.4.4 Community Organizing (CO) versus Community Development (CD)

	Community Organizing	Community Development
Goals	Build community power	Create housing and business
Worldviews	Conflict – haves and have nots do not have common interests and relationships are zero-sum	Cooperation – haves and have nots have common interests and relationships are win-win
Strategies	Organize residents to confront elites and demand changes in the distribution of power	Cooperate with elites to fund or subsidize development of housing and businesses
Source of Human Capital	Residents, mostly volunteers, with borad-based neighborhood experience	Paid staff, mostly none-residents with specific technical expertise

Adapted from Randy Stoecker's 'Understanding the development-Organizing Dialectic' (2003)

2.4.5 TA NGO Definition

From the discussions earlier, there is yet no set definition for TA NGOs. Thus, for the purpose of this research, TA NGOs would refer to non-stock, non-profit, non-government organizations mainly comprised of, but not limited to, technical professionals from the planning, architecture and engineering disciplines undertaking community development work on land, housing and sustainable human settlements development issues by means of participatory approaches. Participatory approach in this research means the involvement of major project stakeholders in the planning, design, decision-making, plan adoption, implementation and management.

In the Philippines, development work has always been dominated by practitioners of the social science disciplines (e.g. community organizers, social workers, community development workers, theologians, political scientists, etc.) while technical professionals like urban planners, architects, and engineers have largely remained independent private consultants to NGOs. One possible reason could be the training given by educational institutions.

Technical students mostly focus on the 'hard' science courses and social sciences are electives and this does not really encourage students to have an appreciation of. Also courses are geared towards mainstream practice– professionals working for companies or going into private practice to cater to those who can afford to pay in open housing market and for profit.

But in reality, not everyone can 'afford' to pay and this social awareness is sadly lacking or simply ignored by technical professionals. Development work is also an unconventional career choice and therefore not usually considered as a career option.

Turner and Fichter (eds.) in their book *Freedom to Build* (1972) which explored the idea of housing from a variety of perspectives in terms of participation or the lack of by dwellers, gave an account of Turner's experience as a young technical professional

involved in low income housing in Latin America²⁸. Turner's experience was not through an NGO work but in government service but it was a typical experience even in the Philippine context. Young idealistic architects working with government housing projects and these architects have to contend with often times irrational government policies on housing, bureaucracies, corruption and political dynamics. Technical professionals are often not prepared to deal with these realities. And they learn it the hard way.

In the Philippines, the emergence of TA NGOs provided the formal venue for awareness and exposure. And even CSOs of late have actively campaigned to encouraged volunteerism in students and professionals in poor communities. But TA NGOs were able to provide relevant and deeper interaction and exposure to communities. But there is also the dilemma of how long and deep should the exposure be in order to give a significant impact on technical students and professionals, to influence their attitude and perspectives in dealing with marginalized sectors of society especially the poor and homeless in urban and rural areas.

This chapter established the growing importance of civil society and NGOs in the fight against the urbanization of poverty and also the development of different NGOs typologies over the past decades to address demand for assistance which the government cannot deal with alone. In housing, the growing need of the poor for technical assistance in order to access basic infrastructure and services and security in tenure has encouraged the development of TA NGOs.

Also, it is worth noting that since TA NGOs coordinate and work closely with different housing actors with differing approaches in community assistance and organizing, the awareness of issues and dynamics in development work contributes a lot to the understanding and further enhancement of TA roles in housing the poor.

²⁸ In Chapter 6 of *Freedom to Build* by John Turner and Robert Fichter (eds.), pp. 122-147, published in 1972.

Chapter 3 The Philippine NGO Movement

NGOs have played an active part in Philippine civil society especially in the latter part of the 20th century and this chapter briefly discusses how it emerged and developed into a strong force that it is today.

3.1 NGO Historical Development²⁹

Historically, the dynamic civil society movement of the Philippines today began during the Spanish Colonial period (1565- 1946) as native resistance to external threats. Filipino's developed their resistance to repression with the help of welfare associations and Roman Catholic parish organizations who had visions of empowering the marginalized alongside secret anti-church organizations (like the Masons). Filipinos educated abroad also brought back concepts of cooperativism and labour unions and during the Philippine Revolution in 1896-99, tactics used in the French and American Revolutions were applied by Filipinos during the war.

From the 1950-1960s, welfare groups involved in social work and rural cooperatives were formed because of agrarian unrest. The social reform initiatives were inspired by anticommunist sentiments which focused on rural reconstruction and community development (cooperatives, credit unions, self-help groups, etc.). The formation of western-style private foundations (non-political) was also encouraged during this time because of new laws which allowed the creation of foundations, scientific and research organizations.

During 1965-1972, there was the rise of new social movements as a result of deepening social crisis mainly led by Catholic and Protestant churches. Urban poor organizations emerged, and in the southern part of the Philippines (Mindanao) the testing of community organizing techniques started—'*Filipino style organizing blending local culture, values and social organization with conceptual frameworks and methodologies of Alinsky, Paolo Freire, Gustavo Gutierrez and Karl Marx*'. (Racelis, 2000) This period is also the peak of agrarian reform lobby, and the start of the involvement of the business sector in social reform by the creation of foundation/organizations focused on social responsibility.

In the Martial Law period from 1972-1978, there was a clampdown on all forms of social movements. NGOs then became an alternative channel in the pursuit of social change for activists (NGO work as "institutional work") and became known as the 'third alternative' for continuing political movement. There was also a spread of community organizing efforts in the midst of repression, people's organizations were sustained under the protection of church-based programs, and secular groups continued their campaign for social and political reforms.

During the dictatorship poverty and inequality worsened and new concerns emerged for the NGO sector like education, labor, disaster relief, consumer advocacy, research, gender and environment. Foreign funding increased channeled directly through NGOs or church-based organizations. Also, social action centers became the targets for church-based activism. Major development networks were formed as well as sectoral alliances between peasants, labor and youth. Professionals formed national and regional federations. Corporate foundations heeded the call for corporate responsibility.

From 1983-1986 marked the peak of open mass protest against the dictatorship and placed all these networks and alliances in the political forefront. The 1986 People Power Revolution was the culmination of years of hard work by the NGO sector and marked the

²⁹ From *History of the Third Sector: Philippines: Philanthropy and the Third Sector* available at <http://www.asianphilanthropy.org/countries/philippines/history_third.htm>

emergence of NGOs from the margins of society. With the new leadership, in 1987 the Philippine Constitution was revised to positively support the third sector. NGOs were encouraged to actively participate in governance and the democratization process. Grants were given to NGOs for development projects and allowed them equal opportunity to bid openly for government contracts and negotiate for funding of development projects. Coalitions were formed to further strengthen the NGO position.

The NGO community also had difficulty during this period because of the shift in focus – from protest to pro-action, from anti-dictatorship to defining policy alternatives. NGOs have to acquire new skills and attitude in order to adjust to this new political environment. (ADB, 1999) A drawback to all these democratization, NGO attention and resource availability is the mushrooming of quasi-NGO and ‘fly-by-night’ NGOs who take advantage of the situation like the “GRINGOs” (inspired or initiated by politicians to corner funds), “Bongos” (business NGOs used as tax shelters or for public image), and “Come ‘n Go’s” (one-time project NGOs initiated by entrepreneurs).

In 1989, to guard the sector, an apex organization for development NGOs was formed (Caucus of Development NGO Networks). This period is referred to as civil society’s ‘golden-age’ of coalition-building. In the 1990’s, the focus broadened when NGOs were considered key agencies for active people participation in their own development (Fugere, 2001) and in the latter half of the decade, the recognition of the role of civil society as a whole not just NGOs in their contribution to making democracy work.

3.2 Current Situation: Philippine NGOs

The Philippines, at present, has earned the reputation of an ‘NGO paradise’ or ‘NGO superpower’ (Racelis, 2000) not only because of its vitality and dynamism in reform efforts but also because of its vast number and extensive networks and coalitions. In Asia, the Philippines has the largest NGO population per capita. (Wurfel, 2004) In 1986, the Securities and Exchange Commission (SEC) which regulates and supervises all corporations, partnerships or associations in the Philippines officially registered 27,100 non-stock non-profit corporations³⁰. By 1992 it grew to 152,535. Another study done in 1997 by Cariño³¹ placed the range between 249,000 to 497,000.

However, estimates for grassroots NGOs whose organizers focus on empowering poor and excluded people, living and working with them in urban, rural and indigenous communities to overcome powerlessness and poverty number to only 5,000-7,000. Other registered NGOs are focused on more middle class activities like professional organizations, labor unions, academic institutions, church-related groups and welfare associations.

The registered 5,000 or more NGOs are usually referred to as development NGOs who typically organize poor people into POs empowering them to take better control of their lives and develop their communities through participation in active decision-making. According to Racelis, an educator and sociologist of the Institute of Philippine Culture (IPC) who has been actively involved with development and urban poverty issues in the Philippines:

“In recent years, both NGOs and POs have begun turning to other NGO groupings for their help in more specialized activities, like micro-finance enterprises, architecture for low-income families, educational scholarships, health care, farming technology, gender sensitization, vocational training and instituting peace processes in

³⁰ This includes foundations, associations, NGOs, religious organizations, cooperatives, other people’s organizations

³¹ Taken from the Alliance article written by Caroline Hartnell on the interview with Mayan Quebral, Executive Director of Venture for Fund Raising, an NGO based in Manila, Philippines.

warring areas. Other civil society groups find themselves being asked to respond to PO and NGO needs, including the media, research institutes, counseling groups, professional associations, and training departments of private business and universities.”³²

This shows how gradually the role of technical professionals in development work is becoming critical as the needs of the poor are becoming more complex and specialized especially in housing and security of tenure. TA NGOs are a minority. To the author’s knowledge, in the housing network that she has been involved with for more than a decade now, there are only three TA NGOs actively working with poor communities in the Philippines and these are *TAO-Pilipinas*, *Panirahanan*, and *Alterplan*.

Alterplan is the longest at 18 years, followed by *Panirahanan* at 13 years, and last is *TAO-Pilipinas* which is only 5 years old. Perhaps it is also good to review the reason why there are only a handful of these TA NGOs when TA can help in addressing the serious housing problem and mushrooming informal settlements in the Philippines today.

3.3 Philippine NGO Legal Framework

The success of the 1986 People’s Power Revolution enabled the NGOs to influence a change in the Philippine Constitution, enabling NGOs to have a decisive role in governance and the democratization process. This is explicitly stated in Article II of the 1987 Philippine Constitution:

Section 23. The state shall encourage nongovernmental, community-based, or sectoral organizations that promote the welfare of the nation.

And Article XIII also established the Rights of the People’s Organizations as follows:

Section 15. The State shall respect the role of independent people's organizations to enable the people to pursue and protect, within the democratic framework, their legitimate and collective interests and aspirations through peaceful and lawful means.

Section 16. The right of the people and their organizations to effective and reasonable participation at all levels of social, political, and economic decision-making shall not be abridged. The State shall, by Law, facilitate the establishment of adequate mechanisms.

The 1987 Constitution also differentiated POs from NGOs in Article II, Section 23 describing NGOs as ‘*independent private organizations involved in promoting the welfare of the majority of the population*’ while Article XIII Section 15 states that ‘*people’s organizations are bona fide associations of citizens with demonstrated capacity to promote the public interest and with identifiable leadership, membership and structure.*’

To implement the constitutional provisions on NGOs and POs, between 1986 and 1987, at least seven bills were filed in Congress but it was the National Economic Development Authority (NEDA) that was able to define the general framework for government-NGO relationship in its 1989 Board Resolution.

Five key points were emphasized (ADB, 1999):

1. No umbrella organization will be formed to accredit NGOs instead implementing agencies at various levels of government will be made responsible for accrediting NGOs.
2. Tax exemptions and duty-free importations will be provided to NGOs, subjects to certain procedures and guidelines

³² Ibid., p. 9

3. Government will not control but rather will enhance direct funding support to NGOs. It will provide for three modes (or windows) through which NGOs can avail of foreign funds. Government budgetary resources will likewise be tapped. Some amount of flexibility will be adopted in the application of government auditing rules and regulations to NGOs availing of overseas development assistance and participating in the implementation of government projects.
4. GO/NGO coordinating mechanisms at various levels of government will be set up, and the respective government department/agency/units will be given the authority to collaborate and negotiate with the NGOs. The Social Development Committee (SDC) of the NEDA Board of Directors will take the oversight function for GO/NGO relations at the national level.
5. NGOs should be informed of and consulted on all major policy and program decisions, accreditation policies, and proposed legislative programs/agenda that concern them.

Also, under the 1987 Constitution, two new features of representative democracy were added: the provision for sectoral representative to the House of Representatives of Congress and the institution of a system for people's initiative. These were later reflected in the Local Government Code of 1991 (LGC), the law that gave autonomy to local government units in the Philippines. A description of the roles, linkages and assistance of the State in relation to the decentralization and devolution³³ process is given in Chapter 4. Relations with People's and Non-Governmental Organizations:

Section 34. Role of People's and Nongovernmental Organizations. - Local government units shall promote the establishment and operation of people's and nongovernmental organizations to become active partners in the pursuit of local autonomy.

Section 35. Linkages with People's and Non-Governmental Organizations. - Local government units may enter into joint ventures and such other cooperative arrangements with people's and nongovernmental organizations to engage in the delivery of certain basic services, capability-building and livelihood projects, and to develop local enterprises designed to improve productivity and income, diversify agriculture, spur rural industrialization, promote ecological balance, and enhance the economic and social well-being of the people.

Section 36. Assistance to People's and Nongovernmental Organizations. - A local government unit may, through its local chief executive and with the concurrence of the sanggunian concerned, provide assistance, financial or otherwise, to such people's and nongovernmental organizations for economic, socially-oriented, environmental, or cultural projects to be implemented within its territorial jurisdiction.

Also in the LGC, Title 6 Local Development Councils, representation of NGOs is required in the Local Development Councils (LDC) at the provincial, city, municipal, or barangay level to participate in the formulation, coordination, monitoring and evaluation of development plans and projects.

Section 107. Composition of the Local Development Councils

- (a) The Barangay development council shall be headed by the Punong Barangay and shall be composed of the following members: (2) Representatives of non-governmental*

³³ "Devolution" according to the LGC refers to the act by which the national government confers power and authority upon the various local government units to perform specific functions and responsibilities.

organizations operating in the Barangay, who shall constitute not less than one fourth (1/4) of the members of the fully organized council.

- (b) The city or municipal development council shall be headed by the mayor and shall be composed of the following members: (4) Representatives of non-governmental organizations operating in the city or municipality, as the case may be, who shall constitute not less than one-fourth (1/4) of the members of the fully organized council.*
- (c) The provincial development council shall be headed by the governor and shall be composed of the following members: (4) Representatives of nongovernmental organizations operating in the province, who shall constitute not less than one-fourth (1/4) of the members of the fully organized council.*

Section 108. Representation of Non-Governmental Organizations. - Within a period of sixty (60) days from the start of organization of local development councils, the nongovernmental organizations shall choose from among themselves their representatives to said councils. The local Sanggunian concerned shall accredit nongovernmental organizations subject to such criteria as may be provided by law.

The General Appropriations Act of 1989 states that: “Government agencies are authorized to provide grants-in-aid to socio-civic, non-profit and other NGOs for operations and activities that are in line with services rendered by the government and within the mandate of the respective government agencies, whenever it is impractical or more expensive for the Government to directly undertake such operations and activities, subject to the accounting rules and auditing rules and regulations.”(para. --)

The Philippine President’s Social Fund (PSF) is one such appropriation under the Act as mandated by Section 12 of Presidential Decree 1869, series of 1983 from the earnings of PAGCOR (Philippine Amusement and Gaming Corporation) to finance small infrastructure and socio-civic projects. The PSF is at the discretion of the Office of the President and has indicated as part of its strategies for 2001-2004: *‘the mobilization of local groups and forging of stronger partnerships with NGOs and POs and closer cooperation with local government units (LGU) and national government agencies (NGAs).*^{34,}

The PSF is also not constrained by accounting and auditing procedures (by the Commission on Audit) like other funds. Many NGOs availed of this fund for small projects in the poor communities. NGOs also enjoy tax deductible incentives for contributions (after meeting certain conditions) under the Comprehensive Tax Reform Act of 1997. The government allowed this to encourage public service by NGOs and it is valid only for NGOs and foundations approved by the Bureau of Internal Revenues (BIR). In 1997, the Philippine Council for NGO Certification (PCNC)³⁵ was created to regulate NGOs and certify non-profit organizations to be eligible for tax incentives.

In housing, National Housing Authority (NHA), the primary shelter agency, has among its many delivery schemes the joint venture program with NGOs and POs which hopes to maximize participation and sharing of resources:

Joint Venture with NGOs and POs. Through a joint venture scheme, the NHA draws the participation and resources of non-government organizations (NGOs) as well as people’s organizations (POs) in housing provision. Community-based approaches, such as the Land Tenure Assistance Program, the Community Mortgage Program, the Community Land Acquisition Support Program and the Cooperative Housing Program

³⁴ From the final workshop report of Marietta Tamondong, *Enhancing the Collaboration between the Government and NGOs Towards Poverty Reduction in the Philippines, ICHUD, IHS, 2001*

³⁵ from the article of Randal Chamberlain *Regulating Civil Society* found in the PCNC website at <<http://www.pcnc.com.ph/certification.html>>

were adopted to mobilize NGO and community resources and initiatives. The NHA extends technical support in terms of identifying land suitable for development, preparing site development plans, accessing possible fund sources, and providing works engineering services. NGOs' and POs' contribution may be in the form of funds for development (from savings, proceeds from loans or grants) and the provision of labor for construction.

In actual practice though, the NHA and NGOs have always had difficulties working together as admitted on both sides during the interviews conducted by the author. Housing intervention strategies do not complement each other and the sense of rivalry on which group/agency is better at assisting the poor communities is evident. One such example is the experience of a TA NGO³⁶ with NHA in a housing project in Mindanao. NHA made the project design for a cooperative housing development and the NGO was officially asked by the PO to review the proposal.

NHA did not like the recommendations/findings of the NGO and they made the people choose between NHA and the NGO. The people chose the NGO because they saw that the comments they made were valid. And it was not supposed to be a choice between two organizations as the PO hired the NGO for project management of the housing project designed by the NHA. The current resurgence of informal settlements all over Metro Manila has also shown the ineffectivity or inadequacy of government resettlement projects where the NHA is the primary implementing agency. According to some NGO³⁷ studies, 50%-70% of the relocated families have returned to informal settlements/squatting due to deplorable living conditions in the government relocation sites. The NHA also is aware of this and in their own way they are also trying to rectify the damage and correct inadequacies³⁸.

In conclusion, definitely, there are many other legal issuances and policies in the Philippines to enable NGOs to participate in housing to alleviate poverty and homelessness which this review may have overlooked. But surprisingly, even with all these legal support, financial resources, and dynamism in NGO/civil society movements, the impact of NGOs still has been limited especially on policies and initiatives as also cited by Wurfel and HIC.

In general, all these legal issuances and policies are an acknowledgement that the government has limitations in terms of resources in the provision of public goods and services. And it can be said that there is a rich opportunity for NGOs to develop and encouragement for it to continue development work and for the government to open its doors to partnership with civil society groups. Also, realization that NGOs or the private sector alone for that matter cannot substitute the government effectively is a way forward. But there is a dire need for new and more practical approaches that would make all these efforts for the poor count.

The emergence of TA NGOs, described earlier as non-profit non-government organizations of technical professionals using participatory processes in poor communities, as one of the actors in this complicated and diverse arena of development work facing the perennial problems in housing the poor, is just another pillar to support the fight against urban poverty and homelessness. But also being new actors in development work, it is suffering from the lack of support and recognition for their efforts. But that is secondary to the question of given very limited human and financial resources of TA NGOs, how can technical assistance work in facilitating housing access to the poorest sectors of society be more effective?

³⁶ From the interview with Alterplan

³⁷ From the interview with UPA Assistant Coordinator, Teodoro Añana

³⁸ From the interview with Alma Valenciano, Director for the East-West Sector, NHA

Chapter 4 The Philippine Housing Situation

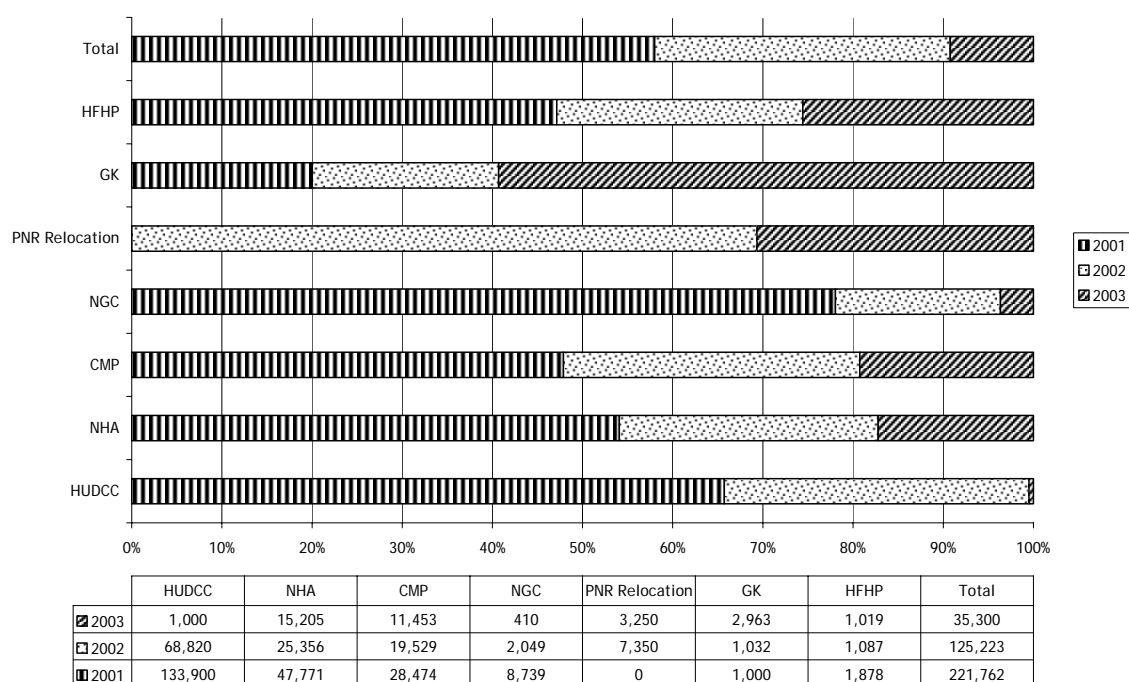
4.1 Background

The Philippine population ranks 13th in the world today at 76.5 million. UN Habitat estimates 44 million live in urban areas as of 2000 and will reach 74 million by 2020. 37% of the urban population already live in slums and projected to rise to 20million by 2020. Urban poverty has increased from 17.9% in 1997 to 20.4% in 2000 and still growing with government unable to meet demands for most basic services like housing and infrastructure.

4.2 The Housing Sector

The government, through its national shelter program administered by the Housing and Urban Development Coordinating Council (HUDCC) the primary coordinating agency for urban development and housing, targeted from 2001-2004, 1.2 million units of housing assistance or shelter security. (Refer to Annex B for National Shelter Program Structure). Housing trend from 2001-2003 (Table 4.2a) shows the decreasing number of units produced by government housing agencies and the increase in production of civil society initiated housing projects like *Gawad Kalinga* (GK) and Habitat for Humanity (HFHP).

Table 4.4 Housing Production Trend 2001-2003 based on HUDCC MTDP 2001-2004 report



As of June 2004 only reached 882,823 or 73.6% has been accomplished (Table 4.2b) and of the total 60% went to socialized housing (493,496 units) and 93% benefited the informal sector. But this is only 24.52% of the total housing backlog of 3.6million for the period 2001-2004

Table 4.2b Housing Target and Accomplishments, 2001-2004

Housing Package	Target HH	Actual Accomplishment				
	2001-2004	2001	2002	2003	2004 (June)	2001-2004
Socialized (below Php 225,000)	880,000	206,940	118,987	84,716	81,853	493,496
Low cost (Php 225,000-2M)	320,000	54,447	74,306	114,507	146,067	389,327
Total	1,200,000	262,387	193,293	199,223	227,920	882,823

Source: Housing and Urban development Coordinating Council (HUDCC)

But this accomplishment does not mean only actual number of houses produced but also include loans for house construction and renovation, lot purchase, and the number of families projected to benefit from the presidential proclamation of 73 informal settlement sites allocated for socialized housing. Proclamations still have to go through a lengthy regularization process (survey, beneficiary selection, award, and titling) and may be repealed and revised depending on the current administration's motive and inclination..

One major drawback in the Philippine political system is the lack of continuity and cooperation between incoming and outgoing administrations when it comes to government project targets and plans because of rivalry and competition. And the poor are the most adversely effected by this political dynamics.

Demand for housing has been increasing especially in the National Capital Region (NCR) and Regions III and IV (52% of housing need). Housing need in the Philippines is estimated to reach 3.7million units according to the 2005-2010 Medium Term Development Plan (MTDP). (Table 4.2c)

Table 4.2c Housing Need 2005-2010

Category	Total
Housing Backlog	984,466
Doubled-up Housing	387,315
Replacement/Informal Settlers	588,853
Homeless	8,298
Substandard (Upgrading)	186,334
New Households	2,585,272
Total	3,756,072

Source: HUDCC (as cited in the MTDP 2004-2010)

Housing targets for the next five years is pegged at 1.1 million or 30% of the total housing need for the period. And socialized housing gets the bulk of the share at 68%. According to the 2003 Family Income and Expenditure Survey (FIES), housing-related expenses accounts for 14.3% of non-food expenses of Filipino families. (Table 4.2d) In MTDP 2004-2010, the housing sector anchored on a multi-stakeholder/tripartite, market-based, private sector-local government unit-led reforms framework to meet its aim of job generation, shelter security and meeting the Millennium Development Goal 11.

Table 4.2d Housing Targets, 2005-2010

Housing Package	# of Units	% Share
Socialized Housing (below Php 225,000)	780,191	68.10
Low Cost Housing (Php 225,000 – 2 million)	365,282	31.80
Medium Cost Housing (P2 million – 4 million)	195	0.01
Total	1,145,668	100.00

Source: HUDCC, MTDP 2004-2010

The government has identified the following strategies: Expansion of private sector participation in social housing finance (through secondary mortgage) and construction; continue addressing housing requirements of the formal and informal sectors by scaling-up proven multi-stakeholder and cost-effective programs and improve security of tenure, land registration process and adopting innovative tenure arrangements to address affordability; strengthen institutional capacity of housing agencies i.e. elevating the HUDCC³⁹ into the Department of Housing and Urban Development (DHUD), organizational restructuring and streamlining, enhancement of collection efficiency, improving capacity of local government units in decentralization and further streamlining of permit processing for housing and land development.

³⁹ Housing and Urban Development Coordinating Council – main shelter and urban development coordinating agency in the Philippines headed by the Vice-President of the Philippines

But the MTDP targets in housing are not enough to respond to the housing needs. Perhaps the government is relying on the private sector to bridge the gap which is unlikely because majority of the housing need comes from low-income families. According to CODE-NGO assessment, a major factor for the government's poor performance in social housing programs is the lack of decisive leadership from HUDCC.

According to the findings of the Commission on Audit (COA) on housing sector performance audit report 2001-2004, the government's housing program has not been implemented effectively citing weak coordination among housing agencies and inadequate policies on land banking and distribution/disposition of available units. HUDCC's failure to establish performance indicators for the 2001-2004 accomplishments in the housing sector also led COA to believe that performance may be inaccurate. As for the NHA, COA found inadequacy in planning as evident in cases like in five NHA projects the target was only able to reach 2%-60% of target families. Also, cost of NHA units and capacity to pay of target beneficiaries do not match making the socialized housing project not affordable to the targeted lowest 30% of urban wage earners. Another is the presence of idle and undeveloped land acquired by NHA and the failure to collect amortization payments on time. All these have adverse effect on the government's ability to address the housing problems. (COA, 2005)

4.3 Key Features in Land and Housing in the Philippines

In 2001, Ballesteros identified some common key features in the land and housing situation in the Philippines⁴⁰ (Table 4.3) which until now are still issues that the Philippine government has been trying to address through its programs. The poor have actually taken the initiative to look for solutions or alternatives that are responsive to their needs because of the constant ineffectiveness or inadequacy of government programs that are trying to address these issues. These initiatives include self-help and incremental development.

Table 4.3 Land and Housing Key Features

Feature	Underlying Causes
Influx of population in major urban centers	<ul style="list-style-type: none"> • Significant socio-economic disparities among regions and between urban and rural areas
High unit housing cost relative to income	<ul style="list-style-type: none"> • Low wages, high unemployment • Construction cost rising faster than wages • High rate of increase of urban land prices
High rate of increase in urban land prices	<ul style="list-style-type: none"> • High rate of increase of urban land prices • Scarcity due to institutional problems (e.g. property rights, bureaucratic bottlenecks) • Holding of idle lands due to low land and property tax
Lack of long-term financing and unsustainable housing finance	<ul style="list-style-type: none"> • Undeveloped secondary markets • Graft and corruption • Poor subsidy transfer mechanism
Undeveloped rental housing market for low-income households	<ul style="list-style-type: none"> • Government bias on homeownership • Rent control law

The intentions of these initiatives are good but some studies show there are consequences like the low housing quality produced, substandard construction materials used, questionable structural integrity of houses that endanger lives, and poorly planned communities that impact on the quality of life, safety and well-being of people in the poor communities especially the vulnerable groups – children, women, elderly and the physically challenged. (Mitlin, 2005; Berner, 2001) In these, NGOs have made significant contributions in alleviating poor community conditions by helping and facilitating

⁴⁰ Marife M. Ballesteros' *The Dynamics of Housing Demand in the Philippines: Income and Lifecycle Effects* (Preliminary Draft), Discussion Paper No 2001-15, Philippine Institute for Development Studies (PIDS), 2001.

processes that address the issues of access to basic services like water, power, access road, land tenure and housing through organization, mobilization, education and capacity building together with TA NGOs.

4.4 Relevant Housing Programs for the Poor

In trying to meet its role as public good provider, the government has initiated housing programs targeting the poor, especially slum dwellers and informal settlers. NHA, the primary shelter producer agency has a mandate to provide housing for the lowest 30% in the income decile and some of these programs are undertaken by housing agencies in coordination with NGOs and POs like the CMP, NGC, and Railways Relocation.

Civil society initiatives like Gawad Kalinga and Habitat for Humanity Philippines have made quite an impact on housing production for the poor with its use of the spirit of giving/donation, volunteerism, '*bayanihan*' (helping one another), self-help, and sweat equity. There are also other groups quietly working in the background like Children International and Rooftops Canada, international organizations that have been working in partnership with the technical service organization Alterplan and have contributed to the production of housing for select poor groups for several years now.

4.4.1 Community Mortgage Program (CMP)

CMP is the government's poverty reduction program handled by NMHFC that enables low-income families threatened by eviction and demolition to gain security of tenure and access housing assistance. It encourages community initiatives and employs self-help and incremental housing approaches. Started in 1986, it was inspired by experiences in housing and community organizing of NGO leaders in the Aquino administration and owes much of its development from the 18-year repressive rule of Marcos. It primarily targets informal settlements occupying public and private lands in urban centers.

Target beneficiaries organize themselves into a community association to avail of a collateral-free communal financing scheme to purchase land and conduct site development. Loan documentation is facilitated by authorized *originators* (116 NGOs and 42 LGUs) for a fee of Php 500 (7.64Euro) per family or 2% of the loan take-out whichever is higher. Originators also ensure that the beneficiaries faithfully pay their monthly amortization. The housing loan has a subsidized fixed interest rate of 6% p.a. payable in 25 years and the loan ceilings are as follows: (Table 4.4.1a)

Table 4.4.1a CMP Loan Ceiling per Household⁴¹

Type of Loan	Metro Manila & HUC*		Other Cities	
	(Php)	Euro**	(Php)	Euro
Raw Land Acquisition	60,000	917.35	45,000	688.01
Developed Land Acquisition	80,000	1,223.13	60,000	917.35
Developed Land with Home Improvements	120,000	1,834.70	100,000	1,528.92

*HUC – highly urbanized cities with annual income of not less than fifty million pesos based on 1991 constant prices, as certified by the city treasurer; and its population is at least two hundred thousand (200,000) inhabitants, as certified by NSO (LGC, 1991).

** Exchange Rate: 1Euro = Php 65.40 as of August 27, 2006

From 1989 to July 2005, 168,988 families benefited in more than 1,276 communities in the Philippines amounting to Php 5.82 Billion (88,983,029 Euro) for land acquisition, site development or house improvement both on-site and off-site. The overall average loan per family is Php 34,442 (526.59 Euro). To date it is the most responsive and affordable government housing program and with the highest collection efficiency rate at 79% compared to other government housing projects. (Mitlin, 2005; Ortile & Vertido, 2006)

⁴¹ *ibid*

(Table 4.4.1b) Despite its ‘success’, the program suffers from severe budget cuts compared to other funds (Mitlin, 2005) and hindered by a cumbersome and tedious take out process (Oliveros, 2005). It also lacks long-term sources of funds and is severely affected by institutional and administrative inefficiencies within NHMFC. Another is the lack of support from some government officials because of the idea that it legitimizes squatting and low quality neighborhoods and that CMP conflicts with NHMFC’s mandate to promote/develop a secondary mortgage market to mobilize private sector participation in housing. Finally in 2003, initiatives taken by housing NGOs and POs paid off. The call for reform of NHMFC and make CMP independent of NHMFC succeeded with the creation of the Social Housing Finance Corporation (SHFC), an NHMFC subsidiary.

Table 4.4.1b CMP Performance⁴²

SUMMARY OF ANNUAL OF PERFORMANCE OF THE CMP, 1989 to 2006 ⁴³					
Household Reach, Credit Amount Released and Average Collection & Credit per Household					
YEAR	HOUSEHOLD REACH (# of HH)	CREDIT AMOUNT (in Php)	COLLECTION RATIO (in %)	AVERAGE CREDIT per HH (in Php)	REMARKS
1989	3,199	62,442,738	not available	19,519	From 1989 to 1995 financing for the CMP were sourced from provident fund agencies (SSS, GSIS & HDMF).
1990	12,440	237,374,140	not available	19,081	
1991	5,772	119,323,046	not available	20,067	
1992	4,923	129,882,537	not available	26,383	
1993	10,139	241,229,111	69.30	23,792	
1994	11,690	283,828,558	72.64	24,236	
1995	9,290	282,512,518	83.41	30,410	Funds for the CMP has been sourced from the General Appropriations legislated by Congress from 1996 to the present.
1996	10,192	311,985,102	81.40	30,611	
1997	14,591	495,323,580	77.34	33,947	
1998	10,844	387,447,545	77.43	35,729	
1999	5,668	209,191,621	67.90	36,907	
2000	6,088	196,458,622	72.04	32,270	
2001	9,457	346,824,660	71.49	36,676	
2002	12,331	484,616,631	80.22	39,301	
2003	14,026	609,984,014	78.22	43,489	
2004	14,129	588,114,329	not available	41,624	
2005	14,209	599,754,207	63.59	42,209	
TOTAL	168,988	5,820,307,632	--	34,442	

SHFC will directly handle CMP and other housing and projects for the poor like funding for post-proclamation sites and services, home improvement and voluntary relocation financing for communities affected by government infrastructure projects. (Mitlin, 2005) SHFC has just started operating in October 2005. Finally, because of CMP’s prominence as a flagship housing program for the poor, there is the challenge to improve the quality of origination work and produce viable community organizations because there is a growing demand for program services and the need for capacity building and technical training of community associations and their leaders is also increasing. (Ortile & Vertido, 2006)

4.4.2 National Housing Authority (NHA) Programs for the Poor

NHA’s mandate as the sole shelter production agency of the government (according to Executive Order 90) is to focus its efforts in housing provision to the lowest 30%

⁴² CMP presentation at the World Urban Forum in Canada July 2006 by Lucile Ortile, Secretary General of the *Housing and Urban Development Coordinating Council* and Dam Vertido is the Private Sector Representative to the Board, *Social Housing Finance Corporation*.

⁴³ Source: Social Housing Finance Corporation

or urban income earners through slum upgrading, squatter relocation, sites and services and core housing unit construction. Under the Resettlement Program there is the NHA-administered resettlement program, housing materials assistance, resettlement assistance for local government units; then Slum Upgrading; Sites and Services Development, Medium-Rise Housing, and Core Housing Program.

In the Community-Based Housing Program they have tenurial assistance, technical assistance to community associations and local government units. They also have programs for families affected by calamities through the emergency housing assistance program. For the delivery scheme they undertake joint ventures, CMP origination, direct delivery (housing developments), and technical assistance (all aspects of project development and local housing plan formulation). NHA accomplishment in 2001 on production program versus target reports 69% accomplishment. No updated data was available after as NHA is currently undergoing organizational re-structuring to streamline programs and services.

Table 4.4.2 NHA Production Performance 1975-2001*

Year	Units	Year	Units
1975-1984	116,721	1993	24,103
1985	18,295	1994	24,780
1986	10,210	1995	26,227
1987	11,273	1996	28,071
1988	21,230	1997	46,246
1989	14,992	1998	32,959
1990	39,496	1999	40,792
1991	33,327	2000	42,826
1992	34,084	2001**	39,574

Source: NHA Fast Facts on Philippine Housing and Population

* No updated information available

** Not the same figure with the HUDCC report in Table 9

4.4.3 Government's Incremental Development Policy on Resettlement

The NHA implements the relocation of families affected by major government infrastructure projects like the railways and river rehabilitation. For South Rail, 7,000 families are being relocated to a 55-hectare agricultural land in Cabuyao, Laguna mostly coming from Makati City and Mandaluyong areas. For North Rail around 22,000 families will be moved inside the municipalities of Bulacan. Relocation has already started in 2005 for Bulacan and January 2006 for Laguna. Both sites have no basic services yet just a rough road for access to the site. During the World Urban Forum in Canada, the Vice President of the Philippines announced the new incremental development policy on resettlement sites of the government. According some NGOs organizing in the affected communities, this is juts another way by which the government can justify relocating the families in the resettlement sites even if it is not yet ready for occupancy.

At present both relocation sites have no basic utilities like water and power, job opportunities are scarce and transportation is expensive. Even the Php 150,000 loan for the house and serviced land package offered to the relocates needs to be explained and justified first. This problem of lack of water and other basic services is common in most of NHA's many resettlement projects and NHA is aware of this. And they say they are doing their best on the face of very limited budget and human resources.

4.5 Civil society pro-poor housing initiatives

There are many civil society initiatives in housing the poor in the Philippines today but the following are the most prominent and notable in terms of reach and scope.

4.5.1 Gawad Kalinga (GK)

Gawad Kalinga (to give care) Program is a project of Couples for Christ (CFC) in support of the vision of no more slums in the Philippines and follows the motto: “*less for self, more for others, enough for all.*” It targets to build 700,000 homes in 7,000 communities in 7 years. The project started in October 4, 2003 and it will end in 2010. GK offers to build the houses for free with funds international and local donors to identified poorest families in the community who cannot afford housing on their own. The ceiling amount is Php 50,000 (~US\$ 935 @ Php 53.5/1\$) per unit.

GK works in coordination with the local government and the community as land tenure is a major requirement before the houses are built. Aside from building houses through their *TATAG (to build)* program, GK also organizes other community activities like values formation, youth, health, environment, community empowerment and livelihood programs. As of July 31, 2006 they have already built 19,321 homes in 809 communities in Metro Manila, Luzon, Visayas and Mindanao in the Philippines.



Figure 8. Gawad Kalinga Baseco

4.5.2 Habitat for Humanity Philippines

HFHP is part of the Habitat for Humanity programs in Asia Pacific and HFH Philippines is one of the largest in the region. It started in 1988 in Metro Manila and presently covers both rural and urban areas in the Philippines. As of April 2005, it has helped 10, 422 families. The cost of one unit is Php form Php 70,000 for a 25-30m².

This broken down in three parties: the home partner/beneficiary, friends of habitat, and international habitat. The building designs are core house (‘building in stages’) with 30 m² and row house with 40 m² used by 29 affiliates in 18 satellite groups. They have also built one medium rise building in cooperation with the European Commission (EC) using alternative building technology (concrete interlocking blocks and compressed earth blocks).

Both GK and HFHP programs utilize volunteerism and self-help in housing construction; promote community values formation, and “Building on faith with families”. If GK works in partnership with the local government and the beneficiary community coordinated by its local Couples for Christ group, HFHP works through its affiliates in the area and also in coordination with the local government in some projects. Both have religious affiliations, international donor support and wide national membership.



Figure 4.2.5a Habitat for Humanity Philippines-Baseco, Manila



Figure 4.5.2 Habitat for Humanity Process

Chapter 5 Case Study: TAO-Pilipinas, Inc.

5.1 Introduction

This chapter is about the experience of TAO-Pilipinas, Inc. a TA NGO working with urban poor communities in the Philippines since 2001. The chapter starts with the history and background of the organization—conceptualization, vision, mission, goals and objectives, followed by the organizational structure, the processes/approaches it employs in its TA work, sources of funds/resource mobilization, involvement with various housing stakeholders/actors, and finally a discussion on the issues faced by the organization in its interaction with various housing actors, roles, gaps/constraints, potentials and challenges.

5.2 Background and History

The idea to set-up a TA NGO was started in the late 1990s by a group of architects interested in helping the poor. They came from the same student organization (Task Force Arki) in the university (University of the Philippines-Diliman) and as students they were exposed to working with an urban poor community in Barangay Magsaysay, Tondo District in Manila. They assisted poor families living in the parish of St. Paul the Apostle (San Pablo Apostol) in house design and construction. The exposure made a deep impact on the architects as students and later this encouraged them as architects to pursue an alternative career path in development work.

NGOs in the Philippines number by the thousands and dominated by organizers and social workers. In the early 1990's there are only two technical service organizations working with communities—Alterplan and *Panirahanan* but the number of poor informal settlements that needed assistance number by the thousands and growing, aggravated by major government infrastructure projects like road, river and railways rehabilitation which dislocates thousands of poor families.

The decision to pursue development work and organize a technical assistance NGO took years to materialize. The issue of scarcity of resources (human and financial) that impact on the sustainability of the (proposed) organization and career choice—development work, for many technical professionals was not financially worthwhile, were major considerations.

Before TAO-Pilipinas, the architects worked individually for various private and non-government organizations but maintained its links with the poor community in Tondo through the people's organization SAPSPA⁴⁴. But the architects were already thinking that they could do more for the communities by being a formal organization. This decision they proposed to one of their architect-mentors. Although the advice was to put up a consultancy group, the architects decided on an NGO.

In the Philippines, consultants are perceived as hard to approach and expensive just like other technical professionals and this has discouraged the poor from seeking professional assistance thinking that they will not be able to afford the services. The group did not want that image of consultancy. They wanted an organization that the people could easily relate to and work with.

Finally in 2001 the NGO, TAO-Pilipinas was incorporated by three architects, an oceanographer, and a social researcher.

⁴⁴ *Samahan ng Angkop na Pabahay ng San Pablo Apostol* (Association for Appropriate Housing of St. Paul the Apotle)

5.3 Organizational Context: Vision, Mission, Goals and Programs

“It is time for us to go to the people rather than ask the people especially the poor to come to us.”

TAO-Pilipinas is a women-lead non-stock, non-profit, non-government organization of technical professionals composed mostly of architect-planners. It envisions ‘sustainable human settlements that are inclusive, people-centered environment-friendly and that promote equitable distribution of and access to resources. This the organization aims to attain through the promotion of participatory community process, enhancement of technical skills among housing stakeholders and holistic urban development.

The organization’s goals include to conduct participatory human settlements planning, development and management processes by providing technical support to POs, NGOs and local government units, advocating and implementing participatory processes; enhancement of technical knowledge and skills among housing stakeholders by facilitating knowledge; skills and technology transfer; promotion of popularization tools for the dissemination of technical information and advocate cultural heritage appreciation; holistic urban development through advocacy of participatory planning processes at city level; and the balanced distribution of land uses and basic services in the comprehensive land use plans/city-shelter plans. These are reflected in the following programs that TAO-Pilipinas developed:

Human Settlements and Environment (HS&E). This is the main program of the organization which deals with projects concerning planning, design and the social aspects of human settlements including the human, built, and natural environment.

Education and Training (E&T). This program provides the venue for learning, awareness-building and knowledge transfer through the application of community-driven and participatory processes in community development planning, estate management, disaster mitigation and solid waste management among others.

Research and Publications (R&P). In support of other programs, R&P conducts researches on issues on human settlements and urban development and the publication and dissemination of popular materials to housing stakeholders especially POs. The program also facilitates process documentation of TAO-Pilipinas projects.

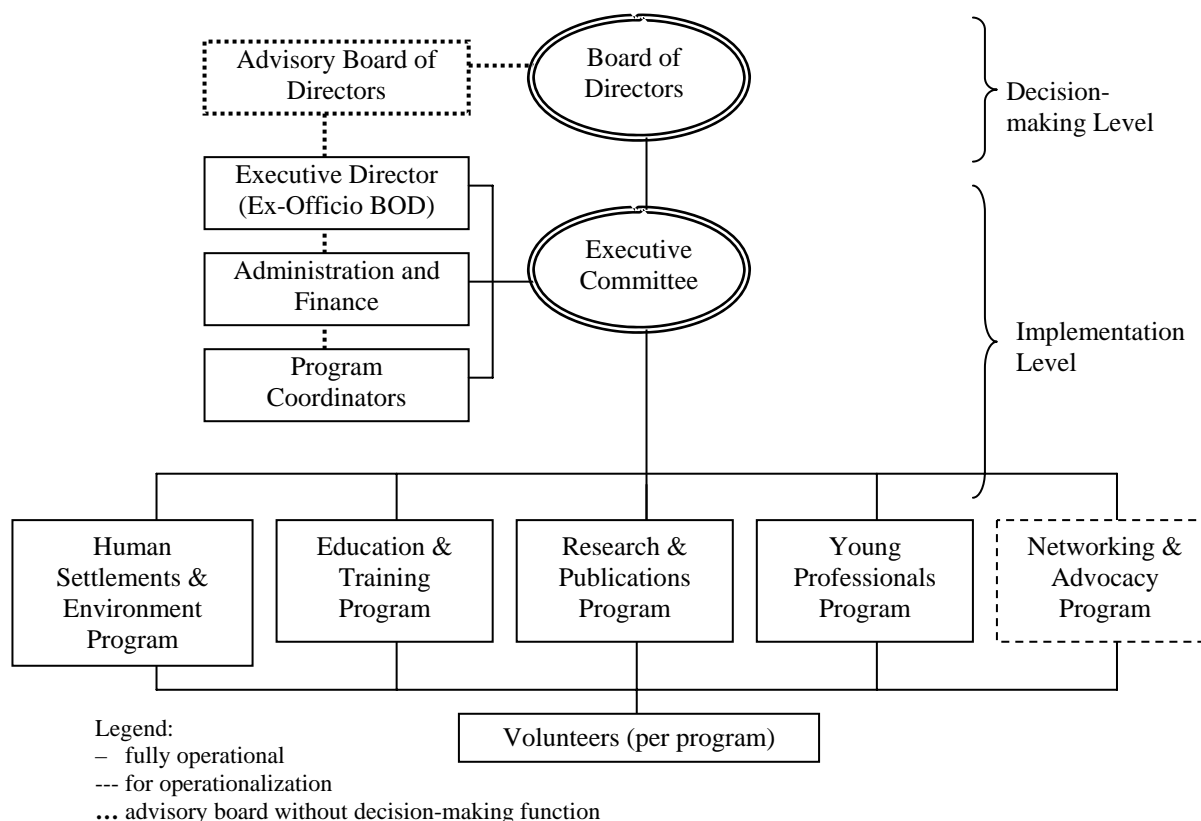
Networking and Advocacy (N&A). This program forges linkages with other similar organizations and networks for information and experiences exchange and support in the advocacy for secure tenure and housing by the poor (housing rights).

Young Professionals Program (YPP). YPP acts as the venue for action and social responsiveness in human settlements and urban development issues of professionals and technical students.

5.4 Organizational Structure

TAO-Pilipinas has a relatively flat structure. The Board of Directors is the main decision-making body composed at present of two architects, an environmental planner, oceanographer, sociologist, economist, and a theatre artist/independent filmmaker. There is also an Advisory Board that acts as mentor of the organization, composed of experts with vast experiences in the fields of architecture and town planning, civil, sanitary and environmental engineering, sociology, community development, law, theater/arts, IT and library science. At the implementation level, there is the Executive Committee is composed of the Executive Director, Program Coordinators (5), Administration and Finance (2), and two members of the Board of Directors.

Figure 5.4 TAO-Pilipinas Organizational Structure



The Execom acts as the adhoc decision-making body in emergency/urgent matters. The Program Coordinators are responsible for general program directions and project implementation, ensuring that targets are met and outputs produced. The Administrative Staff handles office administration and financial disbursements. Volunteers are non-paid members of the organization which assist in the project implementation. These are mostly technical students and young professionals. They assist in the conduct of community consultations, workshops, training seminars. These provide them with the opportunity for hands-on learning in urban poor communities as well.

5.5 Community Approach in Technical Assistance

Two major requirements are needed by TAO-Pilipinas to begin its work with the communities: First that the community must be organized and it should have a clear leadership structure. This is to ensure that community processes are made legitimate and reaches the majority of the membership for informed and collective decision-making. It also promotes accountability and responsibility among the people. TAO-Pilipinas works with organizations and not individuals. This is a more cost effective way of providing technical assistance to thousands of families in poor communities. The social preparation and community organization are usually done by partner NGOs that facilitated the entry and integration of TAO-Pilipinas in the community. This is an important component of technical assistance because if the people are not prepared all efforts for assistance will be wasted.

Second, the people's organization itself must request for technical assistance preferably in written form. This is to ensure that the decision to seek technical assistance was not forced on the people. This is also to facilitate the access to data, documents, maps, etc. needed for community planning activities and ensure active participation of the people in the whole process.

5.5.1 Community participation in planning

Community participation is core to the approach of technical assistance in the communities for several reasons: It gives members a sense of ‘ownership’ to the output or activity, it makes people more receptive to inputs by technical professionals, provides the people the venue to air their ideas and opinions, develops leadership qualities and collective decision-making, and most important, it contributes to the sustainability of the project by reducing project costs and ensuring continuous people’s involvement once the project is already underway. (Baybay, 2005)

Table 5.5.1 Activities for Community Participation

• Identification of community needs	• Control over allocation of project resources
• Participation in project planning	• Implementation of projects
• Choice of programs and services	• Periodic monitoring and evaluation

Source: Baybay, B 2005 TAO-Pilipinas YP Workshop

5.5.2 Tools in participatory planning

Community development planning (CDP) is one of the major technical assistance activities that TAO-Pilipinas conducts in the communities. Tools are developed and used to make the activity more participatory and interesting for the participants:

Table 5.5.2 Tools for Participation

Community Activity	Tools/Methods
• Identification of Problems/Needs	Role playing, use of meta-cards, story telling, puppetry, group discussions, drama
• Initial Assessment and Activity planning	
• Research and Data Gathering	Transect walks, surveys, interviews, mapping
• Site assessment, data verification and analysis	Mapping, meetings, ocular survey, transect walks, group discussions
• Negotiation and resource mobilization	Role playing, street theater, drama, drawing, popular materials (comics), model making
• Construction	Hands-on demonstration in handling of equipment, model making
• Estate management	Role playing, group discussions, meta-cards, puppetry

Adapted from: Baybay, B 2005 TAO-Pilipinas YP Workshop

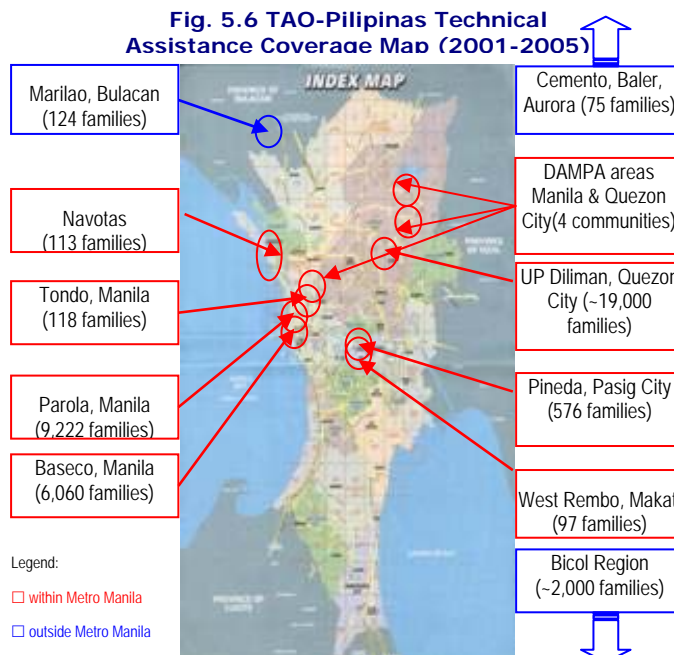
5.5.3 Application of TA output

The community participatory process is a time-consuming and demanding practice. But it has become a challenge to the technical professionals in their work and is still being evolved by TAO-Pilipinas to date. The output of the community planning process is used by the community primarily in two ways: advocacy for secure tenure and project implementation.

5.6 Community Projects

TAO-Pilipinas is mainly involved with three types of technical assistance: advocacy of communities threatened with eviction and demolition, project design and capacity-building for project implementation. (Figure 5.6)

Fig. 5.6 TAO-Pilipinas Technical Assistance Coverage Map (2001-2005)



5.6.1 Pasig River Rehabilitation Program (PRRP) affected communities

In 2001, TAO-Pilipinas started community integration through TRICOR, a group of community organizing NGOs (UPA, COPE, CO-Multiversity)⁴⁵ working in informal settlements along the Pasig River. TAO-Pilipinas was called to assist in community development planning. Hundreds of informal settlements along the Pasig River were being threatened by eviction and the community development plan or *people's plan* will be used in the negotiations with the government as an alternative to demolition through on-site development or upgrading in the communities. This was during the height of the implementation of the Pasig River Rehabilitation Program (PRRP) being funded by the Danish funding agency DANIDA and estimated to affect 60,000⁴⁶ families living along the 26-km long river that stretches from Laguna de Bay until Manila Bay.

Pineda, Pasig City. The first community assisted by TAO-Pilipinas was in Barangay Pineda in Pasig City, a community of 576 families in 2.87 hectares, 270 of which were actually demolished and relocated to Montalban, Province of Rizal. The land is owned by the Philippine National Railways (PNR) but in 2001 it was declared as social housing site by the president. SAMAPI⁴⁷, the people's organization in Pineda was being assisted by Urban Poor Associates (UPA) in community organizing. TAO-Pilipinas assisted SAMAPI formulate the people's plan. The local government wanted to demolish the existing structures and build medium-rise buildings. The people vehemently opposed the mayor's plan and appealed for an '*as is where is*' development using the principle of '*minimum dislocation and maximum retention*'.

5.6.2 The Technical Assistance Process in Pineda Community

To determine the actual number of households, house area and house conditions, structure mapping was done in 576 households in **Pineda** by two architects of TAO-Pilipinas assisted by the leaders of SAMAPI. Later, the people continued the structure mapping with minimum supervision from the architects. The data was used in drafting the subdivision plan of the community which were validated and improved in the planning workshops. A household survey was done to get actual number of beneficiaries. Two development schemes were drafted as options for development—32 sq.m. lot size and 18 sq.m. lot size minimums. Because the local government and the donor agency Asian Development Bank (ADB) funding the upgrading were strict about adherence to building regulations and standards, the people were forced to work within that legal framework.

The implementation strategy was incremental development and self-help construction. Cost estimates were done to compare prices. The people finally opted for the 18sq.m.-lot scheme. Simultaneously, the city mayor asked the NHA to develop another subdivision scheme for Pineda consisting of medium-rise buildings (MRB) and to totally re-block the community. In the final plan presentation, the mayor was forced to concede to the people's plan as it was cheaper and got more support from the stakeholders. The people's plan is now being implemented in Pineda.

Baseco and Parola, Manila. More UPA assisted communities followed after Pineda: Baseco located at the South Harbor in the port area of Manila with around 6,060 families and Parola, North Harbor in Manila just across the Pasig River from Baseco with around 9,222 families. Both were proclaimed for social housing and identified priority urban

⁴⁵ TRICOR is composed of Urban Poor Associates (UPA), Community Organizers of the Philippines Enterprise (COPE) and Community Organizers-Multiversity (COM)

⁴⁶ According to the survey done by the UPA in 2000

⁴⁷ SAMAPI – *Samahang Magkakapitbahay sa MRR Pineda* (Neighborhood Association in MRR Pineda)

renewal and environmentally protected areas (URA and EPA) by the PRRP master plan. Technical assistance in coming up with the people's plan was also needed.

Baseco was a mangrove area in the early 1960's where fishermen from neighbouring provinces settled in the area with their families on houses-on-stilts. Later, port employees also invaded the area and incrementally 'reclaimed' land using garbage and construction debris. It was proclaimed for social housing in 2001 and community planning workshops in 18 blocks were done by TAO-Pilipinas assisted by the leaders of KABALIKAT and community organizers of UPA. Three schemes were developed from the workshops: row house, duplex/attached housing and mixed development and presented to the general assembly. The row house development as it would accommodate everybody in Baseco.

The people's plan was presented to the mayor of Manila in late 2002. ADB expressed their support to the people's plan but before negotiations were finalized several blocks in Baseco got burned down. The City refused to negotiate after that. For three consecutive years fire razed Baseco and finally ADB pulled out its urban upgrading project and moved to Parola.

But the community leaders of KABALIKAT did not stop advocating for the people's plan. During the interview, the leader said that the city patterned the rehabilitation plan of Baseco to that of the people's plan that they presented in 2002. Currently civil society groups like Gawad Kalinga and Habitat for Humanity Philippines (HFHP) have joined in the rehabilitation of Baseco community.

Parola was a complicated and difficult case because of the 34 people's organizations in the area which different agenda and do not cooperate. The architects with the organizers had a hard time getting the people to participate in the planning workshops. Two major federations operate in Parola and TAO-Pilipinas is working with NASAPA⁴⁸, the PO organized by UPA. The other federation is government initiated. TAO-Pilipinas worked with NASAPA on the drafting of the people's plan as well as several development schemes for used for advocacy to increase the proclaimed area. But planning workshops were suspended because the community could not agree among themselves who will represent Parola in the local inter agency committee (LIAC) that was constituted to facilitate the proclamation. Although organizing is still being done by UPA, TAO-Pilipinas has stopped TA in the community to concentrate in other areas.

5.6.3 PNR⁴⁹ Rehabilitation affected communities

In 2002, urban poor communities affected by the rehabilitation of the Philippine National Railways (PNR) also approached TAO-Pilipinas for technical assistance—SAMARIMA⁵⁰ in **Marilao**, Bulacan Province with 124 families out of 1,300 members for relocation within the municipality of Marilao and KASARIVAL⁵¹ in **Valenzuela**, Metro Manila with around 2,500 member-families still negotiating for their relocation site. These communities were being assisted by the CMP network of originators lead by the Foundation for the Development of the Urban Poor (FDUP). The same process of community planning workshops, community consultations, structural mapping were done in these communities including land research and site survey for communities seeking relocation sites.

⁴⁸ NASAPA – Nagkakaisang Samahan sa Parola (United Associations of Parola)

⁴⁹ Philippine National Railways

⁵⁰ SAMARIMA – *Samahan ng mga Maralita sa Riles ng Marilao* (Organization of the Urban Poor in the Railways of Marilao)

⁵¹ KASARIVAL – *Kapitbahayan sa Riles ng Valenzuela* (Neighborhood Organization in the Railways of Valenzuela)

Until 2003 TAO-Pilipinas functioned with only two full time architects, two part-time volunteer architects, and students (TFA) and a working Board of Directors. The part-time architects helped in coming up with proposal for the pilot community development plan of NALAMA⁵², the federation of informal settlements inside the **University of the Philippines** campus. There are around 19,234 families scattered in 19 informal settlement sites inside the 493.3-hectare state university property. From 2004 until the present, TAO-Pilipinas is assisting several networks of people's organizations mainly affected by the rehabilitation of the railways which runs from Metro Manila to the Bicol Region in the South and Ilocos Region in the North:

The Bicol Urban Poor Consortium (**BUPC**), a federation of urban poor organizations in Legazpi City and Tabaco, Albay; Naga City and Pili in Camarines Sur; Daet, Camarines Norte; and Sorsogon requested for technical capacity building and community planning. BUPC is being assisted by COPE in community organizing. **DAMPA**⁵³, a network of people's organizations in Metro Manila with 59 member organizations mostly found in Payatas (which is a garbage dump site) and Bagong Silang in Quezon City, the PNR property in Tayuman, Oroqueta and Parola, Manila and Bulacan province.

SANAGMANA⁵⁴ is also a network with three main clusters in **Navotas** and unique in that they have been fighting for an alternative housing solution in the form of houses-on-stilts in the fishponds of Navotas and Malabon. Several private consultants and technical professional groups have volunteered assistance and support: TAO-Pilipinas as the technical coordinator for the consultant engineers and planners, COPE for community organizing and FDUP for CMP. The Urban Poor Ministry (UPM), the parish social action group, also assists in organizing.

At present, TAO-Pilipinas has two architects, two architect/planners, a geodetic engineer, social worker and two architecture graduate students to assist in program implementation. It has also active links with private consultants (planners, surveyors and engineers), universities in Manila, Bulacan and Bicol regions and Young Professionals network in Bicol Region, San Carlos, Negros Oriental and also Thailand and Cambodia.

5.7 Housing Actors, Roles, and Relationships in technical assistance

5.7.1 Government as provider– enabler

Housing in the Philippines involves various actors. In the government, HUDCC as the highest policy-making and coordinating agency for housing and urban development acts as the main oversight body in the implementation of the National Shelter Program (NSP). (Refer to NSP Structure in Annex 4) (Ballesteros, 2002) Attached to HUDCC is NHA primarily in charge with direct shelter production, NHMFC as home mortgage institution, HLURB as regulatory body for housing and land development, and HDMF charged savings scheme development for home acquisition by private and government employees. (Cacacho & Falcon, 2003)

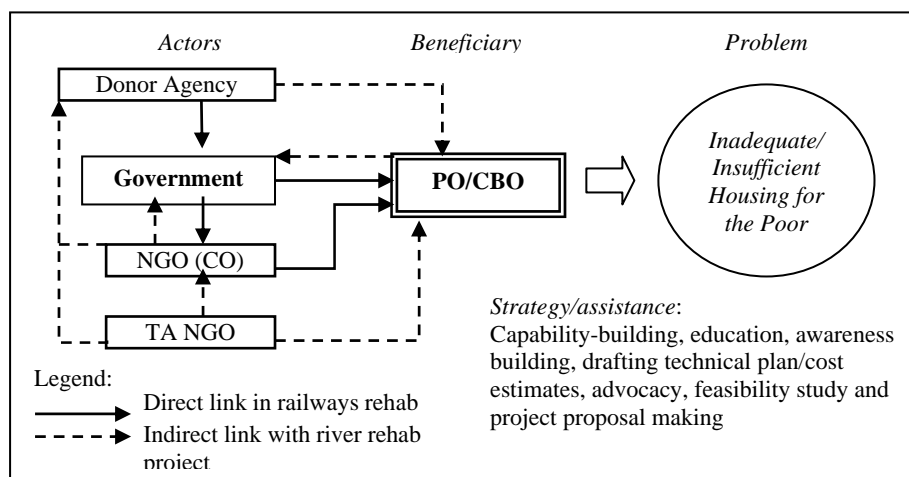
TAO-Pilipinas generally dealt **indirectly** with the government while it was assisting communities along the Pasig River. In the dialogues between NGOs and government agencies in charge with the PRRP implementation, TAO-Pilipinas usually acted as technical support/back-up for the PO and NGOs for the people's plan.

⁵² NALAMA – *Nagkakaisang Lakas ng Maralita* (United Force of the Poor) in UP Campus

⁵³ DAMPA – *Damayang ng mga Maralitang Pilipinong Api* (Mutual Help Group of Poor Filipinos)

⁵⁴ SANAGMANA – *Samahan ng mga Nagkakaisang Maralita sa Navotas* (Organization of the United Poor in Navotas)

Figure 5.7.1 Government-TA NGO Relations



Through a partner NGO, TAO-Pilipinas helped draft the people’s plan that was used to negotiate for on-site development. TAO-Pilipinas’ presence in the negotiations were mainly as support to the people as they present the plans and to clarify technical issues as needed. In the case of Pineda community, the advocacy worked and it was able to get its plan adopted after some revision, and the leaders in Baseco claimed during the interview that their people’s plan was the basis for the present master plan being implemented in the rehabilitation and upgrading of the burned area. It was also worth noting that the presence and support of the donor agency like ADB for the people’s plan helped facilitate negotiations with the government.

For communities along the railways, TAO-Pilipinas dealt **directly** with the local government in the municipality of Marilao in Bulacan for in-town relocation of 127 member-families of SAMARIMA. The municipal mayor was very supportive of the urban poor and has created a program for in-city resettlement. But political rivalry undermined the project. The project finally pushed through almost two years after it started through the PO’s perseverance. It was a long struggle and TA played a major role in finally getting support for the people. The technical plan was actually drafted for implementation not just for negotiation but it was used a lot to convince neighbouring subdivisions that the urban poor resettlement was being done properly and the CMP loan was also facilitated at the same time.

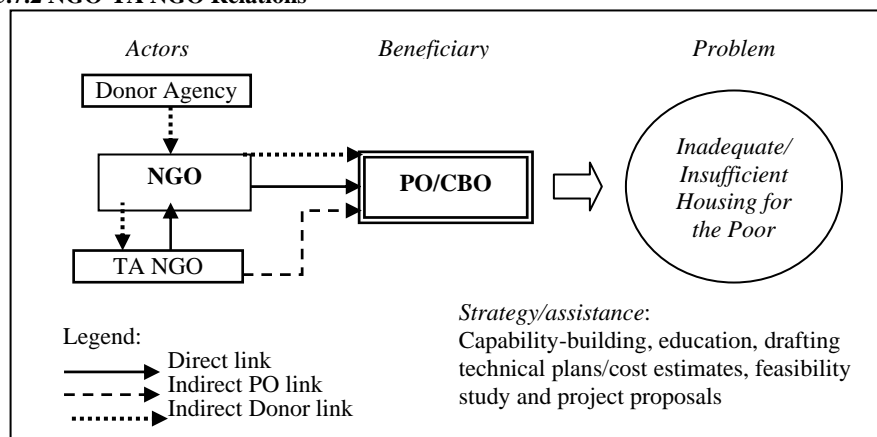
Since the decentralization mandated by the Local Government Code in 1991, local governments have become very powerful and oftentimes the use of that power has been abusive. And political will sometimes is not enough to facilitate project implementation especially if there is fierce rivalry and covetousness within the local government unit.

Another experience with the local government was also indirect but this time the local government was very cooperative with the proposal drafted by TAO-Pilipinas with the PO for pilot on-site development of informal settlements inside the campus of a premier university in Quezon City. The mayor supported and assisted in the negotiations with the campus administration even offering to provide site development and housing loan assistance for the pilot upgrading project but the university was not cooperative. The proposal was never approved by the university board of regents and the pilot project was dropped. The people’s organization is still lobbying with the university assisted by UPA. In this case, even with the power of the local government, it could not force or influence the university to participate in the project. But a good relationship was built between the NGOs and the local government because of the project.

5.7.2 NGO Community Approaches—CO and CD

The involvements of TAO-Pilipinas in urban poor communities were usually in partnership with other NGOs. Being technical professionals they recognize their limitations in effectively handling social processes in the communities and the multidisciplinary nature of community assistance.

Figure 5.7.2 NGO-TA NGO Relations



As was discussed in Chapter 2, two approaches are used by NGOs in their community work: Community organizing (CO) and/or community development (CD). CO and CD may complement each other in the goals they wish to achieve for the community but they often contradict each other's worldviews and structural locations.

In the Philippines, these two approaches have created a kind of 'rift' between the two groups of NGOs working in the urban poor communities. Because of the nature of work, one group deems itself superior over the other. To the author's opinion, both groups play critical roles in the community and it should not be looked at as a rivalry but rather as a complementarity of roles. It is hoped that there will be a change in attitudes as these unspoken turfing and rivalry has also adversely affected the POs in their dealings with other organizations assisting them.

Case in point is DAMPA, a grassroots PO organized in 1995 by COPE⁵⁵ in response to massive demolitions in Smokey Mountain (Dump site) and other areas in Metro Manila⁵⁶. DAMAPA has evolved from being a PO under a community organizing (CO) NGO into an independent community development (CD) NGO (refer to CO-CD discussion in chapter 2) although it retained its PO identity. It has currently 59 member organizations in Metro Manila, the National Capital Region (NCR), Regions III and IV with a total membership of 17,774 families.

DAMAPA felt that after years of negotiation with the government, conflict confrontations and mobilizations, it wanted more concrete programs and projects that could directly help its members. DAMAPA separated itself from COPE. It is now doing CD activities like savings mobilization, health, gender and livelihood programs as well as cooperatives. According to DAMAPA the 'expertise of the NGO should also develop, if community organizing is the core of an NGO, it should also consider the community development part because it is the continuation of the CO work'⁵⁷.

⁵⁵ COPE (Community Organizers of the Philippines Enterprise) is part of TRICOR

⁵⁶ From 'From Dialogue to Engagement, from Programs to policies, the DAMAPA experience at <<http://www.huairou.org/assets/download/PhilPartner.doc>>

⁵⁷ Interview with DAMAPA Secretary General Femy Duka and its community organizers

Understandably, CO NGOs are more visible in areas where threats of demolition and eviction are present like the communities along Pasig River where TAO-Pilipinas worked with UPA and CO-Multiverity. In Pineda community where TAO-Pilipinas first worked, after the threat has been abated and security of tenure was more or less secure with the approval of the people's plan, another NGO, FDUP, came in which assisted the community in the final structural survey and savings mobilization. In the communities along the railways, there were more CD NGOs like the NGO network of CMP originators (FDUP, CCAD, and FDA) which assisted the communities in land research and loan documentation. Some of these NGOs are also CO NGOs like FDA but it has lately joined the network of CMP originators. There are also POs which separated from CO NGOs that organized them in search of other development alternatives like DAMPA which is currently doing CMP, savings mobilization, cooperatives work, and community enterprises like *Botika Binhi* (Drugstore) and *Sari-Sari* (convenience) store in the communities and SANAGMANA although it is still in the process of establishing itself as an independent PO.

In all these, TAO-Pilipinas strives to remain neutral when it comes to organizational, political, or NGO dynamics and works with both CO and CD groups. TAO-Pilipinas believes that it is the people that are important and if the application of various approaches would help the community and the people in the end then the differences in approaches should not be looked at as a problem. But according to the executive director of *Panirahanan* during the interview it is good to be aware of these dynamics and be prepared for it as it is a reality in the work with the communities. *Panirahanan* has also remained neutral over the various NGO approaches the same with Alterplan.

5.7.3 The Academe

Interactions with the academe were of two kinds: advocacy for secure tenure and providing the venue for community interaction and outreach for the technical students.

5.7.3.1 Informal Settlements inside university campus property

In 2003, TAO-Pilipinas was asked to draft a conceptual development plan for on-site development of NALAMA, a network of informal settlements inside the University of the Philippines (UP) campus. The land use classification of the state property is institutional and the university itself enjoys an autonomous status and the local government cannot interfere in its decisions.

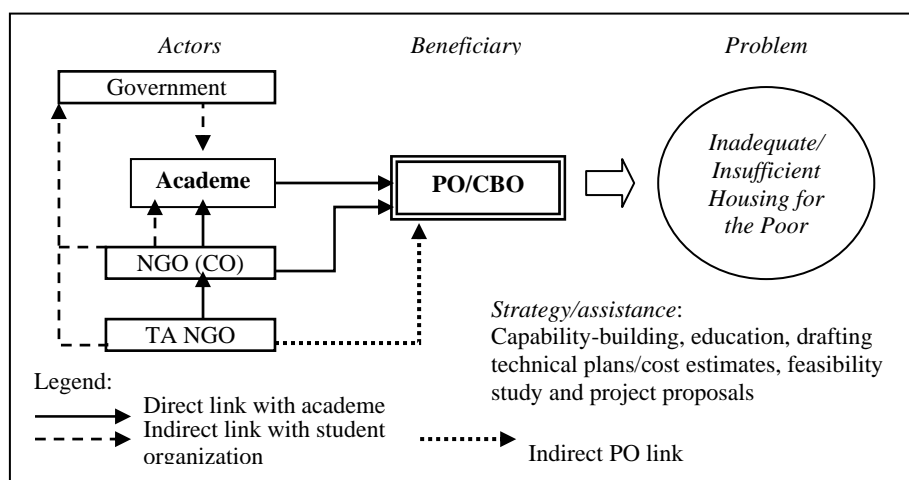
In the 10-year comprehensive development plan of the university approved in 1994, these informal settlements were identified but there was no strategy drawn. After 8 years, the number of informal settlements inside the campus property has grown to 19,234 families (2003 estimate) in 13 communities. Some of these informal settlements even have become middle-class subdivisions although a majority are still slums located at the boundary of the university property. This problem of informality the university was not prepared to deal with and the implementation of university-planned developments became delayed because at least 10 of these communities will be affected. The people are lobbying for on-site development.

The people asked the local government to intervene as there are several barangays⁵⁸ inside the campus. Negotiations went well at the beginning. The university participated in the dialogues with the PO, NGOs and local government. The university asked the PO to present a comprehensive plan for the informal settlements inside the campus. The PO presented a proposal for a pilot on-site upgrading in *Daang-Tubo* community located at

⁵⁸ A town, the smallest political unit in the Philippines.

the campus periphery. This community is critical because it is in the site that will be developed by the local government as an Information Technology (IT) park.

Figure 5.7.3.1 Academe -TA NGO Relations #1



The University was initially optimistic about the people’s plan after seeing the land sharing scheme in the proposal. The community will give up more than 70% of land it is currently occupying provided that they will be allowed to stay on-site in a 2.5-hectare area at the university boundary. The university accepted the plan in principle but said they will study it first. It was a multi-stakeholder project with the local government facilitating the loan for housing and site development; the university will lease out the land for 25 years; NGOs will assist in community organizing, estate management and self-help construction; and the PO to manage the housing project, collection of amortization, and ‘policing’ the land from further invasion. A technical working group deliberated on the people’s proposal and a memorandum of agreement (MOA) between the university, the local government unit, and PO was drafted outlining the responsibilities of each party.

TAO-Pilipinas’s role was crucial as it was the one who drafted the proposal and also acted as technical go-between for the PO, NGO and university. The proposal never materialized as the university eventually backed out of the negotiations. The MOA was never signed and the university postponed finally dropped the project. TAO-Pilipinas has moved on to other projects although UPA remained to continue its organizing work with the people.

The experience with UP showed that there are certain externalities that is beyond any organization or individual’s control which lead to the breakdown of the negotiations and the abandonment of the project.

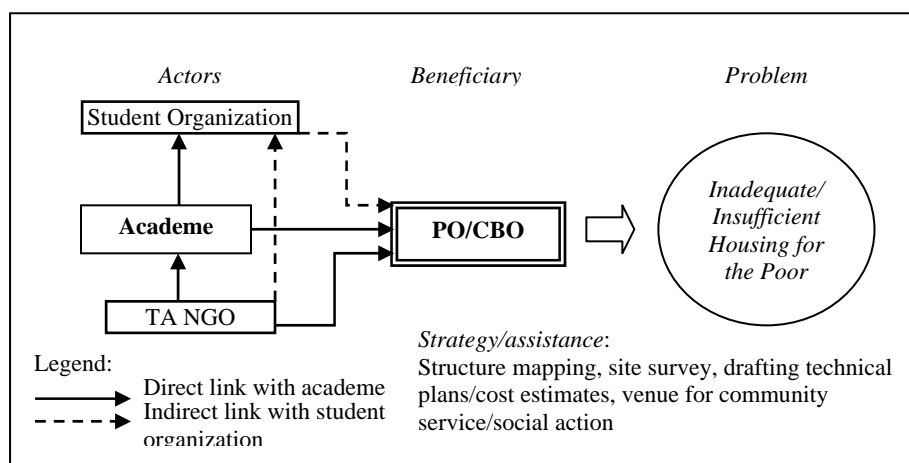
5.7.3.2 Other Academe interaction: PUP/UST/UP/BulSU-IAFA

TAO-Pilipinas has also forged alliances with other universities like the College of Architecture and Fine Arts of the Polytechnic University of the Philippines (PUP), the Department of Geodetic Engineering of the University of the Philippines, ACEs, a student organization in the University of Sto. Tomas College of Engineering and the on-going partnership with Task Force Arki (TFA) of the University of the Philippines in Diliman, and Bulacan State University Institute of Architecture and Fine Arts (BulSU-IAFA) to provide the venue for student community outreach. PUP CAFA, UST-ACES and UP-TFA assisted in the structure mapping/survey in the dike side community in Punta Sta. Ana which is being assisted by TAO-Pilipinas.

The community is also affected by the PRRP and had been negotiating for a relocation site in one of the defunct warehouses in the area but the cost of the property was too high.

Expropriation was an option but it will take years for the process to complete and the outcome may not be favourable for the urban poor. Several options were presented to the urban poor by the PRRC to the dike-side community. But the people did not like the medium-rise building done by Gawad-Kalinga near the site as relocation and opted to look for their own relocation site within 40 km from Pasig River after learning that the ADB will fund the resettlement.

Figure 5.7.3.2 Academe -TA NGO Relations #2



TAO-Pilipinas has been assisting the community in land research and the formulation of their alternative development plan. A structure mapping with TAO-Pilipinas and the students was already done to survey actual number of beneficiaries. Also structure mapping are planned for other urban poor communities like Parola community inside the Coast Guard Station in Manila to be assisted by the Bulacan State University Institute of Architecture and Fine Arts (BulSU-IAFA). These initiatives are done through the Young Professionals Program of TAO-Pilipinas. Relationships are still being explored and developed. There is great value and potential in cultivating this social interaction between the communities and the students.

5.7.4 Other PO interactions

In all projects, it is the people's interests that is being supported and carried out by the organization—from Pineda, West Rembo, Baseco, Parola, Marilao, Punta Sta. Ana, UP Campus, DAMPA areas, KASARIVAL, and BUPC. And the commitment of the organization in providing technical service proved longest and strongest with its relationship with SAPSPA⁵⁹ in Tondo where the architects as students have worked in 1988. After TAO-Pilipinas was organized, it coordinated TFA⁶⁰, the student organization at the University of the Philippines and SAPSPA to continue with the house design and construction processes in Tondo. SAPSPA was the training ground for the pioneers of TAO-Pilipinas and they wanted TFA to continue that community link.

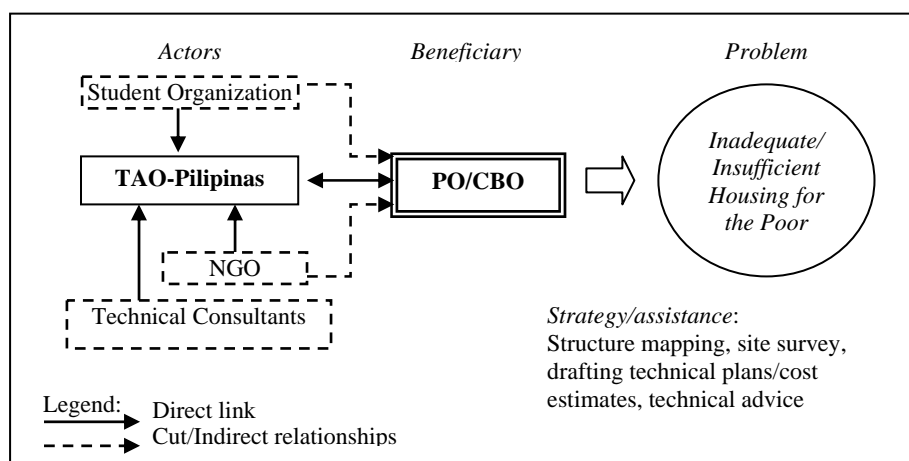
There have been other projects which were before conducted in partnership with NGOs that later developed into direct PO partnership like SANAGMANA in Navotas which was being assisted before by COPE. The PO separated from COPE because it feels that the relationship is not working anymore. SANAGMANA is the pilot community for the house-on-stilts project which was started in 2001. It is a multi-stakeholder partnership,

⁵⁹ SAPSPA is *Samahan ng Angkop na Pabahay ng San Pablo Apóstol* (Organization for Appropriate Housing of St. Paul the Apóstle) in Barangay Magsaysay, Tondo, Manila

⁶⁰ TFA is Task Force Arki, the student-based organization in the College of architecture of the University of the Philippines

with volunteer technical assistance from various private organizations for planning and house design, structural engineering, civil works, environmental engineering, solid waste management, alternative building technology and materials development, survey and mapping. The NGOs mainly helped in organizing and savings mobilization. TAO-Pilipinas is the technical coordinating organization that linked SANAGMANA, COPE and the technical consultants.

Figure 5.7.4 PO -TA NGO Relations



TAO-Pilipinas coordinates capability-building trainings like solid waste management, estate management, building laws and design in the communities. During the fieldwork, the author was present during one community assessment meeting with SANAGMANA to clarify issues about recent developments in the relocation site. One issue was the violation of estate management policy. No permanent structures are allowed because of poor soil conditions in the reclaimed site and some people were using concrete hollow blocks. The people were advised to build houses-on-stilts of semi-permanent materials to avoid subsidence and flooding. Also, the development permit was not yet approved and permanent structures could be demolished. The leaders claimed responsibility and agreed to stop illegal activities. A day later a typhoon struck and a dam broke which flooded not just the community but also most of the municipality. The community was submerged in almost 2meters deep flood water. When the mayor inspected the flood damage he noticed the concrete structures in the relocation site and ordered its immediate demolition. Luckily, the people were already prepared for this and they were able to clarify the issue with the mayor.

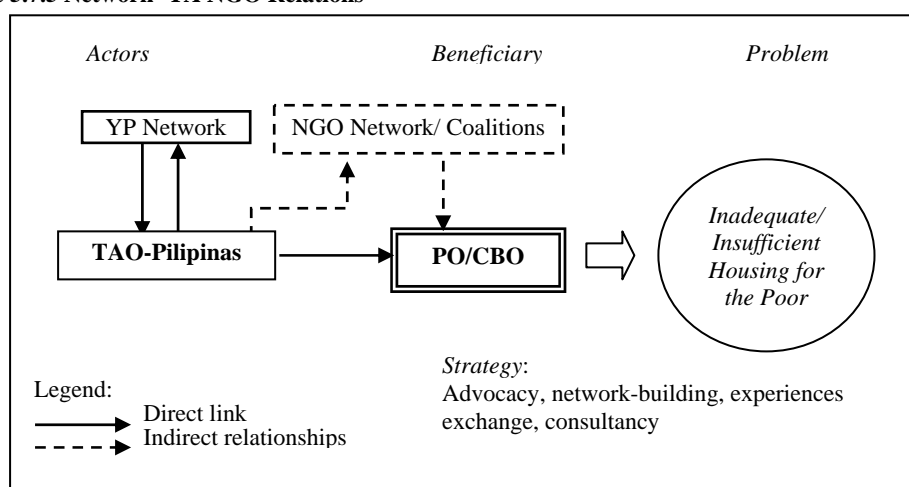
According to TAO-Pilipinas education and training staff, the major challenge is getting the people to understand, remember and use the technical information given them as the people have the tendency to forget and remembers only when problems occur or disaster strikes. This was also admitted by SANAGMANA leaders during the interview by the author at the TAO-Pilipinas office three weeks later and they promised to be more vigilant and alert in the future.

5.7.5 Network interactions

TAO-Pilipinas is a member of a network of Young Professionals in Asia together with CASE-Thailand, URC/Teang Tnaut Association Cambodia and CASE-Japan. The Asian Coalition for Housing Rights started the young professionals (YP) initiative in 1994 and the architects that organized TAO-Pilipinas were among the first participants in the YP activities. In the Philippines, there is the YP National Network which is a loose coalition

of YPs in the country that started after the YP Summer Camp on Social Housing in 1996 which includes YP Bicol Region and JFLFI⁶¹ in San Carlos City, Negros Occidental.

Figure 5.7.5 Network -TA NGO Relations



TAO-Pilipinas is not an official member of any NGO housing network in the Philippines although there have been interactions with networks like PHILSSA⁶² in some urban development projects. But it has been helping federations and coalitions of POs like the Bicol Urban Poor Coalition (BUPC) and DAMPA. In the interview with the executive director of Alterplan, she said that network-building was an important strategy for their organization when it was starting because there is a need to establish credibility to get good projects, build track record and get support. Also, by keeping a link with a network of consultants that could be tapped for capacity-building trainings, organizational management more efficient and operations costs kept to a minimum.

5.8 Sustainability of the Organization and the Donor Agencies

In development work, funding and sustainability is a major issue especially that there are thousands of NGOs in the Philippines vying for institutional support. Sustainability in the context of this research primarily means financial and organizational/operational sustainability. As technical professionals, it is possible to build funds from PO technical services but this is not enough to support an organization⁶³ as the affordability of the target beneficiaries is very low. Even with CMP projects. TA NGOs are not CO impossible for an organization that is just beginning to find its way around development work. Competition is also stiff and a good track record must be built first to back up the proposals. Majority of NGOs in the Philippines are foreign funded. Lately, donor agencies have been slowly pulling-out of the country to relocate in Africa and other regions in Asia like Thailand and Vietnam (Ford Foundation, Oxfam-America).

With this scenario, TAO-Pilipinas started in 2001 with a small grant from a Japan-based architect-priest who has been a mentor to the group since 1996. This architect has been travelling all over the world documenting initiatives of the poor on human settlements. In TAO-Pilipinas' work with the Pasig River communities, it received partial support from the CO NGO for the drafting of the people's plans. In 2003, one of the architects in the

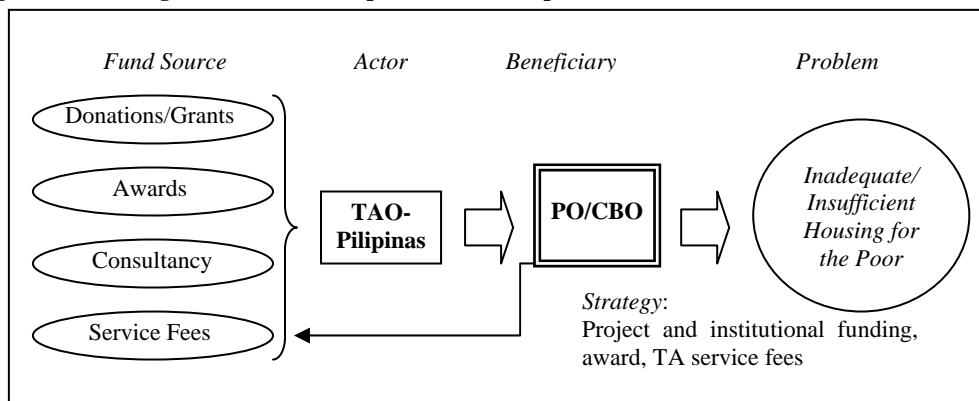
⁶¹ Julio and Florentina Ledesma Foundation, Inc.

⁶² Partnership of Philippine Support Service Agencies (PHILSSA) is a network of NGOs that tackle housing and urban issues

⁶³ Indicated in the mid-term report of the organization to the donor

Board of TAO-Pilipinas received an award-grant from TUGI-UNDP⁶⁴ for the continuation of technical assistance in the urban poor communities in the university campus. This enabled TAO-Pilipinas to further its work with the community for a certain period.

Figure 5.8 Funding Source – TAO-Pilipinas Relationship



In 2005, a German religious institution gave a 3-year institutional support to TAO-Pilipinas to continue its work with the poor communities. In July 2006, TAO-Pilipinas received the 1st International Year of Shelter for the Homeless Encouragement Award from Japan Housing Association⁶⁵ for its TA service to the communities. The award ‘gives credit to institutions which have made significant contributions to housing in developing countries’⁶⁶.

In 2006, the number of assisted communities has increased especially with the network of DAMPA and COPE. The organization’s TA work with communities continues while it is still seeking for a way to sustain itself in the longer term.

5.9 Dole-out mentality

In the urban poor communities, there is a prevailing tendency to expect services and goods for free when ‘outsiders’ come and offer assistance. TAO-Pilipinas does not condone dole-outs in its work with the communities as such it requires the people and partner NGOs to produce counterpart funding or support in the projects. This is mainly to build the people’s awareness of their responsibilities to the community and the organization assisting them as people tend to put more value into the output of the project or activity if they worked hard for it.

The experience with communities in Parola, Baseco, and Tondo (SAPSPA) showed the effect of this dole-out mentality. These communities were used to receiving support from various government agencies and politicians because these communities are vote-rich places during elections. When TAO-Pilipinas started conducting planning workshops in the areas of Parola and Baseco, the first thing that people asked was, “what’s in it for us?” In the 70’s Tondo was a recipient of a lot of donations from both foreign and local donors for urban upgrading. When TFA started working with the people in 1988, doors were slammed at their faces because they could not offer anything to the household. There have been changes now, especially in Tondo and Baseco. And it is still important to always

⁶⁴ The Urban Governance Initiative award of the UN Development Program which comes with one time grant of 10,000 USD

⁶⁵ JHA is an incorporated organization that support housing and building administrations by international and local bodies. The IYSH award includes 500,000yen spread out in three fiscal years to encourage the work of YP in improving the housing situation in the Philippines.

⁶⁶ Visit TAO-Pilipinas website for more information <www. tao-pilipinas.org>

show the value of hard work, even if often times the results were not as what the people wanted or expected.

5.10 Technical Assistance Roles

Described beforehand in Chapter 2 are the various roles that TA NGOs could play in development work and the typologies in which these roles may belong. The following classification the author has chosen to group together related and similar functions: 1) Welfare (charity/service providers), 2) Empowerment (Advocacy/Education/Development), 3) Consultation/Support, and 4) Network/Umbrella. TAO-Pilipinas have acted through almost all these roles. Table 5.11a&b tabulates the summary of roles.

5.10.1 NGOs as social welfare-oriented and service providers

Tandon (1989) aptly described service providers as those who *'provide service with great sacrifice, with high efficiency, with low expenses, with extreme commitment and dedication. These services are flexible, responsive to the needs of the community, locally grounded and relevant and tend to fulfill an important gap that exists in meeting the basic minimum needs of the community.'* In the case of TAO-Pilipinas, this was how the organization started – primarily because of the inspiration to help others. And this still holds although the process of service provision has already been evolved. Welfare role is often associated with charity, relief and rehabilitation (Srinivas, 2006; Tandon, 1989) while service provision is often related to provision of basic services which the community needed and lacks i.e. health, sanitation, water, education, etc. (Tandon, 1989)

The Philippines is a disaster-prone country—flood, lahar, landslides, mudslides, earthquakes, volcanic eruptions and typhoons are just some of the more common occurrences that the people have to contend with. In 2004, a tropical depression (*Winnie*) hit several towns in central Luzon killing hundreds and rendering thousands homeless. The river overflowed and flood water wiped out most of the towns in Real, Infanta and General Nakar, Quezon Province. COPE has been organizing in one of these areas (Gen. Nakar) and has asked TAO-Pilipinas to assist in their rehabilitation efforts in the communities. The case of SAPSPA in Tondo, the longest PO interaction by technical professionals has been a charity case for many years until recently because of a change in their policy. Technical service has not been limited to house design and planning but also finding innovative ways in which the community can have access to water and sanitation facilities.

5.10.2 Role in development/advocacy/education

In this the focus is the development of the organization and empowerment or working through 'educational intervention in certain development sectors which contribute to the development of innovative approaches that strengthen the socio-economic status of the poor'. (Tandon, 1989) The technical assistance of TAO-Pilipinas in communities affected by the river and railway rehabilitation has been mainly of this nature—organizing to raise awareness about housing and secure tenure issues and education to support advocacy work in secure tenure campaigns and government negotiations. These are in Pineda, West Rembo, UP Campus, Parola and Baseco communities. The rest are more on capability-building (Bicol region, DAMPA areas and Valenzuela) like building techniques, alternative technology, construction management, estate management, planning and building laws. Perhaps this has been the most demanding and time-consuming as the architects have also to know some aspect of community organizing in order to conduct participatory planning processes with the people.

5.10.3 Consultation and support roles to other NGOs

This role is new to development NGOs and has recently emerged because of the need for expertise other than community organizing or community development. TAO-Pilipinas is a case in point because when it started working with the communities affected by the river rehabilitation project, it was primarily as the technical support of NGOs like UPA, COPE, and later DAMPA. According to Tandon, this new category of role has made it difficult for NGOs to have their work recognized or their impact to be assessed. But it has contributed greatly to the strengthening of the grassroots work of NGOs, POs and other social movements.

5.11 Summary tabulation based on articulated/observed TA roles

The following is a tabulation of the articulated and observed roles TA NGOs play as seen by TAO-Pilipinas (Table 5.11a) and by the housing actors that the organization has been working with (Table 5.10.3b). The roles are categorized according to the NGO typology discussed in Chapter 2. These are based on the data from the fieldwork.

Table 5.11a Summary of Roles: TAO-Pilipinas' view of its role in relation to other Housing Actors

Actors	Typology							Umbrella Network
	Welfare/Service		Empowerment		Support			
	Welfare	Service	Education	Advocacy	Capacity building	Consultation	Support	
PO	■ *	■	■	■	■		■	■
NGO			■	■	■	■	■	■
Govt			■	■	■	■		
Professional			■	■	■	■		
Academe			■	■	■	■		■
Network		■	■	■	■	■	■	

* will depend on the resource capacity of the PO but in principle TAO-Pilipinas refrains from doing 'dole-outs'

Table 5.11.b Summary of Roles: Other Housing Actors' perception of TAO-Pilipinas' role

Actors	Typology							Umbrella Network
	Welfare/Service		Empowerment		Support			
	Welfare	Service	Education	Advocacy	Capacity building	Consultation	Support	
PO	■	■	■	■	■	■	■	■
NGO	■	■	■	■	■	■	■	■
Govt	■	■	■	■	■	■		
Professional		■		■		■		
Academe		■			■	■	■	
Network	■	■		■		■	■	

The summary shows the differences in perception between what the organization thinks its role is in the community and how the housing actors see TA NGO's role in their organization or community. This shows the need to clarify the roles and nature of TA NGOs in housing the poor which this thesis targets to tackle from the very beginning.

5.12 Strengths, Weaknesses, Opportunities and Threats on TA work

In every aspect of service to the people, in whatever role that an organization plays there are always strengths, weaknesses, opportunities and threats. Indicators have been set to identify internal factors (strengths and weaknesses) and external factors (opportunities and threats) in TAO-Pilipinas' TA NGO work. Elements identified in each factor are *organizational* which includes the vision, mission, goals, and targets, *financial* which involve internal resources that affect sustainability and growth, *professional* which refers to the capabilities of the staff to implement the programs and projects and *social* which is related to the behavioural, attitudinal or relational aspect of TAO-Pilipinas' work. All these impact on how technical assistance is being carried out. The following are based on

the observations of the author during the field work, in the interview and communications with the organization's staff and the author's experience in more than five years of technical assistance in development work.

5.12.1 Internal Factors: Strengths and Weaknesses

Social: *Strengths.* The staff of the organization have the commitment and enthusiasm for their work and this is evident in the way they conduct themselves in the communities. They are also fast learners and willing to try new and innovative ways especially in the conduct of trainings and capacity-building. They are very flexible, accustomed to multi-tasking and lend support to other programs readily. This is due to the shortage of staff in some programs because of the inability to hire additional staff. They also have the ability to tap peers/colleagues for support and volunteer expertise in the community as needed and the participatory process in community work facilitates good rapport with the community.

Weaknesses. On the other hand, the organization is still quite inexperienced in development work because of its technical background and orientation. The staff needs to learn the language of the PO and NGO for more effective interaction and exchange of ideas and information. Its open and accommodating attitude might also open the organization to the risk of being taken advantaged of. The technical discipline is a male-dominated arena and it is common for female technical professionals to be underestimated and not taken seriously especially in the urban poor communities where 'machismo' is still common. A challenge for the staff is how to make the people understand the different technical disciplines so that they will not confuse the technical assistance needed for the community. Another weakness is the unfamiliarity with government protocols which the organization has to address if they are going to collaborate or work with government housing agencies.

Organizational: *Strengths.* TAO-Pilipinas is still a young organization as such it is still flexible and has room for improvements. The tasks are well distributed and each staff has her own expertise. The ability to do multi-tasking also shows the flexibility and competence to do varied tasks. But the organization tries to diversify the expertise by encouraging further studies in other fields – urban design, disaster management, etc. Decision-making hierarchy is clear and program coordinators are given the free rein when it comes to targets and approaches in project implementation. Regular brainstorming and updating sessions are conducted to update on each program's progress. The organization is small so at times this is done informally. Periodic progress reports are done although this has been initially in compliance to funding requirements which later became a regular activity. The organization is also trying to institutionalize the use of logical framework and conduct annual strategic planning sessions. The organization was a recipient of two awards from international organizations (TUGI 2003 and IYSH 2006) for its technical assistance work in the communities and this has boosted the morale of the organization. It has also built a network of professionals in various fields that could be tapped for support.

Weaknesses. But, the organization is still in the process of development and evolving itself. In its aim to be holistic and comprehensive it has set ambitious targets and this has created a problem with sustainability. Also a dilemma on which technical assistance to focus on as well as the question of the organizing component in technical assistance which is a must in development work. Because it is a relatively small organization it has to do a lot of multi-tasking sometimes at the expense of the program targets. It needs to streamline its targets to coincide with the projects viability and sustainability. Often, targets and expectations in community intervention do not match with that of the partner organization and this has adverse effect on the relationship with partner NGOs and Pos and the project implementation.

Professional: *Strengths.* The organization has the technical expertise, competence and the legal authority to practice its profession although among development workers this is not very important. But in the negotiations with the government this gives legitimacy and continuity to support to the people’s plan. Professional development initiatives for the staff are encouraged by the organization to update knowledge and skills not only in technical work.

Weaknesses. But in general, there is still field inexperience in development work that needs to be addressed. Also, development work is still considered an unprofitable career and that makes it hard to get technical professionals with the expertise. And the requirement that the technical professional should be female makes it more difficult to hire because it is a male-dominated field. Another is that partners do not follow/adhere to the contracts. This should be imposed as to make partners accountable and responsible.

Financial: *Strengths.* The organization is able to mobilize resources for various projects through network and peer support and it is willing and open to tap local funding sources like going into partnerships with government and other institutions. ***Weaknesses.*** But the organization still has to work on its sustainability and not rely on donor/grant funding. The mindset that it is non-profit hinders other options for tapping local fund sources and makes it difficult and awkward charging fees for TA from the communities. Also it has focused on development work too much that the financial aspect of the organization if often neglected.

Table 5.12.1 Summary: Internal Factors: Strengths and Weaknesses

Elements	Strengths	Weaknesses
Social (Behavioural/ Relational/ Attitudinal)	<ul style="list-style-type: none"> • Commitment and enthusiasm for development work • Dynamic and resourceful staff • Open mindedness • Fast learners • High capacity for learning • Willing to try/experiment with new ideas • Willingness to help people • Peer support/ Ability to influence peers • Flexibility • Capable of multi-tasking • Competitive • PO tend to listen because professionals • Ability to tap support from peers • Compassion for people • Ability to relate to the community and gain their trust • Mostly single women professionals in the same age groups • Participatory process 	<ul style="list-style-type: none"> • Inexperience in development work because of technical background • Need to learn more the language of the PO, NGO, Government (communication gap (contracts & trainings)) • Unfamiliar with government processes/protocol • Too accommodating, open at the risk of being taken advantage of • Impatience and frustration – shows when people do not pay attention or forget information • Women staff • Technical work is a male-dominated field • Not fully understanding NGO methods & approaches in community development work • Assumptions on NGO and PO capability are sometimes too high or too little (under/over estimating capabilities) • Making people understand the different technical professions • Unfamiliarity with government processes/protocol
Organizational/ Structural	<ul style="list-style-type: none"> • Young organization therefore has room for improvement • Defined distribution of tasks • Defined hierarchy for decision-making, flat structure • Small organization • Women-lead • Output oriented • Autonomy of programs to make decisions/ Encourages initiative • Democratic process in decision-making • Multi-tasking • Received awards of recognition • Regular brainstorming updating sessions 	<ul style="list-style-type: none"> • Still in the process of development/exploration • Comprehensive service - too many targets • Process documentation of projects and learning experiences • Dilemma if focus will be on TA alone, consultancy, or should the organization do organizing • Needs to streamline programs • Small organization • Women-lead • Targets do not match with partner NGOs in the community (small issues and long term goals) • Need to establish niche in development field

Professional	<ul style="list-style-type: none"> • Clear professional field of expertise (with licenses and legitimate) • Networks with other professional organizations • Tries to keep updated with mainstream professional practice • Competent • Has achieved a good level of expertise in professional field 	<ul style="list-style-type: none"> • Confusion of technical fields & expertise by PO/NGOs • Field inexperience • Lack of exposure • Career alternative-difficulty in hiring technical professionals • Technical field male-dominated • Contracts not followed by partners
Financial	<ul style="list-style-type: none"> • Ability to mobilize resources/ donations for some projects and organizational activities • Willingness to tap local resources like partnerships with the Government and other organizations 	<ul style="list-style-type: none"> • Lack of job security – contractual/project basis • Long-term organizational sustainability not yet established • Do not give priority to finance because non-profit • Non-profit mind set therefore difficulty in charging TA fees • Dependent on grant funding

5.12.2 Opportunities and Threats

Social: *Opportunities.* The awards that were received by the organization are recognition of its contribution and efforts in helping the poor through technical assistance. And this is also reflected in the way partner organizations seek the organization for assistance. Also, slowly the people have become familiar with technical professionals working in the communities through the exposure program and networking activities and it has maintained the open lines of communication and exchange with various organizations and networks.

Threats. But there are still threats like the technical process being taken for granted by partner organizations like organizing NGOs. The attitude of arrogance and superiority which have become natural for some groups especially if they have been working with the community for decades is common. Most often this is because there is a lack of understanding and attempt to meet each other halfway is not given attention and among organizing NGOs themselves there are different dynamics like turfing and the CO-CD dialectics. Another is the ‘professional mystique’ that often people in the community feel that professionals came to the community to solve their problems and this could be a real problem if the TA and the PO does not level-off in their expectations. Also the people tend not to talk and think because they think that the professionals know best. The people should be made to understand that the TA is just a tool and not the solution to their problems.

Organizational: *Opportunities.* There is the flexibility of the organization to adjust its structure to developments and willingness to better itself. Also the recognition it receive has opened new opportunities for networking and collaboration. ***Threats.*** Policies and institutional frameworks for TA are not yet developed. This will take serious advocacy work and the organization does not have the capacity to embark on this.

Professional: *Opportunities.* The high learning capacity of the staff in the organization is a good way of developing specialized expertise within the organization. Also, the ability to influence its peers and colleagues means more support that could be tapped for community assistance. ***Threats.*** If the people will not understand the differences between the different technical professions, there is the possibility that the technical assistance that they will get will not be the one appropriate for their need or that the organization will be blamed later on for failure in the project because the expectation were not met.

Institutional: *Opportunities.* At present, there might be an opportunity for collaboration with the government because of the present restructuring and streamlining of housing agencies like the NHA. The growing awareness of TA contribution to housing and the call for multi-stakeholder partnerships as well as good governance initiatives should be maximized by forging collaborations with government institutions and other housing

stakeholders. *Threats* Corruption and bureaucracy in the system will always be a threat and a reality and also the political dynamics between local government units. Remaining neutral and a-political in development work remains a challenge.

Financial: *Opportunities.* New windows have been opened that fund development NGOs by some institutions like the World Bank and the Swedish development agency, recognizing the contribution of TA in grassroots development work *Threats.* More and more donor agencies are pulling out of the Philippines and relocating to other Asian countries and there are still a lot of NGOs vying for institutional or program support.

Table 5.12.2 Summary: External: Opportunities and Threats

Elements	Opportunities	Threats
Social	<ul style="list-style-type: none"> • Growing recognition of need by POs of TA • Awards of recognition by international organization • Openness of the PO and NGO to TAs • Exposure programs and networking activities • Open lines of communication with other organizations 	<ul style="list-style-type: none"> • People’s perception of free service because NGO and they are poor or people’s perception of being ‘unaffordable’ because professionals/consultants • Attitude of superiority of some development NGOs because of seniority and experience in the field • Take for granted process of technical planning and design • TA process not fully understood by POs & NGO • CO-CD turfing/dynamics • Patriarchal society- decision-making to husband/male • Professional mystique – PO tends to assume that TA could address ‘all’ problems in community (TA as a tool to solve problems not the solution)
Organizational	<ul style="list-style-type: none"> • New organization/NGO field therefore open for exploration on • Flexibility to adjust structure and programs • Recognition though awards given by international organizations for the TA work in communities 	<ul style="list-style-type: none"> • Undeveloped or conflicting guidelines and institutional frameworks of government agencies to start and support collaboration with TA NGOs
Professional	<ul style="list-style-type: none"> • Ability to influence peers • Awareness of capacities and limitations • Growing consciousness for social responsibility by private/ professional organizations • High capacity for learning 	<ul style="list-style-type: none"> • people not understanding the difference between technical professions and confusing the roles and the expertise of TA
Institutional/ Political	<ul style="list-style-type: none"> • Government housing agency (NHA) re-structuring & streamlining – provide a window for TA collaboration • Growing awareness of TA contribution to upgrading and relocation projects • Promotion of partnerships/ multi-stakeholder partnerships • Good governance initiatives • More progressive minded bureaucrats 	<ul style="list-style-type: none"> • Corruption & bureaucracy in government agencies • Political dynamics/turfing • Government/ political instability • Government institutions still considers TA as private consultants • Challenge of remaining neutral and no political affiliations • Lack of political will • Conflicting rules and guidelines
Financial	<ul style="list-style-type: none"> • Availability of funding for NGOs in institutions like World bank • Recognition of TA in community work and opening opportunities for funding such initiatives 	<ul style="list-style-type: none"> • Donors pulling-out of country • Too many NGOs vying for funding and projects

Chapter 6 Learnings from Other TA NGO Experiences

6.1 Introduction

After looking closely at the experience of TAO-Pilipinas this chapter focuses on the learning experiences of other local and international TA NGO experiences—that of **Alterplan** and **Panirahanan** in the Philippines; **CASE-Thailand** and **URC/Teang Tnaut** Association in Cambodia. The local TA NGOs were primarily chosen because to the knowledge of the author, within the housing network that she has been working with for the past decade, there the only two TA NGOs working with the poor.

The international TA NGOs were selected because of the similarities of these organizations with TAO-Pilipinas and that they belong to the same YP network in Asia. The technical professionals have been exchanging experiences and ideas since 1996.

The chapter focuses on the highlights of the learning experiences of these organizations that are relevant to the experiences of TAO-Pilipinas especially when it comes to understanding roles and relationships with housing actors; and identifying potentials and constraints citing concrete examples on how these TA NGOs surmount challenges and realize potentials. All of these organizations, with the exception of *Teang Tnaut* Association which only started in September 2006, have been operating at least a decade before TAO-Pilipinas. Parallelisms in the learning experiences of these organizations were drawn and then recommendations were formulated and presented in Chapter 7.

6.2 Strategies for Sustainability

TAO-Pilipinas celebrated its 5th year in August this year. For the organization to continue with development work, it has to tackle the issue of organizational and financial sustainability.

Alterplan has been providing technical assistance to cooperatives and other people's organizations in the Philippines for the past 18 years and it has already established itself in the arena of cooperatives development work. In addressing the issue of financial stability as a TA NGO, during the interview with the executive director, she shared the following strategy:

6.2.1 Linking with established groups

As a young organization, **Alterplan** also had difficulty getting projects because it has no track record to speak of. By linking with established organizations it was able to get small projects initially. Later it was able to build credibility through its work with the network and was able to forge collaborations with international organizations.

6.2.2 Project funding over grants/institutional support

Alterplan has never relied on grant or institutional funding instead it strove to for project funding which at the beginning was very difficult but later proved to be a strength because the organization can now sustain itself independent of institutional support from donor agencies. It does not distinguish between consultations and grant funding as the services it gives to the people/client are the same.

.....
• “We now have a big component
• (like the EU project) for
• something which will not
• directly result in infrastructure,
• that Alterplan itself will
• produce, but we have to find
• another group with the capacity
• to implement the infrastructure
• project, link the project with
• them given the capacity to make
• it work. We need to have that
• strategy because there is no
• foreign donor/funder that would
• fund that infrastructure project
• unless it is the Worldbank or
• ADB.” - Sarah Redoblado,
• Alterplan
•

6.2.3 Choose and focus technical assistance

Another strategy for **Alterplan** is to focus its technical assistance mainly in capacity-building of cooperatives, NGOs, LGUs, and POs for housing and urban development issues. It also acted as technical consultants for cooperatives, LGUs and other organizations on the conduct of feasibility studies for housing loan application, project design and management.

Alterplan also started by giving professional architectural design services using participatory process as well as project management services. Later it refrained from providing architectural services because it conflicted with project management and the organization wanted to focus more on the delivery of project management services which is more comprehensive in scope. The organization also realized early on that direct housing production especially in Metro Manila is very difficult and it needs another organization to assist in community organizing therefore it concentrated its efforts on capacity-building and consultancy. Through this it was able to facilitate housing production however indirectly and still help marginalized groups.

6.2.4 Networking technical assistance and support

In capacity building, **Alterplan** has built links with resource groups/organizations that can be tapped for specific projects as consultants. This has enabled the organization to access expertise in various disciplines, maintain professionalism in the delivery of technical services, and remain streamlined by maintaining a small core staff that also minimizes overhead expenses.

6.3 Innovation of Approaches

6.3.1 ‘Architecture for the Poor’

Hassan Fathy⁶⁷ believed that good architecture helps to improve human living conditions. His vision of architecture for the poor inspired many members of Task Force Arki (TFA)⁶⁸ which later on became pioneers of **Panirahanan** and TAO-Pilipinas. As students, TFA believed that they can contribute in alleviating the worsening housing problem in the country. In 1988 they were given the chance to help the Parish of St. Paul the Apostle in Barangay Magsaysay in Tondo, Manila. The approach was innovative in that participatory planning and design was conducted with each poor family needing technical assistance in house design and construction. Back then it was not common for professionals like architects to do grassroots work in poor communities. Panirahanan was created 13 years ago by the same group of students as a venue to continue working with the poor. It has provided direct technical assistance on settlements-related issues to urban poor groups/communities since then.

.....
"The building client I am interested in is represented by the 800 million people of the third world who, according to statistics, are doomed to die before their time because of the poor conditions they live in. Architects should be serving this client, but architects are not interested in these poor people. It is like the barefoot doctors in China; the poor also need 'barefoot' architects."- Hassan Fathy, 'Architecture for the Poor' (1969)
.....

⁶⁷ Hassan Fathy is the author 'Architecture for the Poor' published in 1969 describes his plan to rebuild a village in Egypt using mud bricks and native techniques. His book showed a simple and holistic approach to solve the poor's deplorable housing conditions. His ideas served as an inspiration to many members.

⁶⁸ Task Force Arki (TFA), the student organization in the College of Architecture of the University of the Philippines.

The challenge was how to draw out people’s ideas and help them identify their needs because the organization believes that the people are the best resources. Panirahanan use methods like community-drama, play-acting, popular education and transactive planning⁶⁹ which involves face-face dialogues and mutual learning.

6.3.2 Learn the ‘Language of the Community’

According to the executive director of *Panirahanan*, it is also very important to bridge the communication gap between technical professionals and the community as well as the community organizers. In this the organization must learn the ‘language of the people’. This is a huge challenge for the professionals especially architects and engineers. But *Panirahanan* learned to do this through more than a decade of persistence and commitment in working with the urban poor groups. They are also careful not to overload people with information and open lines of communication helped clarify issues that the community found confusing or conflicting.

“You have to be very careful with the language, if you can get the language of the community and the CO, then you will survive. If you get the methodology and tools then you can provide the service.”- Rolando Palacio, Panirahanan

6.3.3 Clarify TA Roles

Panirahanan sees itself as purely a technical provider and does not want to mix technical assistance with CO work. The organization does not participate in street demonstrations, mobilizations and advocacy. The organization remains neutral in network and political biases—what is important is that the community’s need for technical assistance is real. An advice on the differing approaches was that each should ‘respect and recognize established leadership (even if it is traditional), help facilitate the process and continue with the technical service.’⁷⁰ Its approach in every project is to calibrate the PO capability vis-à-vis its objectives. This lessens the risk of the blame falling on the TA later if problems in the project develop later.

“We are not important but what we are doing is important”. – Rashid Khatri, Volunteer, Urban Poor Development Fund (UPDF)-Cambodia

CASE-Thailand⁷¹ also believes in establishing the role of the technical professionals from the very beginning of the project and focus on this role. As what **CASE-Thailand**’s group architect Patama Roonrakwit said, ‘we are NGO, we are not magicians, and we cannot give you a house...’ But it is also important to understand the role of other actors like in CASE-Thailand’s case, they were working with community organizers from a public organization CODI⁷². The approaches in working with the community varied between TA and CO and sometimes conflict arose. But the architects tried to focus on the people and the design process and let the people decide what they want to do with their community without much organizing input. The participatory process has taught people to think and be critical and this has helped in decision-making for the community’s development.

⁶⁹ According to Lee C. Slusser, AICP, it is ‘like incrementalism, transactivism does not view planning purely as a scientific technique. Transactivism espouses planning as a decentralized function based on face-to-face contacts, interpersonal dialogues, and mutual learning. Transactivism is roughly behavioralist-style planning.’
<<http://www.planningpa.org/theory.pdf#search=%22transactive%20planning%22>>

⁷⁰ Excerpt from the interview with Rolando Palacio, ED, *Panirahanan*, 19 July 2006.

⁷¹ Community Architects for Shelter and Environment (CASE) established in 1996

⁷² Community Organizations Development Institute (CODI) is a public organization created by the government of Thailand to promote development and large-scale change by people.

6.4 Mainstreaming TA participatory process

CASE-Thailand architects are staunch advocates of the participatory process and they have been using this approach in all of their projects in Thailand since 1996. They have also innovated tools and methods to get the people to actively participate in the community planning and design processes.

According to Architect Patama Roonrakwit her '*point in doing the design process with the people is to open a chance for both sides (technical and community people) to learn from each other...at the end, after the whole process of designing things, the aim is not the physical design but to strengthen and to change the professional's attitude...*'⁷³

The general approach to participatory planning involved: site visits, talking with people to explain what the architects are doing, conduct community meetings and community workshops, explain/show the people how to read technical plans and understand the components/elements of a house or the community that they are planning, make a scale model (using templates) of the elements and let the people assemble the house or the community in small groups, let the people analyze and criticize their work, allow them to revise their plan, get consensus or agreement of the group/people over the revised design, finalization will be done by the architects. The process may take 3 months to half a year depending on the scale of the project.

In some cases like the 'under-bridge' community, people living under bridges in Thailand whose main livelihood is from scavenging in the garbage dumps, a model house made of wood with cloth for walls was erected for the exhibit to showcase the people's design and to encourage other under-bridge people to participate in the relocation program. The design was the basis for the new houses built at the relocation site. The people also experimented with alternative materials for house construction from recyclable materials they collected from the dumps. (Figure 6.4a)

Figure 6.4a. Under-bridge Community Planning. Photos from CASE-Thailand website



Another example is *Kao Seng* Community (Figure 6.4b) with 480 families for site upgrading. The people themselves designed the lay-out of the community and the architects mainly consolidated the 33 parts of the community improvement plan afterwards. Cost estimates were also made by the people. The architects were just initiators and facilitators of the process.

Figure 6.4b. Kao Seng Community Improvement Planning. Photos from CASE-Thailand website



⁷³ Excerpt from translation of YP exchange meeting of the author in Thailand and Cambodia October 2004.

The people themselves decided what elements they wanted to put in their community with minimum intervention from the technical team. The group was able to show the value of the participatory design process to the people—that the result of the activity was more than the physical layout but the sense of community it built and the empowerment of the people.

6.5 NGO Partnerships and Government Collaborations in Thailand

CASE-Thailand collaborated with the government through the public organization CODI in the implementation of its *Baan Mankong*⁷⁴ project. The role of technical professionals is crucial in the upgrading project of the 10 pilot communities. Upgrading in this context includes slum upgrading by physical environment improvement basic infrastructure provision, reblocking, land sharing, reconstruction, and relocation. The architects of **CASE-Thailand** worked in *Kao Seng*, a community of 480 families in 13 acres of government land which was slum upgraded and granted long term lease for the land; Pattanee which involved three communities that were relocated to a site of their choice; and Klong Lumnoon, 49 households along the canal in land sharing reconstruction. Other projects in partnership with the government were *Ayuthaya* pilot housing reconstruction in *Arkan Songkrao* located inside the UNESCO heritage site. (Figure 6.5) UCDO⁷⁵ facilitated the negotiation with the Department of Fine Arts in charge of historical sites in Thailand and the poor were able to get security of tenure in the historical city. The organization also worked with UCDO in the survey of the communities along the 17-km *Praem Prachakom* canal.

NGO partnerships include the *Samchuk* market rehabilitation and *Borwa* community improvement plan. Samchuk used to be the center of trade in *Supanburi* but it was dying because people were migrating to Bangkok in search of better opportunities. The people wanted to revive the town and they have an idea of what they wanted. The architects with *Chumchonchai* Foundation helped facilitate the realization of that idea—a museum to showcase the town’s history. It was opened in 2004.

Figure 6.5 Ayuthaya Community-Baan Mankong Pilot Project. Photos from CASE-Thailand website



⁷⁴ “Secure Housing” or Baan Mankong is the second “second program of the Thai government to address the housing problem in the country. It aims to provide secure housing to 1million urban poor households within 5 years in Thailand. It started in 2003 and is now on its 3rd year of implementation. *Baan Mankong* channels government funds through soft loans and infrastructure subsidies directly to poor communities facilitated by CODI. The community implements and manages the fund themselves.

⁷⁵ UCDO is Urban Community Development Office which merged with the Rural Development Fund to form CODI which implements the current poverty alleviation program of the Thai government

The *Borwa* improvement plan project in *Klong Samrong* involved the residents in mapping their houses and plan the redevelopment of the community. PO partnerships was with *KlongSanSook Samutprakan* project where the group worked with the community in finding an appropriate house design that was both cheap and solved the site limitations. Four house designs were made by the people and a loan was provided by UCDO for house construction, *Santithan* community action planning and design workshop in *Chiangmai* and *Klong Praem Prachakorn* community improvement plan. In these collaborations, difficulties were also encountered by the architects of **CASE-Thailand** especially in dealing with the community organizers assigned to the communities by the government. Major issues were the differing approaches in community development and people approaches, organizers that do not do their jobs and do not understand the role of the architects in the communities. This issue elaborated further in the next section.

6.6 Multi-Partnerships in Cambodia

URC⁷⁶-Cambodia established in 1997 also by architects, urban planners and engineers helped the urban poor communities in Phnom Penh by providing TA in infrastructure and trainings believing that ‘*people can build houses by themselves*’⁷⁷. **URC** also acts as the technical arm for the program implementation of Urban Poor Development Fund (UPDF⁷⁸) which provides low-interest loan for housing, settlement improvement and income generation through the communities’ savings group and federations.

UPDF also have social workers in the communities which collaborate with URC technical professionals. Projects that URC were involved with include off-site and on-site upgrading like the Wooden Footbridge project (January-April 2003) in *Phum 4₁-4₂* in *Srah Chrok Sangkat* in *Daun Penh* one of the peninsula in *Boeng Kak* lake which benefited 652 families. URC contributed money for the construction of the footbridge aside from providing TA.

The people also gave counterpart funding aside from their labor. Another was *Ros Reay* Community which is the first experiment on the 100% people-planned and people-constructed comprehensive community upgrading project in Phnom Penh upgrading 72 houses which is part of a larger neighborhood of more than 1,000 houses behind the French embassy. The community decided to construct a drainage system to prevent flooding. *Mittaheap* community is located in *Sangkat Deum Kor, Khan Toulkok* in Phnom Penh. 167 families occupied the land since 1979.



Figure 22. Phnom Penh 1997-99: Voluntary demolition → Planning → Relocation of roadside shacks.
Photo from ACHR website

⁷⁶ Urban Resource Center - Cambodia

⁷⁷ Excerpt from transcription of YP exchange meeting in Cambodia and Thailand by the author October 2004

⁷⁸ UPDF was set up in 1998 as a collaboration between the Solidarity of the Urban Poor Federation (SUPF), Municipality of Phnom Penh (MPP) and Asian Coalition for Housing Rights (ACHR) to create a revolving fund for housing and settlements improvement of the poor communities and develop institutional mechanisms to promote change in the city’ development processes.

Urban upgrading was done by improving the walkway/access, and provision of housing improvement loan to 56 families. *Thmorda* Rooftop community, 32 families living in the 5th floor of Thmodar Building since after the civil war in Cambodia in 1979. Upgrading activities include repairs from the ground floor to roof top and house improvement loan for 15 families. *Svay Check* community is located in the rural area, 34 km from Phnom Penh with 119 families, mostly farmers, in 6 hectares of land excluding the rice fields. Upgrading project involved 1.6km road and drainage construction.

In all these communities URC provided TA while UPDF provided loans and supported by the people's savings to implement the upgrade of their communities.

6.7 Technical assistance and organizing

One of the main constraints in TA work is the differing approaches used in community development work. **CASE-Thailand** architects were forced to do organizing work in some communities of the *Baan Mankong* project because the partner organizer did not do its part. The architects reported this to the government agency that assigned the organizer/s but no action was taken. According to the architect, *'it is not that they (authorities) do not listen or do not have the time but it has something to do with the attitude.'*⁷⁹The recommendation of the architect was to just focus on the technical side, do the work and perhaps it would influence the other 'side' to do its part also.

A similar case happened to architects of TAO-Pilipinas while they were working with the community inside a university in the Philippines. A dialogue to clarify the issues helped address the problem but it does not work all the time. But as Roonrakwit said it is difficult to change people especially if it is the attitude that is the problem.

.....
 "As an architect we should not do everything, because we are already doing too much... let the CO and social worker do his/her job otherwise everything is done by the architect. We should focus on what we could work on...if we fix other peoples problems it is not going to work." - Patama Roonrakwit, CASE-Thailand

6.8 Affecting policy change and the 'Living Heritage'

In the cases of Thailand and Philippines, the issue of being 'junior' was articulated as a drawback especially when one wants to influence change in the system or institution like in heritage conservation. Thailand is rich in heritage sites and almost all are occupied like Ayuthaya the old capital city. **CASE-Thailand** wanted to advocate the concept of 'living heritage' i.e. residents' involvement in heritage conservation efforts. But the authorities' conservative views on heritage conservation hindered this. To facilitate awareness, the architects informally spread the concept among friends who work in different organizations all over Thailand. They also wanted to promote community expertise in heritage conservation—a slow process but an important investment to influence the minds of young professionals who would later become policy-makers and prime movers of society.

In Cambodia, according to Rashid Khatri, volunteer architect of UPDF, one of the weaknesses he observed is that no matter what the people and technical professionals did they did not seem to affect change in government planning policies. Examples are **URC** pilot urban upgrading projects in *Tuol Sleng*, *Bateay Slak*, and *Rue Deay* in Phnom Penh which the government ignored. It took a UPDF pilot upgrading project for government to take notice and change its policy to slum/on-site upgrading. The challenge for technical professionals is how to become agents of (policy) change for the poor communities they are working with.

⁷⁹ Excerpt from transcription of YP exchange meeting in Cambodia and Thailand by the author October 2004

6.9 A Simple, Low-key Approach

A few months ago, according to the email by former URC staff Architect Meas Kim Seng, URC was closed down due to management problems after 9 years of community work. But a new organization was formed later made up of former URC architect-planners—*Tneang Tnaut Association (TTA)*. It aims to link designers, artists, and community organizers to projects with informal and marginalized communities.

Teang Tnuat, sugar palm leaf in khmer, is a main feature of the Cambodian landscape, a simple plant used for house construction, roofing, wine, sugar and packaging.⁸⁰ Similarly is **TTA**'s 'low-key' interventions in the provision of infrastructure improvements using simple and small scale methods. It also advocates housing rights and conducts researches and trainings.

It maintains a small core staff but build a network of contacts/volunteers called 'Associates' that forms the support group for the implementation of **TTA**s projects in poor communities. It has just finished a multi-stakeholder project for the upgrading of an access road in *Samaradey Satrey, Kampot* which benefited 128 families.

Almost a decade of experience of the organizers of **TTA** with **URC** has provided them with enough learnings to embark on a new technical assistance group based on the principles of simplicity and low-key interventions.

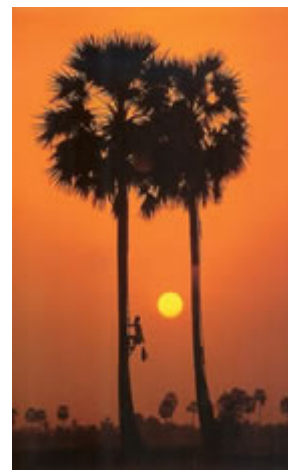


Figure 6.4. *Teang Tnaut* Palm, Cambodia. Photo from TTA website.

⁸⁰ TTA website: <http://www.teangtnaut.org/index.html>

Chapter 7 Conclusions and Recommendations

The problem of housing poverty, particularly inadequate housing supply for the poor has become a growing concern not just of the government but also of other sectors of society. The emergence TA NGOs defined in this research has been recent and marginal. However, it cannot be denied that there is also a growing need for technical assistance by the poor in housing (chapter 4) and however gradually, TA NGO contributions are being recognized.

This research was conducted primarily to understand how TA NGOs came to exist, the role it plays in housing the poor, the different housing actors it interacts with, and the social and institutional environment in which it operates.

This was done by first drawing on theories and models on the concepts of civil society and NGOs and exploring the different NGO typologies presented by various authors. Finally TA NGOs emerged as a new type that comes from a combination of the different typologies and that it focuses primarily on the support of other NGOs and CBOs/POs in development work. (See Figure 2.4.3b) The different international declarations and covenants as well as local issuances also affirmed the contribution of NGOs and strengthened its role in poverty alleviation.

The case study on the experience of TAO-Pilipinas showed the growing importance of technical assistance in land and housing but it also highlighted issues and concerns faced by TA NGOs in development work like the lack of institutional framework for TA NGO collaboration with government and the confusion over the nature of TA NGOs among development workers and beneficiaries. The TA NGO technical background makes it unique in development work but it has to work hard to bridge the gap between the social and technical aspects of its development assistance.

The local and international TA NGO experiences showed valuable learnings for TAO-Pilipinas like in sustainability, capacity-building, networking and community approaches. The parallelisms in experiences have shown that local TA initiatives are not isolated cases and that support mechanisms may be developed to strengthen the TA network especially in Thailand and Cambodia.

There have been countless researches done on development NGOs but this is the first on TA NGOs which forms a very small minority in development work. The relevance of the thesis is mainly to technical organizations and other similar professional organizations, as a resource for the continuance and advancement of technical assistance in poor communities. This thesis is also in recognition of the effort and contributions of TA NGOs in development work. It will be a good start-off point in the conduct of future assessment/evaluation of the impact of technical assistance by TA NGOs in poor communities especially those that have been operating for more than a decade now.

The presentation of this chapter is divided into four sections namely: summary highlights of previous; conclusions; recommendations, and finally strategies for further action.

7.1 Summary Results

The study is not an attempt to solve the problems of TA NGOs in development work but it is important in understanding the nature of TA NGOs. The learnings are critical in strengthening and supporting technical organizations in order to encourage them to continue and evolving technical assistance in housing the poor.

The highlights of the research findings in Chapters 5 and 6 are discussed as follows: Roles, actors and relationships; institutional framework, policies and programs; SWOT; and TA learnings.

7.1.1 Roles, actors and relationships

Technical assistance NGOs play different roles to different housing actors. But these roles also overlap depending on the type of technical assistance required by the target group. But to put the TA role in the proper context, the NGO typology is first identified. Technical assistance can mean many things to different kinds of people/groups/institutions. This study may be focused only on TA NGOs but it belongs to a bigger classification of NGOs that operate in the Philippines—the development NGOs. Therefore it was necessary that the emergence and development of these NGOs was first established by the author.

From Chapter 2, NGO typologies identified were:

- **Welfare** NGOs described as reactive traditional, 1st generation/ wave NGOs that primarily provide charity, rehabilitation and relief assistance to marginalized groups. Also referred to as service providers.
- **Empowerment** NGOs are more development-oriented and interactive. They belong to the 2nd generation/wave that focuses on organization, social action, education and capacity-building. They also provide service but in a self-help approach.
- **Consultation/support** NGOs are 3rd generation/wave and more proactive. They use advocacy, support, documentation and information sharing and support welfare/service provider NGOs and empowerment NGOs.
- **Umbrella/network** NGOs which are composed of the first three types. Linkaging can be formal or informal (issue-based).

TAO-Pilipinas primarily acts as a **support** NGO especially to PO/CBOs, NGOs and its networks. But there is no exclusivity to that role as the kind of assistance varies depending on the need of the partner organization. The PO sees TAO-Pilipinas as **service** and **welfare** although TAO-Pilipinas also provides empowerment and support type assistance. For NGOs, TAO-Pilipinas is more on support and empowerment. The government sees TA NGOs as technical **consultants** but since TAO-Pilipinas has been working closely with mostly organizing NGOs especially in advocacy work for secure tenure, the tendency to identify TAO-Pilipinas with the community organizing style of approach i.e. confrontational and polarizing (see Chapter 2) is common. The professionals and academe see TAO-Pilipinas as mainly **service**-oriented and venue for their social awareness/action and corporate social responsibility activities. Networks see TAO-Pilipinas as service but at the same time support to their initiatives.

TAO-Pilipinas is still exploring various roles based on its technical expertise and capabilities and the needs of the people. But it has a unique role in that it is working closely with grassroots organizations—the lowest 30% in the income decile, mostly informal settlements with no regular income and surviving in a hand-to-mouth basis.

The needs of these group are varied and complex especially with the advocacy on sustainable development where alternative technologies are being explored for housing the poor like in the pilot house-on-stilts project or disaster rehabilitation and management. At the very least, the organization is clear in its commitment to assist the communities and through time and experience it will be able to evolve by itself a role in which it will finally find its niche.

7.1.2 Institutional frameworks, policies and program environment

The following has the most impact on TA in addressing issues of insufficient and inadequate housing for the poor: **Local Government Code (LGC)**⁸¹, **Urban Development Housing Act (UDHA)**⁸² (Republic Act 7279); **Batas Pambansa 220**⁸³ (**National Law 220**) and the **Community Mortgage Program (CMP)**.

The interview with NHA showed that they do not have specific policies/guidelines for TA NGOs collaboration although they have joint ventures with the private sector (construction developers). Unlike NHMFC which has the CMP program that clearly outlines the involvement of NGOs in technical assistance including TA NGOs.

The general perception of NGOs by the NHA remains negative. It was necessary for the author to clarify the nature of TA NGOs because it is relatively unheard of by the government and the fact that TA NGOs are working with CO and CD NGOs in the community makes the government assume that TA NGOs are also like the CO/CD NGOs.

On a more optimistic note, external TA assistance (not professional technical consultants) may be possible in NHA housing projects because of the restructuring and streamlining in the housing agency that has made it difficult for NHA technical assistance team to cope with demands on resettlement and upgrading projects⁸⁴. But this TA and NHA collaboration will have to be tried first. Clear guidelines must be developed and finally the process institutionalized. The participatory process and community integration gave TA NGOs an advantage over professional technical consultants according to the NHA.

The interpretation and implementation of the **UDHA** has made it necessary for POs and NGOs to require assistance in awareness, education and capability-building especially in communities threatened by eviction and demolition. In the Philippines, it is better to adhere to the laws and guidelines to facilitate development regardless of the arduous permit process, bureaucracy and corruption. This issue on compliance also has an impact on the capacity of the community to conform with the laws especially on planning, building standards and permits acquisition. It has often been more prohibitive than helpful for the poor.

Technical assistance is also needed in facilitating the understanding of the **LGC** to NGOs and POs especially the people's role in the drafting of **Comprehensive Land Use Plans (CLUP)** of cities and municipalities the implementation of which impacts on the poor as land use allocation for social housing is usually overlooked if not given priority in the plans of cities. The **CMP** has been the most responsive among government's housing finance programs and technical assistance on loan documentation is a major component that affects the chances of the poor from availing the housing loan.

⁸¹ LGC of 1991 is the guideline of the decentralization and devolution of power from the national government to the local government units

⁸² Urban Development Housing Act (Republic Act 7279) provides for a comprehensive and continuing urban development and housing program in the Philippines. The most important provision of UDHA is Article VII Section 28 on Eviction and Demolition and Article III. Community Mortgage Program

⁸³ BP 220 is the standards and technical requirements for economic and socialized housing projects in urban and rural areas

⁸⁴ From the interview with the NHA official, a personal opinion and may not reflect the sentiments of other departments but shows the open-mindedness of some officials for collaboration with other groups.

TAO-Pilipinas has been assisting CMP communities although it is not an ‘originator’⁸⁵. Definitely, it has a role with facilitating housing access through the CMP but it should also enhance its knowledge of the LGC provisions as well as BP 220 and UDHA for a more proactive and responsive housing and urban development alternatives and for awareness and capacity building of NGOs and POs.

7.1.3 Learnings from other TA NGOS

7.1.3.1 Alterplan: Sustainability in project funding/networking

Sustainability is currently a main issue for the TAO-Pilipinas like most other NGOs in the Philippines dependent on institutional support from international organizations. The current shift of development assistance to Africa and other regions in Asia has created a dearth in available funding for local development workers.

TA NGOs to the perception of most funding agencies are capability of sustaining itself through professional fees. And in housing and infrastructure, no donor agency provides funds for production unless it is the World Bank or ADB because this is seen as the government responsibility. But TA NGOs do not have to go into direct housing production in order to help address the problem of insufficient/inadequate housing. The following are its strategies for sustainability:

- **Focus TA to capacity-building** of in capacity building of cooperatives, LGUs and other organizations that is into cooperative housing development.
- **Consultancies in project design and management** which enabled them to be involved in the whole housing process.
- **Network of resource groups** which can be tapped for capacity-building/trainings keeping the organization itself streamlined without sacrificing technical expertise and professionalism.
- **Advocacy and networking** also made them visible in the sector and built credibility that facilitated collaborations/projects with international agencies.

TAO-Pilipinas is working with grassroots organizations primarily in the informal sector⁸⁶ with very limited financial resources and capability. This sector is the most neglected in housing even though the national shelter program of the government has targeted this group and the NHA has the mandate to assist this group of the lowest 30% income decile.

These people have resorted to ‘self-help’ initiatives because government has not been able to assist them in housing. Technical assistance has been crucial in their bid for security of tenure and housing. Generating funds from projects in this sector would be more difficult although not impossible. Focusing technical assistance, making the people provide counterpart funding in projects (to discourage dole-outs) and networking expertise for capacity-building and accessing donor support are lessons that TAO-Pilipinas can perhaps adapt and use to fit its special circumstances.

7.1.3.2 Panirahanan: Learn the language of POs and NGOs

The difficulty in the transfer of knowledge and skills especially during capacity-building trainings to the community is one obstacle that needs to be addressed by TA

⁸⁵ Originators help facilitate the loan documentation for CMP as well as monitoring of the communities after loan take-out and may be an NGO, local government, or other groups.

⁸⁶ Informal sector refers to groups living in informal settlements usually in danger zones, involved in informal or underground economy for livelihood and survival (vendors, hawkers, beggars, etc.)

NGOs. Along with this is dealing with the complexity of the organizing partners and their CO-CD dialectics.

Panirahanan's advice on *'learning the language of the PO and the CO'* is important and appropriate. There is no 'manual' that outlines how technical assistance should be conducted in community development work. TA NGOs have to bridge this gap to work effectively in the development arena.

Participatory processes have enabled the learning process between the people and the TA to be more interactive and responsive but techniques have to be developed to make the process more interesting and effective. Oftentimes the desire to impart as much information as possible to the people which the TA professionals think are important to the community tends to neglect the people's contribution to the whole process. Learning is a two-way process in which the professionals and the people could benefit from as the people are a rich resource of learning experiences⁸⁷. Learning the language of POs, NGOs and government is an important skill that TAO-Pilipinas' should develop in their TA work.

7.1.3.3 CASE-Thailand: Participatory process/government collaborations

Participatory planning and design processes have become a trademark of CASE-Thailand architects. They were able to develop tools and methods to connect with the people in the design and planning process using scale models, modular space construction, the 'dream house' exercise and children's art workshop among others. It was able to get attention and participation from the people.

.....
• "I stopped trying to work
• for and started trying to
• work with people"- John
• Turner, *Housing by*
• *People* (1972)
•

The participatory process requires a lot of preparation, coordination and resources. By making it an interesting and relevant exercise to the people, even if the design is not implemented, the experience is enough to make people realize that they have capabilities to plan and effect changes.

Also it is interesting to note that the TA NGOs are also **working with government** agencies (like CASE Thailand-CODI and URC/TTA-UPDF). The loan government provides to the people facilitates the implementation of the project and the realization of the people's 'dreams'. In this the contribution of the participatory process is highlighted, recognized and made more valuable.

In the Philippines TA NGO collaboration with government housing projects has not been 'successfully' done due to the lack of institutional framework for TA-Government collaboration. Since housing project implementation is capital/resource intensive, the people's plan is often not realized. The value of the participatory process becomes futile. Learning from CASE-Thailand, despite the difficulties encountered with collaborating, especially with community organizers assigned by the government, in the end it was the people who benefited when the project was implemented.

Therefore, for TAO-Pilipinas **building partnerships** especially with government who has the resources and the means is vital to enable the people to realize their 'dreams' or the housing project.

⁸⁷ Quoting Rolando Palacio of *Panirahanan* during the interview

7.1.3.4 URC/TTA: Simple and low key approach

TTA's simple and low key approach is very promising especially by undertaking small scale projects that are easy to manage and gain support. But of course in the context of Cambodia this might be the best approach.

TAO-Pilipinas on the other hand needs to evolve itself, focus its technical assistance, and find a way to optimize use of both human and financial resources that are available. Housing production is a major undertaking requiring huge financial and human resources. A lesson in the Philippine case is that upgrading projects are usually large scale (Pineda, Baseco, Parola, UP Campus, etc) and this has affected the delivery of TA. TAO-Pilipinas has also recognized this although because of the desire to help and the immediate situation in which TA is needed, it was not able to concentrate on focusing streamlining of its services and strive for a more proactive rather than reactive role.

7.2 Summary Conclusion

The needs of the poor in housing have become more specialized and complex with the growing global clamor for sustainable developments at the start of the new millennium. This has made multi-stakeholder partnerships essential and the 'exclusivity' of a process whether TA or CO, or CD is becoming blurred as the integration and collaboration of processes and initiatives are becoming more collective. In this way, TA NGOs have filled a special role in development work especially housing the poor. TA NGOs in housing are critical in several ways:

- **Advocacy** in secure tenure and housing are critical in the cases of communities threatened by eviction and demolition. It also built awareness of communities on land, housing, heritage conservation and alternative housing technologies issues.
- **Capacity-building** is critical for both NGOs and POs to improve skills and build understanding of laws and standards relevant to housing.
- **Design, implementation and/or management of housing and housing related projects** like urban upgrading, resettlement, CMP loan documentation, and housing cooperatives.
- **Participatory processes** is essential to all TA interactions and this has also made TA **unique** among other technical professionals as outputs where more **responsive** to the needs of the people and it gave the community **ownership** of the results.
- **Networking** also played an active role in enabling the different actors to support each other through the exchange of expertise, experiences and ideas. Also it enabled access to funding support of donor agencies
- **Challenge of Sustainability** of TA NGOs is a reality. Several approaches were notable like Alterplan's project-based funding and networking and CASE-Thailand's and URC's participatory processes and collaboration with government institutions in urban upgrading and relocation projects.
- **Development of enabling policies** and programs for TA collaboration like the CMP and NHA housing programs. In all TA NGOs, **focusing technical assistance** has made them more **efficient** in the delivery of services and a **streamlined organizational structure** has enabled them to be more **sustainable**.

7.3 Recommendations

On the Roles

- **Focus on what type of service the organization should promote** to lessen confusion between organizing and technical issues, clarify responsibilities, enable TA NGOs to have a ‘closure’ on projects, and lessen burden on resources.

<i>Strategy</i>	<i>Actors Involved</i>	<i>Timeframe</i>
<ul style="list-style-type: none"> • Clarify nature of TA NGOs • Focus TA • Enhance support services (esp. capacity building) 	<ul style="list-style-type: none"> • TA NGO, partner NGOs, POs • TA NGO • TA NGO, NGOs, PO, Government, Academe 	<ul style="list-style-type: none"> • Short term • Short term • Long term

On the relationship with other stakeholders

- **Maintain the organization’s neutral identity/stand** as TA should benefit all especially the poor and not just some select group/s. The organization can also act as a bridge/link or mediator between organizations with opposing views and facilitate harmonious relationships among housing actors/stakeholders.
- **Build linkages and strengthen network** to get support socially, institutionally, financially, professionally and build track record organizationally and help sustain the organization.

<i>Strategy</i>	<i>Actors Involved</i>	<i>Timeframe</i>
<ul style="list-style-type: none"> • Maintain neutral stand • Build linkages and develop network 	<ul style="list-style-type: none"> • TA NGO • Partner NGOs, POs, Government, Donors, Professionals, Academe 	<ul style="list-style-type: none"> • Short term • Long term

On the institutional policies and programs

- **More in-depth study and understanding of institutional policies and programs that relate housing and urban development** relevant in advocating for more TA support in development work and the development of clear guidelines in TA NGO collaborations especially in government housing projects. This is also important in the capacity-building, education and awareness-raising of NGOs, POs, local government units and other organizations/institutions.
- **Initiate and strengthen advocacy work on policies and programs that impact on TA.** Like capacity-building, education and awareness-raising of NGOs, POs, local government units and other organizations/institutions on planning and building standards as well as other housing and urban development processes.

<i>Strategy</i>	<i>Actors Involved</i>	<i>Timeframe</i>
<ul style="list-style-type: none"> • Develop in-depth understanding (laws & standards) • Advocacy work (to promote TA & develop clear policies/ guidelines on TA interaction) • Build alliances to support advocacy work 	<ul style="list-style-type: none"> • TA NGO with assistance from legal adviser in the advisory board • TA NGO with partner NGOs, POs on housing agencies • TA NGO 	<ul style="list-style-type: none"> • Short term • Long term • Long term

On the organization

- **Build linkages and strengthen network.** This is to build support for technical expertise that could be tapped for capacity building especially in the communities.
- **Strengthen and promote volunteer and community integration program.** Like Young Professionals program as human resource investment for TA work to promote social awareness of students and professionals on housing and urban development issues.
- **Develop and promote participatory planning processes in TA.** The process of participatory planning for TA in the communities is what makes TA NGOs unique from other technical professionals in mainstream practice. This is a challenge to the organization but it strengthens the link with the communities and enables a two-way learning process between technical professionals and partner organization/people.
- **Institutionalize process documentation of projects**

- **Develop and institutionalize TA monitoring and evaluation system of projects and programs** to enable development and improvement of TA

<i>Strategy</i>	<i>Actors Involved</i>	<i>Timeframe</i>
• Strengthen existing networks	• TA NGO, partner NGOs, POs, Academe, Professionals, other groups	• Short term
• Forge new linkages	• TA NGOs with other groups	• Long term
• Build up volunteer program	• TA NGO and partner NGO, PO, Academe	• Short term
• Institutionalize process documentation	• TA NGO, partner NGOs, POs	• Short term
• Develop effective impact evaluation/assessment mechanism	• TA NGO	• Long term
• Mainstream participatory process	• TA NGO with partners and other groups	• Long term
• Enhance staff capacities by developing special technical expertise	• TA NGO staff	• Long term

On Sustainability

- **Aim for sustainability.** TA NGOs to refrain from relying on (foreign) institutional support rather tap local resources by building linkages with other organizations through multi-stakeholder partnerships, streamline programs based on resource capacities, focus technical assistance and establish savings and other revenue-raising activities that will not conflict with the principles of the organization.
- **Develop ‘marketing’ strategy** to increase TA support from local and international donor agencies.

<i>Strategy</i>	<i>Actors Involved</i>	<i>Timeframe</i>
• Promote TA with support agencies local & international (donors)	• TA NGO, partner NGOs & POs	• Long term
• Multi-stakeholder partnerships	• TA NGO, NGO, PO, Government, Academe, Professionals	• Long term
• Encourage counterpart support from partners	• TA NGO, partner NGOs & POs	• Short term

7.4 Final Remarks

Finally, this thesis showed that TA NGOs play an important role in housing the poor, not only in the Philippines but also as the case review showed, in Thailand and Cambodia. By drawing a clear definition of TA NGO from civil society models and NGO typologies, this thesis was able to contribute to the understanding and clarification of TA NGO nature and role in development work which will impact on the way various actors will deal with TA NGOs in the future.

This research also highlighted issues and concerns especially about relationships between actors not just locally but also from an international perspective that contributes to the understanding, better coordination and interaction between TA NGO and the housing actors. The results also revealed the lack of institutional framework to guide and support TA NGO collaboration with government but this research may serve as a jump-off point for further research and activities to push for an enabling environment for TA NGOs in housing the poor may be initiated.

All these have contributed towards the main objective of this research, that of understanding and enhancing the role of TA NGOs in housing the poor. ☼

“We must become the change we want to see in the world.”
- Mahatma Gandhi (1869-1948)

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Annex

Annex 1 Resource Organization/Persons List

List of interviewed organizations and representatives:

ALTERPLAN, Inc. – Arch. Sarah Redoblado, Executive Director

COPE Foundation, Inc.– Jocelyn Vicente Angeles, Executive Director; Nardito Sayson, CO*-Naga City

DAMPA, Inc. – Felomina H. Duka, Secretary-General with Jocelyn Castillo, Emma Manjores, and Inno Fernando, Community Organizers; Nerizza Lazcano, Admin/Bookkeeper; Patricia Herrera, DAMPA Treasurer/ PACOMNA-President

KABALIKAT – Jeorgie Tenolete, President

NHA – Arch. Maria Alma T. Valenciano, Deputy Area Management Officer, National Capital Region

Panirahanan, Inc. – Rolando Palacio, Executive Director

SANAGMANA – Linda Arranchado, Vice President with two BOD members

SAPSPA, Inc. – Melitona Sevillano (Livelihood Committee President), Rita Guevarra, Internal Auditor (Board of Director)

UPA, Inc. – Teodoro Añana, Deputy Coordinator

NALAMA – Alfredo Ajero, NALAMA President/Daang-Tubo Community leader

TAO-Pilipinas, Inc. – Arch. Gertrudes Samson, OIC-Executive Director/ HSE Program Coordinator; Arch. Beryl Baybay, ET Program Coordinator; Ananeza Aban, ET Deputy Program Coordinator; Angelus Maria Sales, Arch. Amillah Rodil, Engr. Rosalyn-Frances Marcelo, RP Program Staff; Marie Edraline Belga HSE Program Staff; Arch. Geraldine Matabang, YP Program Coordinator, Anita Salvan, Administration/Finance, and Zenaida Perdigon, Administration Assistant.

Other sources of information:

Arch. Meas Kim Seng, Coordinator TTA (Cambodia)

Arch. Din Sommearith (YP Network, Cambodia)

**CO – community Organizer*

Annex 2A Fieldwork Photos: Workshop with SANAGMANA, Navotas



Annex 2B Fieldwork Photos: Visit and Interview in Baseco, Manila



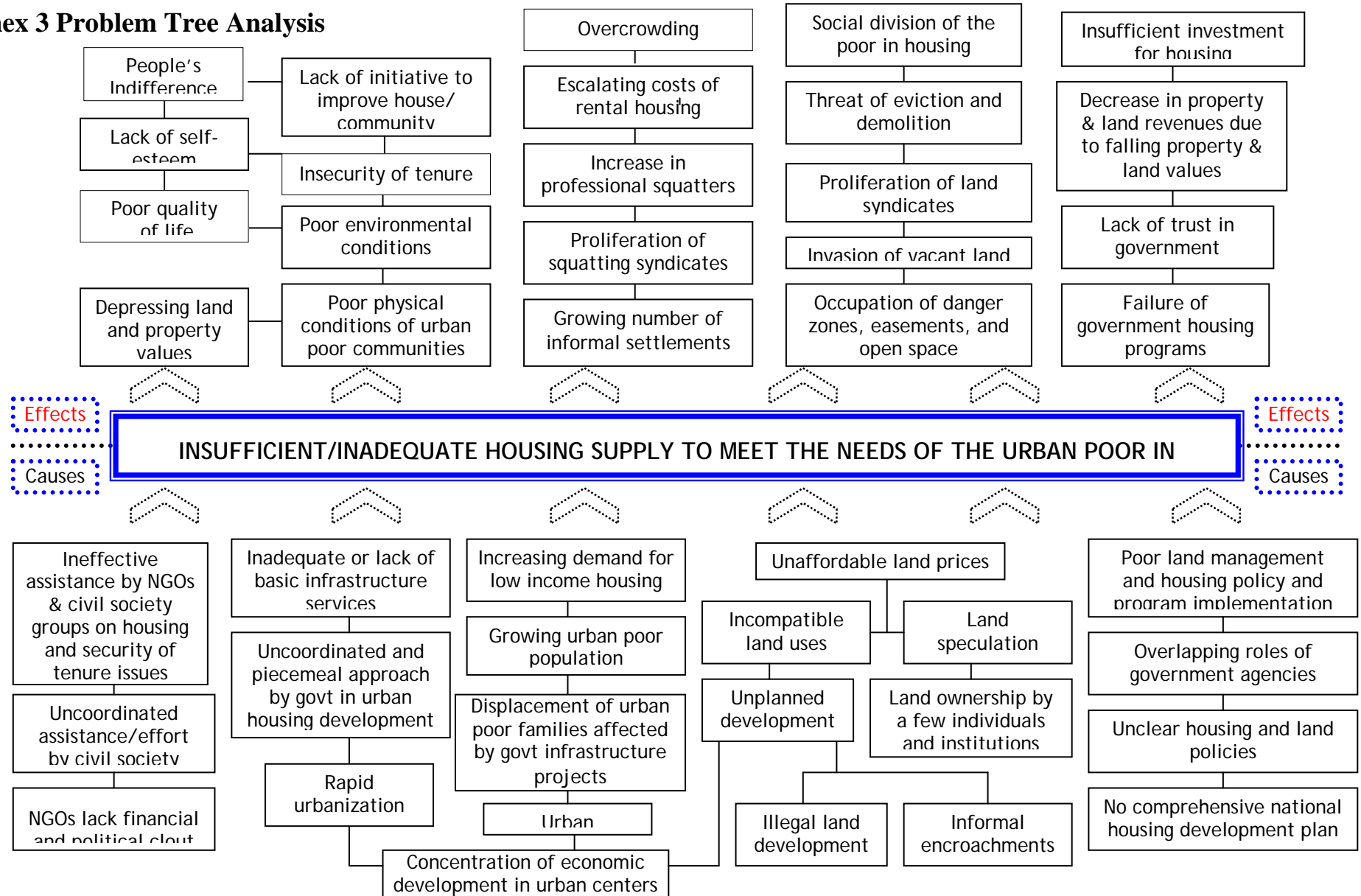
Annex 2C Fieldwork Photos: Visit and Interview in SAPSPA, Manila



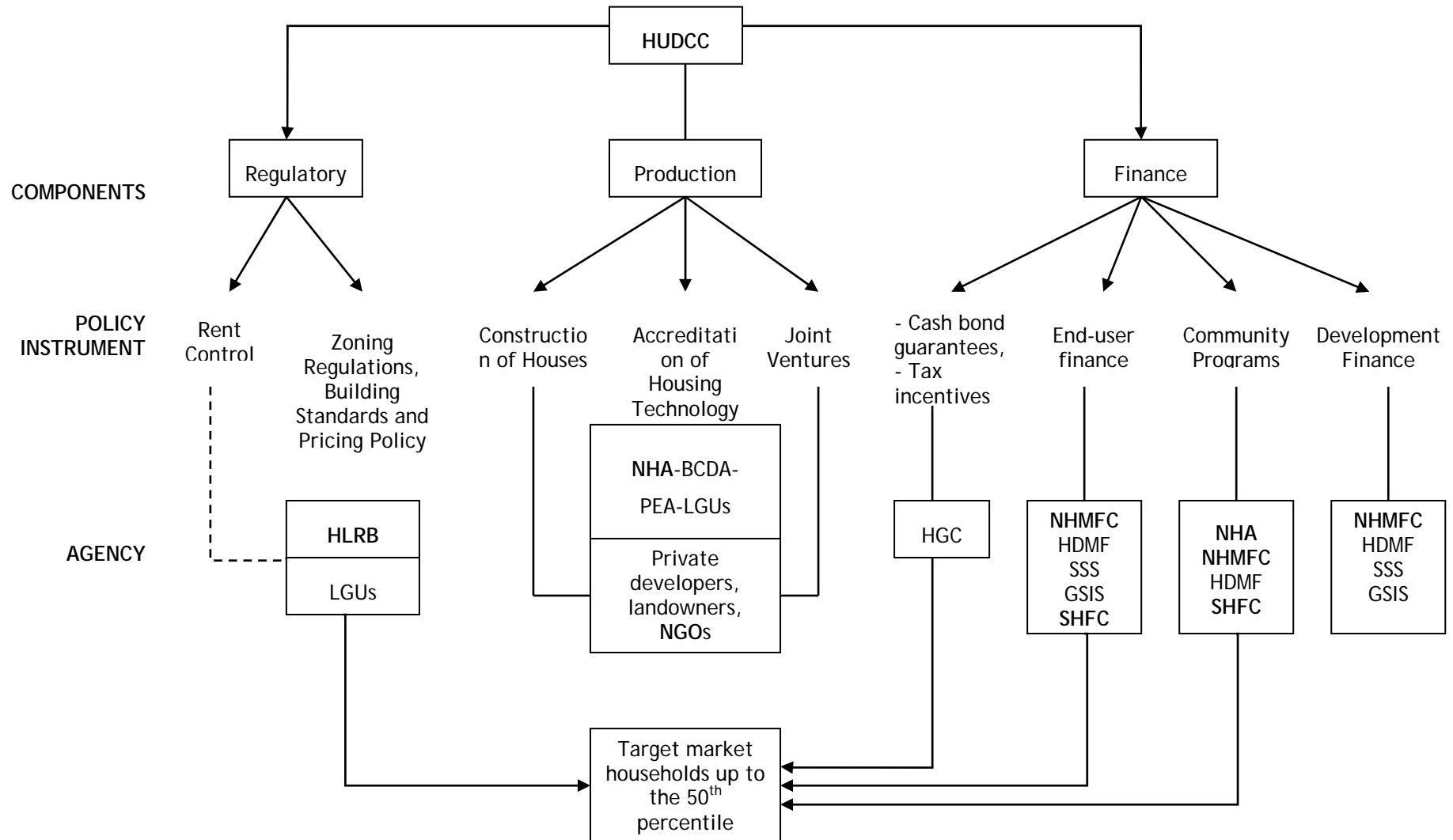
Annex 2D Fieldwork Photos: at the TAO-Pilipinas Office, etc.



Annex 3 Problem Tree Analysis



Annex 4 National Shelter Program (NSP) Structure



Annex 5 – Scale of Nonprofit Activity

Table 2.4 The scale of nonprofit activity, 35 countries, 1995-98

- ≠# \$1.3 trillion in expenditures
 - 5.1 percent of combined GDP

 - ≠# 39.5 million FTE workforce, including 21.8 million paid workers and 12.6 million FTE volunteers
 - 4.4 percent of economically active population
 - 46 percent of public sector employment
 - 10 times the employment in the utilities and textile industries in these countries

 - ≠# 190 million people volunteering
 - 221 volunteers per 1,000 adult population
-

Source: Johns Hopkins Comparative Nonprofit Sector Project

Annex 6 – Local TSO/TA NGO Profile: Alterplan

ALTERPLAN, Inc.: 18 Years of Technical Service for Housing and Settlements Development

“A just and democratic Philippines with an environment that is nurturing of its citizens.”

In 1990, a group of young architects and planners incorporated Alternative Planning Initiatives or Alterplan, a non-stock, non-profit technical service organization for housing and settlements development by self-help and non-profit groups. Initially the group was formed in response to the call for corporate social responsibility of one architectural firm based in Manila. In the course of its work with people’s organizations and NGOs, Alterplan realized that the role of architects and planners is not just to design and build structures but to work towards conditions in the natural and built environment that are supportive of the people’s aspirations.

It has a small core staff and maintains a pool of experts and specialists to assist in the implementation of its multi-faceted programs in areas like capacity building/training, settlement design, cooperative development, curriculum development, community mobilization, and financial planning and management. It is affiliated with networks like the Partnership of Philippine Support Service Agencies (PHILSSA), Habitat International Coalition (HIC) and Urban Research Consortium (URC).

Programs and Projects

Included in its programs are technical assistance for poor communities, training workshops and seminars for poor communities, cooperatives, LGUs and NGOs, research and event management for housing, urban development and planning related conferences and trainings. Current projects include the Local government barangay level monitoring system development: Measuring Target 11 of the MDG in partnership with Foundation for Integrative and development Studies (FIDS) funded by the European Union-Philippines Small Projects Facility and the Civil trades training in Conflict-Affected Areas in Mindanao in behalf of the Education and Employment Alliance (EEA) of the Consuelo Foundation. This project is also in support of the Habitat Build for Peace in Mindanao project campaign of Habitat for Humanity Philippines.

There is also the on-going collaboration with Rooftops Canada on Measuring progress in human development *project* which involves research, data collection, survey and capacity building for the adaptation of the UN-Habitat development indicators in project planning and implementation of NGO-led shelter initiatives. Also, it provided technical assistance for project planning, feasibility and fund sourcing for the phase 2 of land development and house construction of San Francisco Government Employees Multi-Purpose Cooperative (SAFRAGEMIC).

Completed projects include the management of a low-cost housing development in Quezon City for sponsored families of Children International (2003-2006), assistance for Habitat for Humanity Philippines in the monitoring and management of its Medium Rise Housing project in Taguig, Metro Manila supported by the European Commission. From 1998-2003, it managed the housing sub-project of Socio-Economic Development through Cooperatives in the Philippines (SEDCOP).

Contact information: Arch. Sarah Redoblado, Executive Director, Alterplan Office address: Room 307 Bencom Building, 146 West Avenue, Quezon City, Philippines, Phone (632) 448-7287/9269082 (Fax), Email: alterplan@alterplan.org.ph website: <http://www.alterplan.org.ph>

Annex 7 – Local TSO/TA NGO Profile: Panirahanan, Inc.

PANIRAHANAN: 13 Years of Community Technical Assistance

“A society of self-reliant communities. An environment that builds people.”

Panirahanan, Inc. or Pani traces its roots to the student-based organization Task Force-Arki or TFA based in the University of the Philippines College of Architecture in the late 1990s. TFA believes in the capacity of the students for concrete involvement on national issues particularly the worsening housing problem. Pani is a non-stock, non-profit, non-government organization of architects and architecture graduates from the same university-based organizations (TFA) and formally registered with the Securities and Exchange Commission (SEC) in 1992. It has created a niche for itself in development work, being one of the few technical service organizations working with urban poor communities in the Philippines. Pani offers professionally regular architectural services, AutoCAD/Model-making and group facilitation and in the development field community design facilitation, popular technical training, solidarity/network and institutional support to the poor. Pani aims to provide technical assistance to communities and organizations engaged in shelter and settlements development programs and create suitable and adaptable community project studies with the involvement of the project users. It also believes in multi-disciplinary approach and maintains a network of both government and non-government organizations.

Programs and Projects

Its programs include: Direct technical assistance using participatory methods; public housing lecture as avenue for learning and interaction; community study tour as a venue for interactive learning between leaders of poor communities; barefoot architect's resource library that was set up to provide information to low-income communities; and barefoot curriculum development that provides community members with relevant housing technical inputs. Pani is working all over the Philippines. Notable is Pani's constant assistance to SAMA-SAMA (1996–onwards) which includes in 1999 the drafting of the “people's alternative housing” plan designed by the community themselves and later with ALYANSA, the federation's alternative conceptual physical plan called the “People Proposal: Housing and Enterprise”, schematics and actual scale model of the 23-hectare designated economic zone. Another was assisting in actually locating the Circumferential Road-5 expansion (C-5) and Angat Water Supply Optimization Project which affected some 3,000 families and encouraged the affected families to start savings mobilization, orientation on financial housing packages, land research and site evaluation. Pani also did a technical assessment of the proposed 435-hectare government relocation site in Montalban, Rizal Province (Macabud Country Estate). Pani also conducted action research on the government's ‘Area for Priority Development’ (APD) slum upgrading program in partnership with Urban Poor Associates (UPA) from 1992-1994. It also provided technical assistance to seven (7) urban poor communities affected by the Asian Development Bank funded Pasig River Rehabilitation Program (PRRP) from 1994-2000. Currently, among other projects, it has been assisting the Payatas Land Use Technical Group (TWG) Initiative to come up with action points regarding poor housing and economic dislocation of waste pickers/scavengers upon the closure of Payatas Controlled Dumpsite facility in 2007. It also give trainings, workshops and study tours on alternative building technology, community mortgage program, community planning and upgrading, ecological solid waste management, human and housing rights, livelihood, social housing, and young professionals program. Institutional funding support has mainly been from a German donor agency. **Contact information:** Rolando Palacio, Executive Director, *Panirahanan* E-mail: pani_346@yahoo.com; Office address: 346 Mayon Street, Barangay Lourdes, 1114 Quezon City, Philippines.

Annex 8 – International TSO/TA NGO Profiles:CASE -Thailand⁸⁸

History and Background

CASE (Community Architects for Shelter and Environment)-Thailand was founded in 1996 by Patama Roonrakwit, a Thai architect based in Bangkok. Together with 11 other architects, they formed a group that is now closely working with the urban poor in informal settlements in Thailand. The group employs a humanitarian and anthropological approach in creating appropriate housing for the people.

The interest of the group lies in the generation of alternative housing visions, delving into the relationship between dwelling and context as both the physical environment and the human element are important aspects of housing.

CASE-Thailand has been collaborating with CASE-Japan, an organization that shares the same vision with CASE-Thailand. CASE-Japan has been offering housing solutions for those people with comparatively less means, choice and opportunity in Japan. They initiated TEN Osaka, a housing project consisting of ten housing units sharing the same plot of land with each unit designed by a different architect and with the full cooperation of the client. Each unit then became an expression of the client's aspirations and way of life. TEN Osaka served as an inspiration for CASE-Thailand when they developed the TEN Bangkok project as an alternative housing solution for the forgotten middle class population in Bangkok.

Programs and Projects

CASE-Thailand worked in many communities across Thailand with the community people as main participants in the whole process: from surveying to community mapping, group meetings to action planning workshops, until house completion. CASE-Thailand has carried out the following projects:

Samchuk (2003). The rehabilitation of the old market in the small town of Supanburi which used to be the center of trade in the region with the assistance of the Chumchonchai Foundation. The people has already an idea of what they wanted. The strategy was to showcase the town's history—by using an old house as museum. The house used to be a place where people would come to meet, party, or discuss problems in the community. A committee was formed to take care of the museum. The people actively participated in every aspect of rehabilitation not only of the old market but also of how they perceive their community. The museum was opened in 2004.

Akran Songkroa (1999-2001). Two architects worked in this pilot reconstruction project in the old capital city Ayuthaya, a declared UNESCO World Heritage Site where 53 informal settlements can be found with a total population of 6,611 households. A network has linked the urban poor communities in Ayuthaya and introduced the idea that the poor and historic monuments can co-habit together in a mutually beneficial way. UCDO89 (Urban Community Development Office), an organization established in 1992 that manages the UPDF (Urban Poor Development Fund) of 1,250 million baht given by the

⁸⁸ Background material taken from CASE-Thailand website
<<http://www.casestudio.info/index.html>>

⁸⁹ UCDO later merged with the Rural Development Fund and became CODI (Community Organizations Development Institute) in October 2000. CODI manages the UPDF and gives out loans to the urban poor networks and savings groups. Loans include: Revolving Fund Loan, income generation, community enterprise, housing improvement, housing project, network revolving fund, revival loan (Miyazawa) loan to relieve community crisis and debts, and guarantee loan. Interests are applied in each type of loan.

Thai government was already coordinating with the National Housing Authority (NHA), the municipality and the Department of Fine Arts in charge of Thailand's historical monuments, promoting the idea of housing the poor within the heritage site. UCDO took care of the loan arrangements for the people. The communities are already doing savings, credit, welfare and environmental improvements in the area. The architects together with the people collaborated in redesigning their houses and community layout. First, participatory workshops were held which produced three house types, the design of which is based on people's affordability. After the people have chosen their house type, a group site planning was done. The community was divided in four zones and houses were put in each zone by the people themselves. Each zone is linked with a central common area allowing for group communal activities. Then each zone was designed according to the preferences of the would-be residents. Discussions on how to go about the construction followed. The people decided to build all at the same time. A staging area was chosen to house the people during construction. Construction started in March 2001. A foreman was hired to coordinate the construction activity while the community supplied the labor. Each family was required to dismantle their own house and the good materials were used in the construction of the new houses.

Other projects include the housing design and model house workshop of the Under-bridge community in 1999, the results of the workshop was exhibited to showcase the model house and the innovative process of design; Kao Seng, the pilot community of the Baan Man Kong Project⁹⁰ with 480 families living in 26 rais (13 acres) of government land. The architects with the people were able to piece together 33 (parts of the) improvement plan to create a new and improved community which Kao Seng is currently implementing. The Bor-wa improvement plan project (1991) in the Klong Samrong where CASE helped the residents map their houses and plan the redevelopment of the community; KlongSanSook Samutprakan project where the group worked with the community in finding an appropriate house design that was both cheap and solved the site limitations. Four house designs were made by the people and a loan was provided by UCDO for house construction; Santithan community action planning and design workshop in Chiangmai (1997); and Klong Praem Prachakorn community improvement plan. Contact information: Architect Patama Roonrakwit, Group Architect, 79 M. 8 Ramkamhang Road, Minburi, Bangkok 10510, Thailand, Tel/fax: +66-2-919-5918, Email: casemailbox@yahoo.com, Website <<http://www.casestudio.info/index.html>>

⁹⁰ *Baan Man Kong Project* launched in 2003 by the Thai government is a nationwide program which aims to provide secure housing to 1 million poor households within 5 years.

Annex 9 – International TSO/TA NGO Profiles: URC-Cambodia

URC (Cambodia) and Tneang Tnaut

URC as of this writing already closed months ago. The information used in this research are excerpts from interviews with URC staff, email correspondences and materials collected by the author during her visit to URC office in Phnom Penh, Cambodia last October 2004. The author was not able to get other details about the closure of URC other than it was due to management problems.

Another technical assistance organization, Tneang Tnaut Association, was founded September this year by the same group that worked with URC and some information about Tneang Tnaut were included in this research.

Background and History - URC

The Urban Resource Center in Cambodia is an NGO that was established in 1997 by a group of young professionals (urban planner-architects and engineers) working with urban poor communities to build better cities. The objective of the group was to get involved with the urban poor community and urban community development issues in Phnom Penh. URC have six staff, most of which are architects. The organization was funded by Oxfam-Great Britain, Danchurch Aid, and DCA . Its regular environmental educational programs for the urban poor in Phnom Penh include: Infrastructure technical assistance, community training and a newsletter.

Environmental projects, which include slum upgrading, were also being supported by the Asian development Assistance Facility, New Zealand Aid and implemented in partnership with the Municipality of Phnom Penh, Solidarity of the Urban Poor Federation (SUPF) and Fraser Tomas Ltd. SUPF is the only large scale people's organization in Phnom Penh that is active in about half of the city's 569 poor communities established in 1994.

The project goal of URC is to reduce poverty and improve living conditions in urban poor settlements of Phnom Penh and Cambodia and the objective is to implement in a replicable and participatory way cost effective small environmental improvement projects in urban poor communities in Phnom Penh which respond to the needs and environmental concerns of people in urban poor communities. Another is to build the capacity of people in poor settlements for continuing improvement of the living environment of the poor.

URC assists the community by facilitating the organization of communities; conduct trainings on technical and project management, community action planning, waste management, environmental education and technical surveys; and facilitate the participatory project implementation and impact monitoring.

Programs and Projects

Projects that URC were involved with include off-site and on-site upgrading like the Wooden Footbridge project (January-April 2003) in Phum 41-42 in Srah Chrok Sangkat in Daun Penh one of the peninsula in Boeng Kak lake which benefited 652 families. URC contributed money for the construction of the footbridge aside from providing technical assistance. The people also gave counterpart funding aside from the labor.

Next was the Ros Reay Community (May 2003) which is the first experiment on the 100% people-planned and people-constructed comprehensive community upgrading project in Phnom Penh. 72 houses which is part of a larger neighborhood of more than 1,000 houses behind the French embassy, was upgraded.

The community has been experiencing flooding problems during the rainy season and it was decided by the people that the construction of a drainage system is a priority.

Mittaheap community is located in Sangkat Deum Kor, Khan Toulkok in Phnom Penh. 167 families occupied the land since 1979. Urban upgrading was done by improving the walkway/access, and provision of housing improvement loan to 56 families.

Thmorda Rooftop community, 32 families living in the 5th floor of Thmodar Building since after the civil war in Cambodia in 1979. Upgrading activities include repairs from the ground floor to roof top and house improvement loan for 15 families.

Svay Check community is located in the rural area, 34 km from Phnom Penh with 119 families, mostly farmers, in 6 hectares of land excluding the rice fields. Upgrading project involved 1.6km road and drainage construction.

All these communities that URC assisted have savings and contributed funds to the upgrading of their communities.

Annex 10 – International TSO/TA NGO Profiles: Tneang Tnaut Association⁹¹

Brief Background:

Tneang Tnaut Association (TTA) is a newly established Cambodian organization that links designers, artists, and community organizers to projects with informal and marginalized communities. It is an initiative by former URC staff architect/planners Hallam Goad (British national) and Meas Kim Seng (Cambodian citizen). Teang Tnuat means sugar palm leaf in khmer, a versatile plant that is a main feature of the Cambodian landscape. It can be used for house construction, roofing, wine, sugar and packaging.

The aim of Tneang Tnaut is to provide ‘low key’ interventions and a useful resource for informal and marginalized settlement to improve their own infrastructure and surroundings using small scale and simple approaches. It also aims to advocate for informal settlements through research and debate, cooperate with Government policies but also bring rights issues and abuses to local and international media attention. It maintains a small core team and works to develop in the future a large number of contacts/volunteers invited as “Associates” (non-salaried).

TTA has three main work areas: Community Infrastructure Unit that provides technical assistance and support to small-scale community-based upgrading ranging from community mapping to construction of access roads, and drainage and sanitation with the use of local labor. Another is Housing Rights and Advocacy Unit which will advocate for the communities affected by housing rights abuses and assist in the preparation of material for publication and press releases. Last is the Research and Training Unit which will conduct research and document informal settlement issues and conditions, encouraging and training new generation Cambodians to volunteer and get involved with these issues.

Programs and Projects

Current projects: Upgrading of the access road in Samaradey Satrey community of 128 families in Kampot, South Cambodia. A small pilot project supported by the Urban Poor Development Fund (UPDF) and the Asian Coalition for Housing Rights (ACHR). Technical assistance was on the design, budgeting, and project management. Implementation was using the local labor.

TTA has also recently completed a research project in three coastal town on informal settlements titled: Land Not for Sale.

Contact Information: Hallam Goad, email: hallam@camintel.com or Meas Kim Seng email: measkimseng@hotmail.com

⁹¹ Most information taken from the *Tneang Tnaut Association* website
<<http://www.teangtnaut.org/>>