

Handbook for

Improving the Living Conditions of Roma

MODULE 1

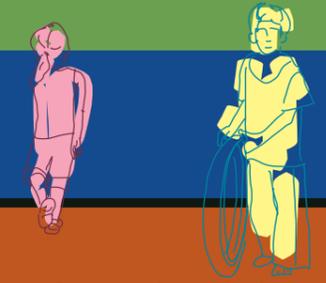
Suggestions for Program Managers

MODULE 2

Practice and Advisory Notes for National-Level Authorities

MODULE 3

Good Practice Notes and Tools for Local Actors



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Handbook for Improving the Living Conditions of Roma

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ABBREVIATIONS

AzRIP-2	Azerbaijan Second Rural Investment Project
CESAR	Complementing EU Support for Agricultural Restructuring Project
CfP	call for proposals
CLLD	community-led local development
CPTED	Crime Prevention through Environmental Design
CSO	civil society organization
EAFRD	European Agricultural Fund for Rural Development
EC	European Commission
ERDF	European Regional Development Fund
ESF	European Social Fund
ESI Funds	European Structural and Investment Funds
EU	European Union
GRM	grievance redress mechanisms
ICT	information and communication technology
ITI	integrated territorial investments
LAG	local action group
LDS	Local Development Strategy
LIS	Local Integration Strategy for one or more urban marginalized areas
MA	Managing Authority
M&E	monitoring and evaluation
NGO	nongovernmental organization
NRIS	National Roma Integration Strategies
O&M	operation and maintenance
OECD	Organisation for Economic Co-operation and Development
OP	operational program
OSCE	Organization of Security and Cooperation in Europe
PARSP	Post-Accession Rural Support Project
PAT	project assistance team
PM	participatory monitoring
RAP	resettlement action plan
SMART	specific, measurable, attributable, relevant/realistic, time-bound
TDC	technical design company
TVET	technical and vocational education and training
USAID	U.S. Agency for International Development
WWC	What Works Clearinghouse

INTRODUCTION

A disproportionately large number of Roma¹ in Europe today face deep poverty, social exclusion, and poor living conditions. Improving these is critical to achieving the targets of the Europe 2020 Strategy, the European Union's 10-year growth strategy, which aims to reduce poverty, social exclusion, early school leaving, and increase school attainment and employment by 2020. The EU Framework for National Roma Integration Strategies (NRIS) up to 2020² calls on the European Commission and the member states to mobilize existing EU strategies and instruments in the cause of securing the socioeconomic inclusion of Roma and invites the member states to make sufficient use of EU and national funding to address Roma needs.

The implementation and success of the NRIS will very much depend on an effective and sufficient allocation of national resources. EU funding alone can certainly not solve the situation of Roma, but the Commission calls on member states to make efficient use of the funds. The European Structural and Investment (ESI) Funds, principally the European Social Fund (ESF), the European Regional Development Fund (ERDF), and the European Agricultural Fund for Rural Development (EAFRD) generally constitute the EU's main instruments for supporting member states' efforts to improve the lives of vulnerable people, including the Roma. These funds will be invested in shared management by the European Commission and the member states and regions through operational programs (OPs) that cover a seven-year period between 2014 and 2020. Based on the priorities established in the OPs, the management authorities invest these funds for projects mainly on the basis of calls for proposals (CfPs). The Council of the European Union, through a recommendation on effective Roma integration measures,³ calls on the involvement of local authorities and civil society organizations (CSOs) in developing, implementing, and monitoring national strategies through operations cofinanced by the ESI Funds.

In this context, this handbook was prepared to help prepare and implement effective interventions for improving the living conditions of disadvantaged Roma at the local level, using European, national, or local funds. While there are legal texts—such as (1) Regulations of the European Parliament and of the Council, which lay down the general provisions on the EU funds; (2) country position papers that outline the analysis of the main challenges and funding priorities relevant for the ESI funds; and (3) Guidance on European Structural and Investment Funds 2014–2020—which consist of a series of guidelines and templates for operationalizing the EU policies and regulations, this handbook should be treated as a nonbinding reference source. It shares hands-on, practical knowledge, techniques, and tools for enhancing the quality of interventions. The handbook intends to provide global insights, experience, and ideas to broaden the range of interventions and actions considered by stakeholders, and also to inspire further innovations.

This handbook focuses on the four critical areas of Roma inclusion as identified by the EU Framework for National Roma Integration Strategies, which are access to (1) housing (including basic services); (2) employment; (3) education; and (4) health care. It argues that these four areas need to be addressed in an integrated way, rather than by a sector-by-sector silo approach, and for a number of reasons.

First, each of the four areas influences the other; addressing only one area might not lead to effective or sustainable results. For example, if disadvantaged Roma do not receive sufficient education, it will be more difficult for them

¹ For the purpose of this handbook, the term "Roma" refers to groups of people who broadly share similar cultural characteristics, such as Romanichals, Sinti, Travellers, Kalé, Gens du voyage, and so on, whether sedentary or not.

² An EU Framework for National Roma Integration Strategies up to 2020, COM (2011) 173 final. COMMUNICATION FROM THE COMMISSION TO THE EUROPEAN PARLIAMENT, THE COUNCIL, THE EUROPEAN ECONOMIC AND SOCIAL COMMITTEE AND THE COMMITTEE OF THE REGIONS (The European Parliament resolution of 9 March 2011).

³ Council recommendation on effective Roma integration measures in the member states, adopted by the EMPLOYMENT, SOCIAL POLICY, HEALTH and CONSUMER AFFAIRS Council meeting at Brussels, on 9 and 10 December 2013.

to find formal employment. In addition, if disadvantaged Roma children are not in good health, it will affect their growth, ability to learn, and school performance. Inadequate housing conditions might also lead to bad health, disrupt learning, and prohibit productivity and finding employment. In turn, insufficient income can impede families from maintaining good housing conditions, accessing preventive health care, and providing an environment in which their children may learn.

Second, poor outcomes in any of the four areas above often result from multiple issues, which need to be addressed together to have a positive impact. For example, building a new health care facility in a neighborhood by itself is unlikely to improve the health status of neighborhood residents if other factors affecting their health are not addressed. Not only might more health care providers be needed, but these might need to be suitably trained in providing health care in the context of disadvantaged groups, including Roma. In addition, families in the neighborhoods might need to be informed about the availability and benefits of using the new facility's health services if they are to access it. Social workers or health mediators may also be needed to facilitate communication between the service providers and users to increase the quality and uptake of services. Similar to the outcomes, different needs and impediments usually interfere with each other and mutually reinforce the disadvantages of a marginalized community, requiring interventions to address them holistically.

Third, poor outcomes in the four areas often share common causes. By addressing the common causes, interventions might be able to kill two birds with one stone—efficiently improving more than one outcome. For instance, renovating roads and providing public transport services to improve a neighborhood's connectivity to a nearby town center simultaneously improves the neighborhood's access to education, health care, and employment opportunities.

Fourth, increasing the effectiveness and sustainability of an intervention may require complementary interventions. For example, the institutional capacity of project actors may need to be strengthened to ensure that a newly built multipurpose community center be maintained and operated in the future.

In other words, the multifaceted and mutually interactive nature of the issues is such that single-focused interventions are unlikely to yield a positive return. Only the joint return of a combination of interventions that addresses a set of critically linked issues is likely to be positive.

Integrated approaches can increase the effectiveness, efficiency, and sustainability of interventions because they create synergies and provide multipronged solutions to complex, interconnected problems faced by disadvantaged Roma communities. An integrated approach involves consolidating multiple actions that jointly address a combination of impediments to achieving a development objective in a sustainable manner. It can be achieved at different levels and in different forms, depending on the context of objectives pursued and the impediments addressed, including by: (1) combining interventions across various dimensions/sectors/themes (for example, combining housing and health interventions to improve child health); (2) combining hard (physical) and soft (service provision) measures (for example, combining the physical construction of a community center with the training of social workers who run youth programs at the center). Impacts of investments in social infrastructure would be increased by investing in the capacity of the service providers who operate it. For example, service providers might require training to effectively use the new infrastructure or technology to its full potential. Increasing providers' cultural competency could also enhance their ability to better understand and serve Roma. Similarly, efforts to increase the quality and efficiency of services could be enhanced by improving the associated infrastructure; (3) combining various measures to address supply-side impediments (for example, lack of health care providers) and demand-side challenges (for example, lack of awareness by service users) to achieve an intended outcome; or (4) sharing common resources to implement multiple interventions or activities (for example, the same social worker can help disadvantaged Roma access various social services while also serving as a bridge between disadvantaged Roma communities, public officials, and non-Roma communities by closing the communication gap and fostering mutual awareness and understanding).

The integrated approach needs to be tailored to the local context, because disadvantaged Roma communities are heterogeneous, face different impediments, and have diverse needs. For example, in some communities, unfavorable health conditions may be attributable to the lack of health care facilities or providers, while in other communities, it could be due to the lack of hygiene or sanitary systems. In other communities, it could be due to unhealthy lifestyle or lack of information. In other words, locally tailored, integrated approaches are key to addressing the diverse and multifaceted needs and impediments faced by disadvantaged Roma communities.

This handbook aims to enhance the quality of local-level, place-based interventions, in light of the importance of a locally-contextualized integrated approach, and bearing in mind the call-for-proposal based project funding nature of the main EU funding schemes, which generally select and fund projects that are prepared and implemented by local actors at the community level. The handbook provides tools and advice for facilitating integrated interventions customized at the community level to address a specific combination of needs and impediments in a community. It does not discuss national or regional-level policy measures or programmatic interventions, which are usually not subjects of call-for-proposal based project funding. Nevertheless, national and regional-level policy and program interventions are also critical for addressing the living conditions of disadvantaged communities, and it is important to align local-level interventions with these national and regional ones to maximize impacts. These may include national and regional level regulations, policies, and sectorwide programs, among others.

It is also important to note that this handbook touches upon limited types of employment/education/health interventions because it focuses on place-based integrated interventions, and the review of interventions conducted in preparation of this handbook mainly focused on interventions consisting of both hard and soft measures that were implemented at the community level by local actors. Additional reviews of national and regional-level interventions that could be integrated with or adapted to local-level interventions, as well as of other local-level interventions that did not have hard measures, could be conducted in the future to build upon this handbook. The conceptual framework of the handbook is illustrated in the figure below.

Conceptual Framework of the Handbook



The tools and advice provided in the handbook can be applied in the context of integrated territorial investments (ITIs)⁴ and community-led local development (CLLD)⁵, which are introduced by the European Commission in the 2014–2020 programming cycle. The policies and institutional arrangements for implementing ITIs and CLLDs provide an enabling environment for the application of many of the tools and advice found in the handbook, and the handbook can also support the implementation of ITIs and CLLDs in return. Nonetheless, these tools and advice are meant to be applied broadly to local-level interventions in general, including those that do not necessarily involve ITIs and CLLDs.

The handbook consists of three modules, each of which addresses a different audience:

MODULE 1

Is intended to help the **MANAGERS OF PROJECT-FUNDING PROGRAMS** (including the program managers of the **EUROPEAN COMMISSION**, who oversee the implementation of OPs) in ensuring more effective use of program funds, including ESI Funds for Roma inclusion purposes.

MODULE 2

Aims to help the **NATIONAL-LEVEL AUTHORITIES** (including, but not limited to the managing authorities [MAs] of OPs) that prepare the CfPs, select projects, and monitor them. The module provides advice on promoting, selecting, and assisting local-level projects that address Roma living conditions. **INTERMEDIATE BODIES** are another target audience of this module.

MODULE 3

Provides practical tools and good practice notes for **LOCAL ACTORS** (including local-level project implementers such as **LOCAL AUTHORITIES** and **CSOs**) that prepare and implement projects for improving the living conditions of Roma.

The handbook is accompanied by two supplemental pieces of work:

Global Case Studies,

which presents 17 case studies from around the world to illustrate innovative and successful approaches to improving the living conditions of marginalized groups; this document provides examples of good practices and measures presented in the handbook.

Project Briefs,

which provide key information about selected 35 projects improving Roma living conditions in Bulgaria, the Czech Republic, France, Hungary, Italy, Romania, the Slovak Republic, Spain, and the United Kingdom. These briefs were prepared on the basis of field research conducted by World Bank researchers, which assessed good practices and common challenges in the preparation, approval, and implementation of integrated projects.

Not all projects included in the briefs were entirely successful; the notes focus on highlighting the key innovations and lessons that can be drawn from the projects.

⁴ An ITI is an instrument introduced by the European Commission to allow member states to implement OPs in a crosscutting way and to draw on funding from several priority axes of one or more OPs to ensure the implementation of an integrated strategy for a specific territory.

⁵ CLLD is an approach to involving citizens at the local level in developing responses to social, environmental, and economic challenges.



MODULE 1

Suggestions for Program Managers

Key Consideration Points for Overseeing the Implementation of Project-Funding Programs

I. Purpose

This note constitutes the only piece of the module. It aims to help managers of project-funding programs who oversee the implementation of project-funding programs, including those of European Structural and Investment (ESI) Funds. In order to help improve the living conditions of disadvantaged Roma through the use of available funds, including ESI Funds, this note provides points of reference as to what needs to be included or avoided, what needs to be considered, and how the selection criteria for the call for proposals (CfPs) can be made Roma-sensitive.

II. Guiding Points for Programming Project Funds

FOUR KEY GUIDING POINTS. Besides the widely referred to 10 Common Basic Principles on Roma Inclusion⁶, which are applicable to successful design and implementation of actions to support Roma inclusion in general, this note suggests four additional guiding points for ensuring increased and sustained results of interventions to be funded. Interventions would have enhanced results on the Roma agenda by applying the following guiding points:

1. Focus on interventions that target poor and disadvantaged Roma, rather than Roma in general;

⁶These were presented at the European Platform for Roma Inclusion in 2009 and endorsed by the Council of Ministers in charge of Social Affairs. They comprise: 1) constructive, pragmatic, and nondiscriminatory policies; 2) explicit but not exclusive targeting; 3) intercultural approach; 4) aiming for the mainstream; 5) awareness of the gender dimension; 6) transfer of evidence-based policies; 7) use of EU instruments; 8) involvement of regional and local authorities; 9) involvement of civil society; and 10) active participation of Roma. For more see "The 10 Common Basic Principles on Roma Inclusion." Council of Europe. http://www.coe.int/t/dg4/youth/Source/Resources/Documents/2011_10_Common_Basic_Principles_Roma_Inclusion.pdf

2. Enable customization of activities to specific local needs;
3. Allow interventions to address bottlenecks for both service providers and users; and
4. Ensure interventions come with a clear exit strategy for sustainability.

These guiding points can be made possible by applying an integrated approach through the participation of local communities.

1. FOCUS ON INTERVENTIONS THAT TARGET POOR AND DISADVANTAGED ROMA

Not all Roma are poor or disadvantaged

So the project funds reach the maximum number of poor and disadvantaged Roma who experience social exclusion and poor living conditions, projects should target poor and/or disadvantaged Roma, rather than Roma in general. Past projects, such as those pertaining to social housing, sometimes targeted relatively better off Roma who were more likely able to afford rent and utilities; the poorest and most disadvantaged Roma were not targeted. Such initiatives leave behind the most disadvantaged Roma and could further marginalize them. In targeting poor and disadvantaged Roma, it is also important to follow the principle of explicit but not exclusive targeting of Roma, so that non-Roma who face similar disadvantages will not be excluded from the interventions. These targeting principles will not only ensure that the program funds reach the groups that need them the most, but also prevents negative perceptions about the interventions, which could stigmatize Roma as unfair beneficiaries of public resources. Some key types of disadvantaged communities are described in the box below.

KEY COMMON TYPES OF DISADVANTAGED COMMUNITIES

While not exhaustive, the following typology describes the key types of disadvantaged areas where poor and disadvantaged Roma generally live.

Urban, low-quality blocks of flats or former workers' colonies

Sometimes referred to as "ghetto"⁷ by both their inhabitants and other locals, these low-quality housing facilities were built during the socialist regime for the workers of large enterprises. Most often these buildings are concentrated in one or two low-quality blocks of flats. Main problems include massive overcrowding, which puts serious pressure on the block installations, and overdue payments for utilities (electricity, water, sewage, and garbage collection). Usually these apartments include only one small room that is overcrowded by numerous families with many children. Common spaces and installations—for example, electricity, sewerage, water, and so forth—are often damaged. Utility supply infrastructure is often very limited. In some cases, a hydrant may be the single source of water for the whole neighborhood. These communities are characterized by helplessness, which is accentuated by the constant shame of living in an infamously poor area and associated with a strong feeling of being belittled and experiencing discrimination.

Urban, slum areas

These slum areas are often found in old neighborhoods on the outskirts of towns and cities with very poor communities that include Roma and non-Roma. These have grown larger since 1990. In addition to low-quality

⁷This report does not subscribe to the use of the term "ghetto." The term has been used to match the locally used terminology and to distinguish it from social housing.

housing, many additional improvised shelters have been put together over time, either in the courtyards of the old houses or on public areas. These shelters are typically made of plastic and paperboard, with some wooden framing. Houses and shelters are very small, but accommodate large families with many children. Not all urban slums consist of such old neighborhoods. Some were developed in the early 1990s by locals who lost their apartments due to overdue debts to utility providers. Some slums have virtually no infrastructure; others, for example, have just one tap that supplies water for the entire area. In other areas the infrastructure is developed along the main street but is not available in the rest of the area (not even electricity). As a result, many such areas are insanitary and highly exposed to natural hazards such as heavy rain or flooding. Informality (lack of property and land documents) is common, and slum residents claim they are highly exposed to the discretionary actions of powerful gang leaders in the area. While some slums can be peaceful and quiet, particularly in the old neighborhoods, others can be unsafe.

Urban, modernized social housing

Modern social housing units were often developed through integrated projects, which combined large investments in new buildings with infrastructure and a series of social interventions. Areas of modernized social housing are well endowed with infrastructure and utility services (sometimes better than the rest of the urban areas) but accommodate poor people in difficult social situations that are eligible for these houses. Paying for utilities remains a considerable challenge for many poor residents. The monthly bill for just one utility (usually electricity) is often larger than a family's income, and the situation is unsustainable for many residents who cannot afford to live and maintain the house. Modernized social housing can also deepen segregation when it is located outside of the city, away from where the residents have lived and grown up. It is also exposed to many natural hazards.

Urban, dilapidated buildings in historical city areas

Old individual houses in some historical city areas were nationalized and assigned to families during the socialist period. Some, especially those in a very poor condition, were also illegally occupied by homeless people after 1990. These are old neighborhoods where inhabitants have lived for more than 30 years. Except for the fact that these communities are located in urban central areas, their living conditions to a large extent resemble those in the slum areas. Because the location of such houses is highly attractive for investors and the houses have a high market potential, the former owners (or their inheritors) or local authorities often try to recuperate these properties, sometimes by evicting the occupants. Some people are allowed to stay in ruined buildings but are not given identity papers as tenants of that address (residential address), given that the building was administratively registered as "destroyed." This means that the resident cannot get a job, has no right to medical care or social benefits, and so on.

Rural and periurban informal settlements

Informal settlements in rural and periurban areas usually constitute relatively smaller communities of 20–30 households. These informal settlements have often grown out of traditional settlements in the nearby public land, with the formation and growth of new families. The houses typically have 1–2 rooms and are of relatively poor structural quality, made with adobe, wood, and tin sheets. Sanitation is extremely poor; many households might share a single pit latrine. Similarly, there might be a shared well for water. These areas are mostly occupied by younger and larger families. Typically, young adults are unemployed and live on informal economy activities (such as metal/garbage collection) or work as a day laborer. These settlements could be very isolated and have limited access to social services and markets.

Rural, traditional settlements

There are old settlements in rural areas, where Roma families have lived for decades, and sometimes over generations. Generally, houses located in these rural traditional settlements are of relatively decent quality, but some constitute dilapidated structures. Infrastructure (water, sanitation, electricity) in these settlements may be very minimal or nonexistent. During the socialist regime, residents were mainly employed by local cooperatives or national enterprises in nearby towns, many of which disappeared after 1990. Access to the job market is limited in many of these settlements, and many families practice semi-subsistence agriculture. Limited income typically comes from the informal economy in a nearby town, day labor in the agriculture sector, and social assistance.

2. ENABLE CUSTOMIZATION OF ACTIVITIES TO SPECIFIC LOCAL NEEDS

Disadvantaged Roma communities face a variety of issues, and interventions must be locally customized to best address each community's specific priority needs.

Funding to priorities and measures should be made available on a flexible and customizable basis, instead of prescribing one-size-fits-all solutions across a country or a region. While common overall objectives and strategies can be shared across a country or a region, each community should be given flexibility as to "how" to pursue them. Uniformly obliging specific types of investments is not recommended, since it risks making interventions less relevant and cost-effective. A successful intervention in one community may not necessarily be suited for another. Even the same types of needs in two different communities may require different solutions and approaches, because each community might experience different challenges or impediments. Various interventions could be integrated to best address a community's needs and impediments, depending on their nature. CfPs should be structured around specific objectives, rather than interventions, and be open enough to fund a range of suitable actions that best fit the circumstances of local communities. A range of project activities or investment options can still be presented as ideas (instead of prescribed as requirements) to inspire suitable actions that best fit the needs of local communities.

3. ALLOW INTERVENTIONS TO ADDRESS BOTTLENECKS FOR BOTH SERVICE PROVIDERS AND USERS

The concept of "if we build it, they will come" is seldom reality.

Building infrastructure or extending services might not automatically result in an increase in utilization. Service users' (demand-side) bottlenecks, such as those related to users' awareness, affordability, capacity constraints, opportunity costs, social norms, and risks (safety, dignity, reputational, and so on) need to be assessed and addressed. Many disadvantaged Roma communities are highly impoverished, and merely providing new infrastructure or services will not necessarily result in their utilization. If people are not aware of a service's benefits, or if it is too costly to access, they will not be able to utilize it. Moreover, even when a service is free, people may decide not to access it if the transactions or opportunity costs (for example, transport, lost time for income generation and family care) are considered too high. Fear of being mistreated by service providers or associated exposure to humiliation could also discourage them from accessing a service. The design of any project must therefore be accompanied by the question, "If we build it, will they come?" Funding needs to be made available to allow projects not only to improve the quality and coverage of infrastructure and services, but also to remove service users' (demand-side) constraints to access.

4. ENSURE THAT INTERVENTIONS COME WITH A CLEAR EXIT STRATEGY FOR SUSTAINABILITY

A project's impacts or results should not disappear with its completion or the end of funding.

Funding and institutional arrangements for operation and maintenance of project activities should continue beyond the project's conclusion. Financial resources and adequate administrative capacity and governance structure need to be in place for local services and facilities to be managed by local actors and accessed by community members. Projects could include a component to build in these capacities and make them self-sustaining. Otherwise, local communities will become dependent on the project (and EU financing), and risk losing the gains achieved by the project when it ends. Financial sustainability does not imply that maintaining the improvements in the future cannot rely on continued subsidies, such as from central government programs or local budgets. For example, many disadvantaged people may continue to require safety net support to pay for services they

access in the short to medium term. An exit strategy may consist of ensuring the availability and allocation of such financial resources. Examples of activities that can enhance the sustainability of interventions are presented in Section II of this note. Sustainability needs to be considered when selecting the projects, and funding should be made available for projects to design activities that will ensure sustainability.

REFLECTING THESE FOUR GUIDING POINTS REQUIRES AN INTEGRATED APPROACH

An integrated approach involves the consolidation of multiple actions that jointly address a combination of impediments to sustainably achieving a development objective.⁸ For interventions to achieve intended outcomes, the bottlenecks hindering access to quality living conditions, both on the supply and demand sides (service providers and users), will need to be comprehensively addressed. Only addressing some of the bottlenecks will result in inefficient use of resources. Integrated approaches can increase the effectiveness, efficiency, and sustainability of interventions, because they create synergies and provide multipronged solutions to the complex, interconnected problems that disadvantaged Roma communities face. Impacts of social infrastructure investments could be increased by bolstering the capacity of the service providers. For example, service providers might require training to effectively use new infrastructure or technology to its full potential. Increasing providers' cultural competency could also enhance their ability to better understand and serve disadvantaged Roma. Similarly, efforts to increase the quality and efficiency of services could be enhanced by improving the associated infrastructure. Funding must be made available to accommodate interventions comprising such multisectoral activities. The integrated territorial investment (ITI), as defined by the ESI Funds regulation, aims to provide flexibility for member states to implement operational programs in a crosscutting way and draw on funding from several priority axes of one or more operational programs to facilitate the implementation of an integrated strategy for a specific territory. Although it represents one way to do this, alternative ways need to be reserved to fund multisectoral activities for priority axes of OPs that do not participate in the ITI arrangements.

PROMOTE LOCAL COMMUNITY INVOLVEMENT IN PROJECT MANAGEMENT AND DESIGN

Application of the above guiding points can be reinforced by promoting local community (including local authorities, civil society, Roma, and non-Roma populations) involvement in project preparation and implementation. Participation of the beneficiary group is essential to the success of integrated interventions because local community members know what is needed, why it is needed, what the bottlenecks are, what can be done, what is affordable and can be maintained, and what opportunities exist. Participation increases a project's ownership and relevance; it identifies stakeholders' priorities and their ability to maintain/operate. In addition, empowering disadvantaged Roma communities also contributes to their social inclusion. The participation of non-Roma communities is also critical to gain their support, avoid the stigmatization of Roma, and to foster interaction and cooperation between Roma and non-Roma on the basis of mutual interest. It would be ideal for CfPs to encourage partnerships between local authorities and CSOs that have a track record of trustful relationships with disadvantaged Roma communities. CSOs often play an important role in reaching out and engaging disadvantaged Roma communities, since underlying mistrust towards authorities often prevents disadvantaged Roma from actively participating in the process. In the same vein, Roma mediators and community social workers can also facilitate the identification, planning, and implementation of community-level interventions. They can serve to close the communication gap between local actors and the Roma, thereby

⁸ Integration can be achieved at different levels and in different forms, depending on the context of objectives pursued and the impediments addressed, including by: (1) combining interventions across various dimensions/sectors/themes (e.g., combining housing and health interventions to improve child health); (2) combining hard and soft measures (e.g., combining physical construction of a community center with the training of social workers who run youth programs at the center); (3) combining various measures to address supply-side impediments (e.g., lack of health care providers) and demand-side challenges (e.g., lack of awareness by service users) to achieve an intended outcome; and (4) sharing common resources to implement multiple interventions or activities (e.g., the same social worker can help the Roma to access various social services while also serving as a bridge between Roma communities, public officials, and non-Roma communities by closing the communication gap and fostering mutual awareness and understanding).

helping to improve the format of interventions, while also increasing the uptake of interventions by Roma. While the policies and institutional arrangements for implementing the community-led local development (CLLD) may require and provide an enabling environment for promoting and facilitating community participation, it is recommended that local-level projects feature community participation in general, even when they are not funded through CLLD.

ENCOURAGE AUTHORITIES IN MEMBER STATES TO PROVIDE SUFFICIENT SUPPORT AND EXPERT ASSISTANCE TO LOCAL ACTORS TO DEVELOP AND IMPLEMENT PROJECTS

Local actors, especially in marginalized communities, often lack sufficient technical capacity to collectively translate their priority needs into projects. Although local actors know their needs best, they require substantial assistance to prepare project proposals to apply for ESI Funds and to implement the projects once approved. For example, many local authorities cannot form a team of experts who can specify or verify a project's technical details or develop procurement documents, including the terms of reference. Local authorities have often been heavily burdened by the complex administrative procedures involved with the implementation of these funds. A national level support body could be created to provide technical assistance to local actors in preparing and implementing projects to be funded with ESI money. In concrete terms, the support body could provide mentoring and "hand-holding" assistance to local actors to develop and implement projects through (1) community outreach; (2) identifying top priority needs through participatory methods; (3) rapid capacity enhancement of local actors; (4) converting priority needs into investment plans in the form of technical project documents; (5) pricing out these investment plans, including recurrent operational and maintenance costs; (6) assistance in preparing a project proposal and applying for ESIF funding; and (7) providing implementation support (for example, procurement, supervision) and training (for example, financial literacy, grievance mechanisms, monitoring and evaluation (M&E), and so on). The support body could be established in various forms, depending on the context of the member state. One option is to incorporate it as part of a project-funding program. In the case of ESI Funds, it could be included as part of an operational program (for example, as part of the budget allocated for the OP's technical assistance). Alternatively, an existing body with the capacity to support local-level interventions could be mobilized (funded either by the state budget or ESI Funds) to assist local actors in accessing the ESI Funds. Subject to the context of the member state, programs, and the CfP, this type of assistance can possibly be mobilized specifically for a CfP. In such a case, the CfP should clearly state the types of assistance available and how interested communities can access it.

III. Cross-cutting activities that could/should be integrated to individual interventions

SUPPORT INTERVENTIONS THAT ADDRESS ROOT CAUSES AND SUSTAINABILITY ISSUES

In line with the three guiding points presented in Section I, interventions need to be customized to meet local needs by integrating activities that address both supply- and demand-side bottlenecks (both service providers' and users' bottlenecks) and ensure sustainability. Besides the common interventions that improve infrastructure (community roads, sewerage, wastewater treatment plants, water, community centers, schools, clinics, and so on) or provide social services (through training and deploying social workers, health mediators, teaching assistants, mentors, trainers, and so on), other activities need to address the root causes of Roma exclusion and/or to increase the sustainability of a project's impacts. Even when an intervention targets particular sectors such as employment, education, or health, depending on the local context, its projects need to be accompanied by activities that address some of the issues listed below. CfPs should be designed to accommodate such activities.

Awareness

Raise awareness about a particular service's or practice's availability and benefits through (1) public awareness campaigns; and (2) outreach activities by social workers and mediators;

Affordability

Increase the local population's ability to pay for services and infrastructure by reducing the costs of initial investments, operation, and maintenance, and by helping to increase the population's income, when possible. Some available options include: (1) involving local labor in project activities, such as in infrastructure upgrading, which not only creates temporary job opportunities but also develops skills for future employment; and (2) training the local population to operate and manage future projects. Additionally, interventions could be accompanied by employment-specific interventions such as vocational training, job search assistance, apprenticeship facilitation, and second chance education.

Organizational capacity

Increase the local population's capacity to collectively manage and sustain a project's results by (1) supporting the formation and running of service users' associations/committees (for example, legal and facilitation support for formation of associations); and (2) providing training to users' associations or committees (for example, training on accounting, basic financial literacy, decision-making procedures, and so on).

Transactions and opportunity costs

Reduce the transactions and opportunity costs of accessing infrastructure or services by (1) providing affordable means of transportation; (2) providing mobile services (bringing services closer to families, such as mobile clinics); and (3) clustering services (for example, combining early childhood education with vocational training/life-long education for parents).

Risks (safety, dignity, reputational, and so on)

Reduce safety concerns and alleviate fears of losing dignity and reputation by (1) providing affordable transportation services after dark; (2) financing and training social workers and mediators to ensure proper treatment of all service recipients, such as by providing cultural competency training; and (3) including gender-specific services. People might not access new infrastructure or services if they have safety concerns, or fear compromising their dignity or reputation in the process of accessing them.

Civil documentation

Complement investments in the extension of services or infrastructure with activities to register (1) personal identities; and (2) property rights where possible, in order to ensure that the investments benefit targeted groups, especially in informal settings. The lack of civil documents, such as personal identification or formal residence certification, often hampers access to basic social services like education, waste collection, water, or social assistance programs.

Social integration

Incorporate components in the project design that foster reconciliation, mutual understanding, trust, and adaptation/tolerance to diversity. For example, collaborative activities, such as those that require responsibilities to be shared in the maintenance of a community facility, could be included in the project design. Projects could also include organization of recreational activities and campaigns against discrimination. Historic grievances or mistrust between the Roma and non-Roma might hinder the community from collectively or efficiently benefitting from a project.

Active citizenship

Facilitate the population's engagement in project activities to increase their ownership of it and to demand service providers' accountability. Activities that foster active citizenship, such as the organization of community groups and outreach activities by social workers, could be funded. The increased engagement of parents in school activities through parents' associations, for example, can both increase the educational performance of their children and serve to empower parents to take part in community life. Social workers and mediators can also take a significant role in helping the local community voice their demands.

IV. Other Issues and Challenges

1. NON-SEGREGATION AND DESEGREGATION

Fund both desegregation and nonsegregation projects.

Spatial or residential segregation⁹ is a key self-perpetuating feature of Roma marginalization in many communities. Spatial segregation often perpetuates marginalization by creating disadvantages, such as inferior access to basic services and economic opportunities. The ERDF regulation 2007–2013 prohibited interventions that led to increased concentration or further physical isolation of marginalized groups¹⁰. This concept of nonsegregation—which means to avoid creating new segregation or reinforcing existing segregation—is not explicitly stated in the regulations for the 2014–2020 programming cycle but is still a good practice, and programs should not fund interventions that lead to or perpetuate segregation.

Nonsegregation is different from desegregation, which means to undo segregation.

Interventions aimed at improving the living conditions of disadvantaged Roma could be designed on a nonsegregation basis to avoid further segregation; yet pursuing spatial desegregation would require a different set of interventions. For example, a basic community service—such as garbage collection—can be extended to a spatially segregated neighborhood on a nonsegregation basis, but does not involve spatial desegregation. For this reason, programs should be open to funding both desegregation projects directly aimed at undoing segregation, as well as nonsegregation projects aimed at improving the living conditions in segregated neighborhoods. In this context, it is important to note that social housing interventions (as opposed to interventions that improve existing houses) in segregated areas, especially those that involve the construction of additional (social) housing blocks, could reinforce or enlarge segregation (therefore neither desegregating or nonsegregating), if not accompanied by countermeasures. The enlargement of a segregated population could be mitigated, for example, by simultaneously helping some families from the neighborhood move into nonsegregated areas, instead of adding social housing to accommodate them all in the segregated area. In addition, interventions (such as mentoring services by community social workers, employment services, and mediation services) that do not directly address spatial desegregation could still contribute to spatial desegregation in the long run by creating enabling conditions for disadvantaged Roma to integrate to mainstream society on their own in the future. The ability and opportunity of disadvantaged Roma from a segregated neighborhood to take part in society could also be increased by enhancing connectivity (public transportation and roads) and increasing access to services via neighborhood upgrading, which makes the segregated neighborhood an integral part of a broader community

⁹ This discussion focuses on the spatial or residential segregation of Roma, in which Roma and non-Roma are physically separated in different neighborhoods. It is different from segregation in service provision, such as in classrooms and health care. While spatial segregation could often be a key source of segregation in service provision, it is not always the cause, and desegregation in service provision (e.g., school desegregation) may not necessarily require residential desegregation.

¹⁰ Regulation (EU) No 437/2010 of the European Parliament and of the Council of 19 May 2010, amending Regulation (EC) No 1080/2006 (Article 7) on the European Regional Development Fund as regards the eligibility of housing interventions in favour of marginalized communities.

(an example from Medellín, Colombia is found in Global Case Studies). More discussion on spatial segregation is found in the Discussion Note on Addressing Spatial Segregation of Roma in Module 2 of this handbook.

2. RESETTLEMENT

Resettlement needs to be planned with caution.

Some interventions, including those that do not address desegregation, entail resettlement—moving people from their current locations (such as slums on the outskirts of a city). Resettlement needs to be planned and executed carefully. Interventions should avoid resettling people into an area where they could be further concentrated or segregated; also, vulnerable groups have different preferences as to where and how they want to be resettled. While many Roma families prefer to live in mixed neighborhoods, there are also Roma families that do not feel comfortable living next to non-Roma neighbors in the immediate future, partially out of fear of being mistreated by the latter. Therefore, careful planning and adequate social work is needed to help both Roma families and non-Roma neighbors prepare for and adjust to the change. They often prefer to relocate in a way and a pace with which they feel comfortable.¹¹ If inappropriately planned or executed, resettlement could trigger social, economic, and cultural adversities worse than those it is intended to prevent. For example, relocation could disrupt Roma livelihoods by impeding their access to existing social networks and sources of income. In addition, if they are moved to apartments in a neighborhood where they cannot pay utilities and rents, or where they cannot find employment, they cannot stay and might need to move out again, to another marginalized neighborhood. Resettlement therefore needs to be planned carefully with holistic measures that can mitigate negative impacts and facilitate adjustment to the new environment. Such mitigation and adaptation measures usually require more time and resources.¹² Depending on the actual needs of the target community, there could be more cost-efficient measures to address the challenges faced by disadvantaged communities. In cases where resettlement is considered to generate positive and sustainable impacts efficiently, or is necessary for environmental reasons, or to prevent the impact of natural disasters, it should follow globally established principles, based on consultation and community agreement. It is important for the CfP to provide a framework of measures that mitigate the negative impacts of resettlement, land acquisition, and/or restrictions of access to natural resources on Roma. Suggested good practices to be incorporated in such a framework are presented in Good Practice Note 2: Planning Resettlement in Module 3 of this handbook.

3. STRIKING A BALANCE BETWEEN PRIORITIZATION AND INTEGRATION

Integration is more than just combining a series of interventions.

While CfPs need to remain flexible enough to allow customized integration of interventions at local levels, lack of priority or focus could result in incoherent and fragmented interventions. In an effort to tackle multiple challenges faced by communities, projects could end up being a mere catch-all compilation of parallel activities that address diverse challenges without coordination or synergies. This can lead to inefficient use of available resources without systematic or strategic prioritization of interventions. Diversification without coherence could potentially compromise the quality of projects, as this also diverts resources and technical expertise required in project implementation. It is therefore essential that CfPs have a well-defined set of objectives and priorities. Projects, in turn, could be customized at the local level and incorporate a variety of interventions aimed at achieving those objectives and priorities. For example, street lights to ensure safe passage, a community child care facility and services, and vocational training for adults could be provided together to facilitate employment of women.

¹¹Such was the case in Turin, Italy, for example.

¹²For example, the IRIS Subsidized Rental Housing Project in Madrid, which involved a comprehensive package of resettlement and livelihood activities, costs over €24,000 per individual.

4. BUILDING ON EXISTING PROGRAMS

Building on existing government programs can be an effective way to improve a project's sustainability.

Service providers often face additional challenges in operating in marginalized communities. These include high maintenance and operation costs, and low-cost recovery rates. These challenges pose disincentives for (and sometimes even prohibit) service providers and public utility companies to continue to serve these areas, especially once projects (for example, those funded with ESI monies) cease to pay for their services. Such risks could be reduced by building on existing programs that have proven sustainable in the absence of ESI Funds. Moreover, utilizing existing programs is cost-effective, since it allows resources and expertise to be shared. Experience shows it is easier to ensure the efficient and continuous provision of services in education, health, and day care when they are already integrated into the municipality, state, or province's regular social service provision system. Certain CfPs could be made in partnership/coordination with existing national or regional programs to promote interventions that build on them. This would require an alignment of CfPs and local projects to national-level sectorwide strategies and policies. Vice versa, such an initiative could contribute to mainstreaming the Roma inclusion agenda in national-level policies and strategies.

5. INSTITUTIONAL FRAMEWORK

The institutional framework for managing the selection and supervision of projects to be funded under the CfPs needs to be assessed to determine whether it is conducive to implementing projects at the local level.

Questions to be asked include:

- (a) **Strategic acquisition and recommendations.** *Are the competencies and responsibilities of key parties involved in Roma inclusion efforts clear and consistent? Are the competencies spelled out in the CfPs consistent with the national regulations, the NRIS, the country-specific recommendations, and so on? The coordination between different ministries and MAs is imperative, especially to enable measures and CfPs to allow integrated interventions.*
- (b) **Administrative capacity.** *Is the capacity of responsible key parties adequate and sufficient to manage interventions (for example, preparation, implementation, monitoring) to be funded under the call for proposal? Do the organizations involved have adequately trained staff that can handle the responsibilities concerning Roma-focused objectives? Are there concrete measures (for example, support body) to support local actors with limited planning and implementation resources to formulate proposals?*
- (c) **Financial resources and funding allocations.** *Are budgets adequate to manage and administer the program? Are sufficient resources allocated to address capacity needs of local communities to plan and implement projects? Are there ways to provide financial support to local actors to prepare and initiate projects? Developing a project and applying for funding usually requires prior investments by applicants. There have been reports of CSOs going bankrupt or nearly bankrupt as a result of unsuccessfully applying for funds, or even when successful, as a result of serious delays in getting project expenditures reimbursed.*
- (d) **Inclusion of marginalized communities.** *Does the CfP propose concrete measures to ensure targeting of the most vulnerable communities? (What are the methods to identify target communities? Are there criteria and sufficient data to identify them?) Does the CfP propose a mechanism to ensure and/or promote Roma participation in project formulation and implementation? Does it provide a framework for consultation processes and grievance redress mechanisms (GRMs) to be applied by projects? Does it respect the Code of Good Conduct adopted by the Council and the European Parliament in the framework of the ESI Funds regulations?*

6. OBJECTIVES AND THE RESULTS CHAIN

For the programs to explicitly address Roma inclusion, it is essential for Roma-related objectives to make clear reference to the NRIS objectives.

In line with the thematic ex ante conditions established by the of EU funding regulations, programs and investments have to contain measures and tools that are in line with the NRIS, the Commission’s position papers, and the country-specific recommendations. Measures to be funded under the programs and interventions need to be aligned with these objectives following the logics of a results chain. Points to be assessed include the following:¹³

- (a) Does the CFP clearly define the Roma-focused objectives, priority axes, measures, and targets? For example, does it indicate how it will contribute to the objectives and targets of the NRIS?
- (b) Is the rationale behind the Roma-related objective/targets logically explained? (Are they based on analysis of the current Roma situation?)
- (c) Does the CFP form a logical results chain to achieve the stated Roma-related or Roma-specific objectives/targets?
- (d) Is the objective/target realistic/feasible? Do the budgets allocated/programmed for specific priority axes and measures justify the feasibility of achieving Roma-related objectives/targets?

7. MONITORING AND EVALUATION ARRANGEMENTS

Monitoring and evaluating the progress and impacts of Roma-focused interventions require their monitoring and evaluation (M&E) arrangements to reflect Roma-specific M&E needs.

It is important that the M&E arrangements be designed to enable the assessment of the effectiveness and efficiency of Roma-focused interventions in achieving the pursued objectives. The readiness of the M&E arrangements could be assessed by reviewing the following:

- (a) Does the CFP’s M&E framework include Roma-focused indicators that are SMART (specific, measurable, attributable, relevant, and time-bound)?
- (b) Are information/data sources clarified, and are they available and accessible?
- (c) Are responsibilities, staffing, and budgets for monitoring clearly defined and reserved?
- (d) Does the CFP propose concrete measures to verify results on the ground? (For example, is there a way to make sure the projects intended to benefit disadvantaged Roma are doing so as initially proposed?)

8. RISKS TO ACHIEVING ROMA-FOCUSED OBJECTIVES

It will be valuable to assess whether the CFPs have identified any particular risks to implementing Roma-focused interventions and proposed realistic and adequate measures to mitigate them.

Risk assessment of the CFP could involve asking the following questions, among others:

- (e) Are there any groups actively opposing the Roma-focused objectives defined in the CFP? Could they potentially hamper the CFP’s implementation?
- (f) To what extent does the CFP incorporate or rely on untested or unfamiliar technologies or processes that target Roma?
- (g) To what extent could the design and implementation of the CFP possibly generate (or exacerbate existing) conflict or violence involving Roma?

- (h) Are the Roma-related challenges and lessons from the previous period of CFP taken into account and adequately reflected in the proposed CFP?
- (i) What are the potential environmental impacts that could be caused by Roma-focused interventions funded by the CFP? Are mitigation measures proposed?
- (j) To what extent do environmental issues and/or cumulative impact affect the implementation of Roma-focused interventions under the CFP?
- (k) To what extent might the CFP involve involuntary resettlement, land acquisition, and/or restrictions of access to natural resources of Roma? Are specific measures and procedures stated in the CFP to mitigate their negative impacts on Roma?

V. Options for Mainstreaming Roma Inclusion in the Selection Criteria

INCORPORATE A ROMA-LENS INTO THE SELECTION CRITERIA

Roma inclusion could be mainstreamed by including some of the following criteria in the project selection process (for example, bonus points can be given to projects that meet these criteria):

1	PROJECT RELEVANCE
	The project contributes to achieving the specific Roma-focused objectives of the program, priority, and measure (key intervention area) for which the CFP is launched. The project contributes to improving the living conditions of Roma.
1.1	The project contributes to the Roma-focused objectives of the program: (state the objective here—if more than one objective is pertinent to the CFP, add extra rows below) Roma-focused indicator:
1.2	The project contributes to Roma-focused objectives of the measure/key intervention area: (state the objective here—if more than one objective is pertinent to the CFP, add extra rows below) Roma-focused indicator:
1.3	The project contributes to the objective of the NRIS: (state the objective here—if more than one objective is pertinent to the CFP, add extra rows below) Roma-focused indicator:

¹³These need to be assessed within the results framework of corresponding funds.

2 ADHERENCE TO PRINCIPLES, REGULATIONS, AND STANDARDS

The project adheres to pertinent principles, regulations, and standards.

- 2.1 The project does not lead to or is accompanied by increased concentration of marginalized groups, including Roma.
- 2.2 The project does not lead to further physical isolation of marginalized groups (including Roma) in terms of increased distance from other rural or urban communities or new physical barriers.
- 2.3 The project explicitly, but not exclusively, targets disadvantaged Roma.
- 2.4 The project was developed in consultation with both Roma and non-Roma members of the community.

3 PROJECT DESIGN

The project is adequately designed to achieve its proposed objectives, with sensitivity to Roma-specific issues. The project comprises effective, realistic activities and uses resources efficiently to generate proposed results/achieve proposed objectives (taking into account both positive and negative impacts).

- 3.1 The project includes Roma-specific indicators or targets.
- 3.2 The project includes activities that specifically address the challenges faced by Roma (the project has considered or analyzed specific challenges¹⁴ faced by Roma, which are reflected in the design of project activities).
- 3.3 The project includes activities to avoid or mitigate its specific adverse impacts on Roma (the project has considered or analyzed its potential adverse impacts on Roma, which are reflected in the design of project activities).
- 3.4 The project involves target beneficiaries (including Roma) in project implementation, in order to increase their ownership of the project.
- 3.5 The project includes (disaggregated) indicators to monitor its specific results/impacts on Roma.

¹⁴ For example, fear of mistreatment by service providers, associated exposure to humiliation, and other concerns of safety, dignity, or reputation might hamper Roma from accessing services and benefitting from the project.

4 IMPACT FEASIBILITY

The outputs of the project are likely to generate the intended impacts on Roma.

- 4.1 The project's target beneficiaries (including Roma) are aware of the project activities, understand their objectives and benefits, and are willing to access/utilize the project's outputs (e.g., infrastructure, social services).
- 4.2 The project's target beneficiaries (including Roma) will have the economic capacity to afford the cost of accessing/utilizing the project's outputs (e.g., infrastructure, social services), including costs of transport, lost time for income generation, and family care.
- 4.3 The project's target beneficiaries (including Roma) are eligible to access/utilize the project's outputs (e.g., basic infrastructure, social services). For example, the target beneficiaries have the civic documents, such as personal identification cards and property rights documentation, required to connect to or access services—if not, the project includes activities to provide these documents.
- 4.4 The project will be implemented by or in partnership with trustworthy organizations that have a track record of successful relationships with the local community (including the Roma).

5 PROJECT SUSTAINABILITY

The project's benefits are sustained beyond its conclusion.

- 5.1 The applicant ensures that the target beneficiaries (including Roma) have ownership of the project, through their involvement in its development, implementation, and monitoring.

6 SOCIAL IMPACT

- 6.1 The project targets poor and marginalized segments of the municipality or community, and ensures that the poorest and most vulnerable people are not excluded from its benefits (the project does not widen the inequality in the municipality or community).
- 6.2 The applicant applies a nondiscrimination policy to the project, and there are mechanisms for ensuring equality of opportunity within public procurement contracts. (The applicant identifies aspects/risks related to discrimination in the context of the project and has specific mechanisms to address these potential issues.)
- 6.3 The project contributes to the social integration of marginalized and excluded groups of the municipality or community through activities that require interactions and cooperation between mainstream (e.g., non-Roma) and minority (e.g., Roma) groups. (The project has activities designed to empower marginalized groups to engage in civic activities, or foster mutual understanding, trust, and acceptance of diversity among community members.)
- 6.4 The project does not generate involuntary resettlement of people, including Roma. If resettlement is unavoidable, the project includes measures to mitigate its negative impacts on affected people and ensures that the affected people improve, or at least restore, their living conditions.
- 6.5 The project has a public feedback mechanism (or a GRM), which enables stakeholders (including Roma) to file complaints, concerns, and questions about the project, and lays out clear procedures for handling them.



MODULE 2

**Practice and Advisory Notes
for National-Level Authorities**

INTRODUCTION TO THE MODULE

The aim of this module is to provide helpful advice to national-level authorities in the EU member states in managing and coordinating project funding programs, including the Operational Programs (OPs) of the European Structural and Investment Funds (ESI Funds).

The advice is provided in ten notes, organized and sequenced in accordance with the four key steps involved in the implementation of typical project funding programs: Step A—designing the call for proposals; Step B—supporting project development and management; Step C—selecting projects; and Step D—monitoring project implementation.

Step A Designing the Call for Proposals

Three notes aim to help national-level authorities design CfPs that are sensitive and conducive to addressing the diversity of needs and challenges faced by Roma. Specifically, they **provide guidance on (1) the types of interventions that could possibly be funded; (2) key principles for enhancing the effectiveness of projects funded under CfPs; and (3) consulting and communicating with local actors to increase the relevance and uptake of the CfPs.**

Step B Supporting Project Development and Management

Many local actors, especially marginalized ones, lack technical capacity to plan and manage projects, and require substantial assistance to prepare project proposals to apply to funds, including the ESI Funds, and to implement the projects once approved. Providing training is often not enough to enable local actors¹⁵ to plan and implement projects on their own. The three practice and advisory notes for this step propose **ways to help local actors target, develop, and implement the projects to be funded under CfPs.**

Step C Selecting Projects

In order to ensure effective use of program funds, projects need to be funded selectively, and project selection criteria play a crucial role in screening projects that merit funding. At the same time, selection criteria should not end up rejecting relevant and effective projects; excessively rigid and rigorous criteria can often backfire and shut out potentially effective projects. **Two notes included in this section aim to assist national-level authorities (1) set effective and pragmatic criteria by which to select projects that improve the living conditions of disadvantaged Roma; and (2) understand the nonsegregation principle and assess the projects that address spatial segregation of Roma.**

Step D Monitoring Project Implementation

Monitoring project implementation is an essential function of national-level authorities for providing adequate oversight to the projects they fund and to take corrective actions on underperforming projects. In addition to monitoring the performance of ongoing projects, national-level authorities can collect and share the knowledge and lessons learned from ongoing projects with local actors in order to improve the quality of projects and programs' overall results. **The three notes in this section aims to help national-level authorities (1) set up an M&E framework to effectively monitor projects' performance; (2) monitor some important elements and issues that cannot be monitored through indicators; and (3) facilitate peer learning and exchange of best practice activities.**

This module may also be relevant to intermediate bodies that are often designated by the Managing Authorities in the case of ESI Funds to facilitate the communications with, and the provision of support to, the project implementation bodies at the local level.

The table below serves as a map for the module's arrangement. It lists the steps and activities in the sequential order of a typical program, starting from designing the CFP, and ending with M&E.

Tools and Good Practice Notes for National-Level Authorities

MATERIAL	PURPOSE
STEP A Designing the Call for Proposals	
Key Guiding Principles for Enhancing the Effectiveness of Programs in Improving Roma Living Conditions	Provide key guiding principles for addressing Roma living conditions.
Potential Interventions to be Funded by Programs	Identify types of integrated actions that address Roma living conditions that could be financed by programs.
Practice and Advisory Note on Community Outreach	Reach out to local, community-level actors to inform them of funding opportunities provided by CfPs.
STEP B Supporting Project Development and Management	
Practice and Advisory Note to Help Local Communities Develop and Implement Projects	Help local actors prepare and implement projects.
Practice and Advisory Note to Help Local Actors Identify Disadvantaged Areas	Provide assistance to local actors in identifying and targeting disadvantaged areas.
STEP C Selecting Projects	
Possible Project Selection Criteria for Enhancing Project Impacts on Roma Inclusion	Assess the soundness of proposed project activities that address Roma living conditions.
Discussion Note on Addressing Spatial Segregation of Roma	Understand the nonsegregation principle and assess the quality of projects that address spatial segregation of Roma.
STEP D Monitoring Project Implementation	
Practice and Advisory Note on Monitoring and Evaluation	Monitor how projects funded by the OPs are contributing to improving Roma living conditions.
Practice and Advisory Note for Monitoring Project Aspects that Cannot be Measured by Results Indicators	Monitor important elements and issues that may affect the impact and success of projects that cannot be monitored with indicators.
Practice and Advisory Note for Facilitating Peer Learning and Exchange of Good Practices	Coordinate/facilitate knowledge exchange and learning among project implementation bodies.

¹⁵ For the purpose of this handbook, the term "local actors" is used to refer to local-level actors involved in the preparation and implementation of projects, including local authorities, nongovernmental organizations, cooperatives, associations, committees, and other partner entities.

Step A Designing the Call for Proposals

Key Guiding Principles for Enhancing the Effectiveness of Programs in Improving Roma Living Conditions

I. Purpose

This note aims to help national-level authorities enhance the effectiveness of programs that address Roma living conditions by suggesting key points and guiding principles to consider. This note is intended to provide points of reference as to what should be avoided, what should be considered, and what activities must be included in projects that are funded.

II. Guiding Points for Projects to be Funded by the Programs

FOUR KEY GUIDING POINTS. Besides the widely referred to 10 Common Basic Principles on Roma Inclusion¹⁶, which are applicable to successful design and implementation of actions to support Roma inclusion in general, this note suggests four additional guiding points for ensuring increased and sustained results of interventions to be funded. Calls for proposals can be designed to promote and allow the projects to incorporate the following guiding points:

¹⁶ These were presented at the European Platform for Roma Inclusion in 2009 and endorsed by the Council of Ministers in charge of Social Affairs. They comprise: (1) constructive, pragmatic, and nondiscriminatory policies; (2) explicit but not exclusive targeting; (3) intercultural approach; (4) aiming for the mainstream; (5) awareness of the gender dimension; (6) transfer of evidence-based policies; (7) use of EU instruments; (8) involvement of regional and local authorities; (9) involvement of civil society; and (10) active participation of Roma. For more see "The 10 Common Basic Principles on Roma Inclusion." Council of Europe. http://www.coe.int/t/dg4/youth/Source/Resources/Documents/2011_10_Common_Basic_Principles_Roma_Inclusion.pdf

1. Focus on interventions that target poor and disadvantaged Roma, rather than Roma in general;
2. Enable customization of activities to specific local needs;
3. Allow interventions to address bottlenecks for both service providers and users; and
4. Ensure interventions come with a clear exit strategy for sustainability.

These guiding points can be made possible by applying an integrated approach through the participation of local communities.

1. FOCUS ON INTERVENTIONS THAT TARGET POOR AND DISADVANTAGED ROMA

Not all Roma are poor or disadvantaged

So the project funds reach the maximum number of poor and disadvantaged Roma who experience social exclusion and poor living conditions, projects should target poor and/or disadvantaged Roma, rather than Roma in general. Past projects, such as those pertaining to social housing, sometimes targeted relatively better off Roma who were more likely able to afford rent and utilities; the poorest and most disadvantaged Roma were not targeted. Such initiatives leave behind the most disadvantaged Roma and could further marginalize them. In targeting poor and disadvantaged Roma, it is also important to follow the principle of explicit but not exclusive targeting of Roma, so that non-Roma who face similar disadvantages will not be excluded from the interventions. These targeting principles will not only ensure that the program funds reach the groups that need them the most, but also prevents negative perceptions about the interventions, which could stigmatize Roma as unfair beneficiaries of public resources. Some key types of disadvantaged communities are described in the box below.

KEY COMMON TYPES OF DISADVANTAGED COMMUNITIES

While not exhaustive, the following typology describes the key types of disadvantaged areas where poor and disadvantaged Roma generally live.

Urban, low-quality blocks of flats or former workers' colonies

Sometimes referred to as "ghetto"¹⁷ by both their inhabitants and other locals, these low-quality housing facilities were built during the socialist regime for the workers of large enterprises. Most often these buildings are concentrated in one or two low-quality blocks of flats. Main problems include massive overcrowding, which puts serious pressure on the block installations, and overdue payments for utilities (electricity, water, sewage, and garbage collection). Usually these apartments include only one small room that is overcrowded by numerous families with many children. Common spaces and installations—for example, electricity, sewerage, water, and so forth—are often damaged. Utility supply infrastructure is often very limited. In some cases, a hydrant may be the single source of water for the whole neighborhood. These communities are characterized by helplessness, which is accentuated by the constant shame of living in an infamously poor area and associated with a strong feeling of being belittled and experiencing discrimination.

Urban, slum areas

These slum areas are often found in old neighborhoods on the outskirts of towns and cities with very poor communities that include Roma and non-Roma. These have grown larger since 1990. In addition to low-quality

¹⁷ This report does not subscribe to the use of the term "ghetto." The term has been used to match the locally used terminology and to distinguish it from social housing.

housing, many additional improvised shelters have been put together over time, either in the courtyards of the old houses or on public areas. These shelters are typically made of plastic and paperboard, with some wooden framing. Houses and shelters are very small, but accommodate large families with many children. Not all urban slums consist of such old neighborhoods. Some were developed in the early 1990s by locals who lost their apartments due to overdue debts to utility providers. Some slums have virtually no infrastructure; others, for example, have just one tap that supplies water for the entire area. In other areas the infrastructure is developed along the main street but is not available in the rest of the area (not even electricity). As a result, many such areas are insanitary and highly exposed to natural hazards such as heavy rain or flooding. Informality (lack of property and land documents) is common, and slum residents claim they are highly exposed to the discretionary actions of powerful gang leaders in the area. While some slums can be peaceful and quiet, particularly in the old neighborhoods, others can be unsafe.

Urban, modernized social housing

Modern social housing units were often developed through integrated projects, which combined large investments in new buildings with infrastructure and a series of social interventions. Areas of modernized social housing are well endowed with infrastructure and utility services (sometimes better than the rest of the urban areas) but accommodate poor people in difficult social situations that are eligible for these houses. Paying for utilities remains a considerable challenge for many poor residents. The monthly bill for just one utility (usually electricity) is often larger than a family's income, and the situation is unsustainable for many residents who cannot afford to live and maintain the house. Modernized social housing can also deepen segregation when it is located outside of the city, away from where the residents have lived and grown up. It is also exposed to many natural hazards.

Urban, dilapidated buildings in historical city areas

Old individual houses in some historical city areas were nationalized and assigned to families during the socialist period. Some, especially those in a very poor condition, were also illegally occupied by homeless people after 1990. These are old neighborhoods where inhabitants have lived for more than 30 years. Except for the fact that these communities are located in urban central areas, their living conditions to a large extent resemble those in the slum areas. Because the location of such houses is highly attractive for investors and the houses have a high market potential, the former owners (or their inheritors) or local authorities often try to recuperate these properties, sometimes by evicting the occupants. Some people are allowed to stay in ruined buildings but are not given identity papers as tenants of that address (residential address), given that the building was administratively registered as "destroyed." This means that the resident cannot get a job, has no right to medical care or social benefits, and so on.

Rural and periurban informal settlements

Informal settlements in rural and periurban areas usually constitute relatively smaller communities of 20–30 households. These informal settlements have often grown out of traditional settlements in the nearby public land, with the formation and growth of new families. The houses typically have 1–2 rooms and are of relatively poor structural quality, made with adobe, wood, and tin sheets. Sanitation is extremely poor; many households might share a single pit latrine. Similarly, there might be a shared well for water. These areas are mostly occupied by younger and larger families. Typically, young adults are unemployed and live on informal economy activities (such as metal/ garbage collection) or work as a day laborer. These settlements could be very isolated and have limited access to social services and markets.

Rural, traditional settlements

There are old settlements in rural areas, where Roma families have lived for decades, and sometimes over generations. Generally, houses located in these rural traditional settlements are of relatively decent quality, but some constitute dilapidated structures. Infrastructure (water, sanitation, electricity) in these settlements may be very minimal or nonexistent. During the socialist regime, residents were mainly employed by local cooperatives or national enterprises in nearby towns, many of which disappeared after 1990. Access to the job market is limited in many of these settlements, and many families practice semi-subsistence agriculture. Limited income typically comes from the informal economy in a nearby town, day labor in the agriculture sector, and social assistance.

2. ENABLE CUSTOMIZATION OF ACTIVITIES TO SPECIFIC LOCAL NEEDS

Disadvantaged Roma communities face a variety of issues, and interventions must be locally customized to best address each community's specific priority needs.

Funding to priorities and measures should be made available on a flexible and customizable basis, instead of prescribing one-size-fits-all solutions across a country or a region. While common overall objectives and strategies can be shared across a country or a region, each community should be given flexibility as to "how" to pursue them. Uniformly obliging specific types of investments is not recommended, since it risks making interventions less relevant and cost-effective. A successful intervention in one community may not necessarily be suited for another. Even the same types of needs in two different communities may require different solutions and approaches, because each community might experience different challenges or impediments. Various interventions could be integrated to best address a community's needs and impediments, depending on their nature. CfPs should be structured around specific objectives, rather than interventions, and be open enough to fund a range of suitable actions that best fit the circumstances of local communities. A range of project activities or investment options can still be presented as ideas (instead of prescribed as requirements) to inspire suitable actions that best fit the needs of local communities.

3. ALLOW INTERVENTIONS TO ADDRESS BOTTLENECKS FOR BOTH SERVICE PROVIDERS AND USERS

The concept of "if we build it, they will come" is seldom reality.

Building infrastructure or extending services might not automatically result in an increase in utilization. Service users' (demand-side) bottlenecks, such as those related to users' awareness, affordability, capacity constraints, opportunity costs, social norms, and risks (safety, dignity, reputational, and so on) need to be assessed and addressed. Many disadvantaged Roma communities are highly impoverished, and merely providing new infrastructure or services will not necessarily result in their utilization. If people are not aware of a service's benefits, or if it is too costly to access, they will not be able to utilize it. Moreover, even when a service is free, people may decide not to access it if the transactions or opportunity costs (for example, transport, lost time for income generation and family care) are considered too high. Fear of being mistreated by service providers or associated exposure to humiliation could also discourage them from accessing a service. The design of any project must therefore be accompanied by the question, "If we build it, will they come?" Funding needs to be made available to allow projects not only to improve the quality and coverage of infrastructure and services, but also to remove service users' (demand-side) constraints to access.

4. ENSURE THAT INTERVENTIONS COME WITH A CLEAR EXIT STRATEGY FOR SUSTAINABILITY

A project's impacts or results should not disappear with its completion or the end of funding.

Funding and institutional arrangements for operation and maintenance of project activities should continue beyond the project's conclusion. Financial resources and adequate administrative capacity and governance structure need to be in place for local services and facilities to be managed by local actors and accessed by community members. Projects could include a component to build in these capacities and make them self-sustaining. Otherwise, local communities will become dependent on the project (and EU financing), and risk losing the gains achieved by the project when it ends. Financial sustainability does not imply that maintaining the improvements in the future cannot rely on continued subsidies, such as from central government programs or local budgets. For example, many disadvantaged people may continue to require safety net support to pay for services they

access in the short to medium term. An exit strategy may consist of ensuring the availability and allocation of such financial resources. Examples of activities that can enhance the sustainability of interventions are presented in Section II of this note. Sustainability needs to be considered when selecting the projects, and funding should be made available for projects to design activities that will ensure sustainability.

REFLECTING THESE FOUR GUIDING POINTS REQUIRES AN INTEGRATED APPROACH

An integrated approach involves the consolidation of multiple actions that jointly address a combination of impediments to sustainably achieving a development objective.¹⁸ For interventions to achieve intended outcomes, the bottlenecks hindering access to quality living conditions, both on the supply and demand sides (service providers and users), will need to be comprehensively addressed. Only addressing some of the bottlenecks will result in inefficient use of resources. Integrated approaches can increase the effectiveness, efficiency, and sustainability of interventions, because they create synergies and provide multipronged solutions to the complex, interconnected problems that disadvantaged Roma communities face. Impacts of social infrastructure investments could be increased by bolstering the capacity of the service providers. For example, service providers might require training to effectively use new infrastructure or technology to its full potential. Increasing providers' cultural competency could also enhance their ability to better understand and serve disadvantaged Roma. Similarly, efforts to increase the quality and efficiency of services could be enhanced by improving the associated infrastructure. Funding must be made available to accommodate interventions comprising such multisectoral activities. The integrated territorial investment (ITI), as defined by the ESI Funds regulation, aims to provide flexibility for member states to implement operational programs in a crosscutting way and draw on funding from several priority axes of one or more operational programs to facilitate the implementation of an integrated strategy for a specific territory. Although it represents one way to do this, alternative ways need to be reserved to fund multisectoral activities for priority axes of OPs that do not participate in the ITI arrangements.

PROMOTE LOCAL COMMUNITY INVOLVEMENT IN PROJECT MANAGEMENT AND DESIGN

Application of the above guiding points can be reinforced by promoting local community (including local authorities, civil society, Roma, and non-Roma populations) involvement in project preparation and implementation. Participation of the beneficiary group is essential to the success of integrated interventions because local community members know what is needed, why it is needed, what the bottlenecks are, what can be done, what is affordable and can be maintained, and what opportunities exist. Participation increases a project's ownership and relevance; it identifies stakeholders' priorities and their ability to maintain/operate. In addition, empowering disadvantaged Roma communities also contributes to their social inclusion. The participation of non-Roma communities is also critical to gain their support, avoid the stigmatization of Roma, and to foster interaction and cooperation between Roma and non-Roma on the basis of mutual interest. It would be ideal for CfPs to encourage partnerships between local authorities and CSOs that have a track record of trustful relationships with disadvantaged Roma communities. CSOs often play an important role in reaching out and engaging disadvantaged Roma communities, since underlying mistrust towards authorities often prevents disadvantaged Roma from actively participating in the process. The level of community involvement needs to be considered in selecting the projects to be funded under the programs, and funding should be made available to allow projects to involve community members in their implementation. In the same vein, Roma mediators and

community social workers can also facilitate the identification, planning, and implementation of community-level interventions. They can serve to close the communication gap between local actors and the Roma, thereby helping to improve the format of interventions, while also increasing the uptake of interventions by Roma. While the policies and institutional arrangements for implementing the community-led local development (CLLD) may require and provide an enabling environment for promoting and facilitating community participation, it is recommended that local-level projects feature community participation in general, even when they are not funded through CLLD. Under CLLD, it is highly recommended that community involvement be promoted beyond their participation in the local action groups that formulate local development strategies, and support their involvement in the preparation and implementation of projects that realize the strategies.

PROVIDE SUFFICIENT SUPPORT AND EXPERT ASSISTANCE TO LOCAL ACTORS TO DEVELOP AND IMPLEMENT PROJECTS

Local actors, especially in marginalized communities, often lack sufficient technical capacity to collectively translate their priority needs into projects. Although local actors know their needs best, they require substantial assistance to prepare project proposals to apply for ESI Funds and to implement the projects once approved. For example, many local authorities cannot form a team of experts who can specify or verify a project's technical details or develop procurement documents, including the terms of reference. Local authorities have often been heavily burdened by the complex administrative procedures involved with the implementation of these funds. A national level support body could be created to provide technical assistance to local actors in preparing and implementing projects to be funded with ESI money. In concrete terms, the support body could provide mentoring and "hand-holding" assistance to local actors to develop and implement projects through (1) community outreach; (2) identifying top priority needs through participatory methods; (3) rapid capacity enhancement of local actors; (4) converting priority needs into investment plans in the form of technical project documents; (5) pricing out these investment plans, including recurrent operational and maintenance costs; (6) assistance in preparing a project proposal and applying for ESIF funding; and (7) providing implementation support (for example, procurement, supervision) and training (for example, financial literacy, grievance mechanisms, monitoring and evaluation (M&E), and so on). The support body could be established in various forms, depending on the context of the member state. One option is to incorporate it as part of a project-funding program. In the case of ESI Funds, it could be included as part of an operational program (for example, as part of the budget allocated for the OP's technical assistance). Alternatively, an existing body with the capacity to support local-level interventions could be mobilized (funded either by the state budget or ESI Funds) to assist local actors in accessing the ESI Funds. Subject to the context of the member state, programs, and the CfP, this type of assistance can possibly be mobilized specifically for a CfP. In such a case, the CfP should clearly state the types of assistance available and how interested communities can access it.

III. Cross-cutting activities that could/should be integrated to individual interventions

SUPPORT INTERVENTIONS THAT ADDRESS ROOT CAUSES AND SUSTAINABILITY ISSUES

In line with the three guiding points presented in Section I, interventions need to be customized to meet local needs by integrating activities that address both supply- and demand-side bottlenecks (both service providers' and users' bottlenecks) and ensure sustainability. Besides the common interventions that improve infrastructure (community roads, sewerage, wastewater treatment plants, water, community centers, schools, clinics, and so on) or provide social services (through training and deploying social workers, health mediators, teaching assistants, mentors, trainers, and so on), other activities need to address the root causes of Roma

¹⁸ Integration can be achieved at different levels and in different forms, depending on the context of objectives pursued and the impediments addressed, including by: (1) combining interventions across various dimensions/sectors/themes (e.g., combining housing and health interventions to improve child health); (2) combining hard and soft measures (e.g., combining physical construction of a community center with the training of social workers who run youth programs at the center); (3) combining various measures to address supply-side impediments (e.g., lack of health care providers) and demand-side challenges (e.g., lack of awareness by service users) to achieve an intended outcome; and (4) sharing common resources to implement multiple interventions or activities (e.g., the same social worker can help the Roma to access various social services while also serving as a bridge between Roma communities, public officials, and non-Roma communities by closing the communication gap and fostering mutual awareness and understanding).

exclusion and/or to increase the sustainability of a project's impacts. Even when an intervention targets particular sectors such as employment, education, or health, depending on the local context, its projects need to be accompanied by activities that address some of the issues listed below. CfPs should be designed to accommodate such activities.

Awareness

Raise awareness about a particular service's or practice's availability and benefits through (1) public awareness campaigns; and (2) outreach activities by social workers and mediators;

Affordability

Increase the local population's ability to pay for services and infrastructure by reducing the costs of initial investments, operation, and maintenance, and by helping to increase the population's income, when possible. Some available options include: (1) involving local labor in project activities, such as in infrastructure upgrading, which not only creates temporary job opportunities but also develops skills for future employment; and (2) training the local population to operate and manage future projects. Additionally, interventions could be accompanied by employment-specific interventions such as vocational training, job search assistance, apprenticeship facilitation, and second chance education.

Organizational capacity

Increase the local population's capacity to collectively manage and sustain a project's results by (1) supporting the formation and running of service users' associations/committees (for example, legal and facilitation support for formation of associations); and (2) providing training to users' associations or committees (for example, training on accounting, basic financial literacy, decision-making procedures, and so on).

Transactions and opportunity costs

Reduce the transactions and opportunity costs of accessing infrastructure or services by (1) providing affordable means of transportation; (2) providing mobile services (bringing services closer to families, such as mobile clinics); and (3) clustering services (for example, combining early childhood education with vocational training/life-long education for parents).

Risks (safety, dignity, reputational, and so on)

Reduce safety concerns and alleviate fears of losing dignity and reputation by (1) providing affordable transportation services after dark; (2) financing and training social workers and mediators to ensure proper treatment of all service recipients, such as by providing cultural competency training; and (3) including gender-specific services. People might not access new infrastructure or services if they have safety concerns, or fear compromising their dignity or reputation in the process of accessing them.

Civil documentation

Complement investments in the extension of services or infrastructure with activities to register (1) personal identities; and (2) property rights where possible, in order to ensure that the investments benefit targeted groups, especially in informal settings. The lack of civil documents, such as personal identification or formal residence certification, often hampers access to basic social services like education, waste collection, water, or social assistance programs.

Social integration

Incorporate components in the project design that foster reconciliation, mutual understanding, trust, and adaptation/tolerance to diversity. For example, collaborative activities, such as those that require responsibilities to be shared in the maintenance of a community facility, could be included in

the project design. Projects could also include organization of recreational activities and campaigns against discrimination. Historic grievances or mistrust between the Roma and non-Roma might hinder the community from collectively or efficiently benefitting from a project.

Active citizenship

Facilitate the population's engagement in project activities to increase their ownership of it and to demand service providers' accountability. Activities that foster active citizenship, such as the organization of community groups and outreach activities by social workers, could be funded. The increased engagement of parents in school activities through parents' associations, for example, can both increase the educational performance of their children and serve to empower parents to take part in community life. Social workers and mediators can also take a significant role in helping the local community voice their demands.

IV. Other Issues and Challenges

1. NON-SEGREGATION AND DESEGREGATION

Fund both desegregation and nonsegregation projects

Spatial or residential segregation¹⁹ is a key self-perpetuating feature of Roma marginalization in many communities. Spatial segregation often perpetuates marginalization by creating disadvantages, such as inferior access to basic services and economic opportunities. The ERDF regulation 2007–2013 prohibited interventions that led to increased concentration or further physical isolation of marginalized groups²⁰. This concept of nonsegregation—which means to avoid creating new segregation or reinforcing existing segregation—is not explicitly stated in the regulations for the 2014–2020 programming cycle but is still a good practice, and programs should not fund interventions that lead to or perpetuate segregation.

Nonsegregation is different from desegregation, which means to undo segregation

Interventions aimed at improving the living conditions of disadvantaged Roma could be designed on a nonsegregation basis to avoid further segregation; yet pursuing spatial desegregation would require a different set of interventions. For example, a basic community service—such as garbage collection—can be extended to a spatially segregated neighborhood on a nonsegregation basis, but does not involve spatial desegregation. For this reason, programs should be open to funding both desegregation projects directly aimed at undoing segregation, as well as nonsegregation projects aimed at improving the living conditions in segregated neighborhoods. In this context, it is important to note that social housing interventions (as opposed to interventions that improve existing houses) in segregated areas, especially those that involve the construction of additional (social) housing blocks, could reinforce or enlarge segregation (therefore neither desegregating or nonsegregating), if not accompanied by countermeasures. The enlargement of a segregated population could be mitigated, for example, by simultaneously helping some families from the neighborhood move into nonsegregated areas, instead of adding social housing to accommodate them all in the segregated area. In addition, interventions (such as mentoring services by community social workers, employment services, and mediation services) that do not directly address spatial desegregation could still contribute to spatial desegregation in the long run by creating enabling conditions for disadvantaged Roma to integrate to mainstream society

¹⁹ This discussion focuses on the spatial or residential segregation of Roma, in which Roma and non-Roma are physically separated in different neighborhoods. It is different from segregation in service provision, such as in classrooms and health care. While spatial segregation could often be a key source of segregation in service provision, it is not always the cause, and desegregation in service provision (e.g., school desegregation) may not necessarily require residential desegregation.

²⁰ Regulation (EU) No 437/2010 of the European Parliament and of the Council of 19 May 2010, amending Regulation (EC) No 1080/2006 (Article 7) on the European Regional Development Fund as regards the eligibility of housing interventions in favour of marginalized communities.

on their own in the future. The ability and opportunity of disadvantaged Roma from a segregated neighborhood to take part in society could also be increased by enhancing connectivity (public transportation and roads) and increasing access to services via neighborhood upgrading, which makes the segregated neighborhood an integral part of a broader community (an example from Medellín, Colombia is found in Global Case Studies). More discussion on spatial segregation is found in the Discussion Note on Addressing Spatial Segregation of Roma in Module 2 of this handbook.

2. RESETTLEMENT

Resettlement needs to be planned with caution

Some interventions, including those that do not address desegregation, entail resettlement—moving people from their current locations (such as slums on the outskirts of a city). Resettlement needs to be planned and executed carefully. Interventions should avoid resettling people into an area where they could be further concentrated or segregated; also, vulnerable groups have different preferences as to where and how they want to be resettled. While many Roma families prefer to live in mixed neighborhoods, there are also Roma families that do not feel comfortable living next to non-Roma neighbors in the immediate future, partially out of fear of being mistreated by the latter. Therefore, careful planning and adequate social work is needed to help both Roma families and non-Roma neighbors prepare for and adjust to the change. They often prefer to relocate in a way and a pace with which they feel comfortable.²¹ If inappropriately planned or executed, resettlement could trigger social, economic, and cultural adversities worse than those it is intended to prevent. For example, relocation could disrupt Roma livelihoods by impeding their access to existing social networks and sources of income. In addition, if they are moved to apartments in a neighborhood where they cannot pay utilities and rents, or where they cannot find employment, they cannot stay and might need to move out again, to another marginalized neighborhood. Resettlement therefore needs to be planned carefully with holistic measures that can mitigate negative impacts and facilitate adjustment to the new environment. Such mitigation and adaptation measures usually require more time and resources.²² Depending on the actual needs of the target community, there could be more cost-efficient measures to address the challenges faced by disadvantaged communities. In cases where resettlement is considered to generate positive and sustainable impacts efficiently, or is necessary for environmental reasons, or to prevent the impact of natural disasters, it should follow globally established principles, based on consultation and community agreement. It is important for the CfP to provide a framework of measures that mitigate the negative impacts of resettlement, land acquisition, and/or restrictions of access to natural resources on Roma. Suggested good practices to be incorporated in such a framework are presented in Good Practice Note 2: Planning Resettlement in Module 3 of this handbook.

3. STRIKING A BALANCE BETWEEN PRIORITIZATION AND INTEGRATION

Integration is more than just combining a series of interventions

While CfPs need to remain flexible enough to allow customized integration of interventions at local levels, lack of priority or focus could result in incoherent and fragmented interventions. In an effort to tackle multiple challenges faced by communities, projects could end up being a mere catch-all compilation of parallel activities that address diverse challenges without coordination or synergies. This can lead to inefficient use of available resources without systematic or strategic prioritization of interventions. Diversification without coherence could potentially compromise the quality of projects, as this also diverts resources and technical expertise required in project implementation. It is therefore essential that CfPs have a well-defined set of objectives and priorities. Projects, in turn, could be customized at the local level and incorporate a variety of interventions aimed at achieving those objectives and priorities. For example, street lights to ensure safe passage, a community child

care facility and services, and vocational training for adults could be provided together to facilitate employment of women.

4. BUILDING ON EXISTING PROGRAMS

Building on existing government programs can be an effective way to improve a project's sustainability

Service providers often face additional challenges in operating in marginalized communities. These include high maintenance and operation costs, and low-cost recovery rates. These challenges pose disincentives for (and sometimes even prohibit) service providers and public utility companies to continue to serve these areas, especially once projects (for example, those funded with ESI monies) cease to pay for their services. Such risks could be reduced by building on existing programs that have proven sustainable in the absence of ESI Funds. Moreover, utilizing existing programs is cost-effective, since it allows resources and expertise to be shared. Experience shows it is easier to ensure the efficient and continuous provision of services in education, health, and day care when they are already integrated into the municipality, state, or province's regular social service provision system. Certain CfPs could be made in partnership/coordination with existing national or regional programs to promote interventions that build on them. This would require an alignment of CfPs and local projects to national-level sectorwide strategies and policies. Vice versa, such an initiative could contribute to mainstreaming the Roma inclusion agenda in national-level policies and strategies.

5. INSTITUTIONAL FRAMEWORK

The institutional framework needs to be conducive to managing and administering the programs.

Questions to be asked include:

- (a) **Strategic acquisition and recommendations.** *Are the competencies and responsibilities of key parties involved in Roma inclusion efforts clear and consistent? Are the competencies spelled out in the CfPs consistent with the national regulations, the NRIS, the country-specific recommendations, and so on? The coordination between different ministries and MAs is imperative, especially to enable measures and CfPs to allow integrated interventions.*
- (b) **Administrative capacity.** *Is the capacity of responsible key parties adequate and sufficient to manage interventions (for example, preparation, implementation, monitoring) to be funded under the call for proposal? Do the organizations involved have adequately trained staff that can handle the responsibilities concerning Roma-focused objectives? Are there concrete measures (for example, support body) to support local actors with limited planning and implementation resources to formulate proposals?*
- (c) **Financial resources and funding allocations.** *Are there ways to provide financial support to local actors to prepare and initiate projects? Developing a project and applying for funding usually requires prior investments by applicants. There have been reports of CSOs going bankrupt or nearly bankrupt as a result of unsuccessfully applying for funds, or even when successful, as a result of serious delays in getting project expenditures reimbursed.*
- (d) **Inclusion of marginalized communities.** *Does the CfP propose concrete measures to ensure targeting of the most vulnerable communities? (What are the methods to identify target communities? Are there criteria and sufficient data to identify them?) Does the CfP propose a mechanism to ensure and/or promote Roma participation in project formulation and implementation? Does it provide a framework for consultation processes and grievance redress mechanisms (GRMs) to be applied by projects? Does it respect the Code of Good Conduct adopted by the Council and the European Parliament in the framework of the ESI Funds regulations?*

²¹Such was the case in Turin, Italy, for example.

²²For example, the IRIS Subsidized Rental Housing Project in Madrid, which involved a comprehensive package of resettlement and livelihood activities, costs over €24,000 per individual.

6. OBJECTIVES AND THE RESULTS CHAIN

If a call for proposals is explicitly (but not exclusively) aimed at addressing Roma inclusion, it is essential that it make clear reference to the programs' Roma-specific objectives

In line with the thematic ex ante conditions established by the EU funding regulations, programs and investments have to contain measures and tools that are in line with the NRIS, the Commission's position papers, and the country-specific recommendations. Measures to be funded under the programs and interventions need to be aligned with these objectives following the logics of a results chain. Points to be assessed include the following:²³

- Does the CfP clearly define the Roma-focused objectives, priority axes, measures, and targets? For example, does it indicate how it will contribute to the objectives and targets of the NRIS?
- Is the rationale behind the Roma-related objective/targets logically explained? (Are they based on analysis of the current Roma situation?)
- Does the CfP form a logical results chain to achieve the stated Roma-related or Roma-specific objectives/targets?
- Is the objective/target realistic/feasible? Do the budgets allocated/programmed for specific priority axes and measures justify the feasibility of achieving Roma-related objectives/targets?

7. RISKS TO ACHIEVING ROMA-FOCUSED OBJECTIVES

It will be valuable for the CfPs to identify any particular risks to implementing Roma-focused interventions and proposed realistic and adequate measures to mitigate them

Risk assessment of the CfP could involve asking the following questions, among others:

- Are there any groups actively opposing the Roma-focused objectives defined in the CfP? Could they potentially hamper the CfP's implementation?
- To what extent does the CfP incorporate or rely on untested or unfamiliar technologies or processes that target Roma?
- To what extent could the design and implementation of the CfP possibly generate (or exacerbate existing) conflict or violence involving Roma?
- Are the Roma-related challenges and lessons from the previous period of CfP taken into account and adequately reflected in the proposed CfP?
- What are the potential environmental impacts that could be caused by Roma-focused interventions funded by the CfP? Are mitigation measures proposed?
- To what extent do environmental issues and/or cumulative impact affect the implementation of Roma-focused interventions under the CfP?
- To what extent might the CfP involve involuntary resettlement, land acquisition, and/or restrictions of access to natural resources of Roma? Are specific measures and procedures stated in the CfP to mitigate their negative impacts on Roma?

²³These need to be assessed within the results framework of corresponding funds.

V.

Options for Mainstreaming Roma Inclusion in the CfPs

APPLY ROMA-SENSITIVE QUESTIONS ACROSS CFPs

Roma inclusion could be mainstreamed in CfPs by systematically collecting and analyzing information concerning:

1. ANALYSIS

- Does the CfP identify and analyze Roma issues relevant to its objectives or components? Has it analyzed whether the CfP affects Roma differently from the rest of population? Has it analyzed whether Roma would face specific challenges in benefiting from the CfP and how their benefits could be increased?
- Does the CfP reflect the results of consultations with Roma, nongovernmental organizations (NGOs), or line ministries that focus on this group?

2. ACTIONS

- Does the CfP include specific or targeted actions that address the needs of the Roma?
- Does the CfP include interventions that are expected to narrow existing disparities between Roma and non-Roma?
- Does the CfP include specific or targeted actions to increase the benefits of the project to the Roma?

3. M&E

- Does the CfP include indicators in the results framework disaggregated by ethnicity?
- Does the CfP propose an evaluation, which will analyze Roma-specific impacts of the CfP?

ASKING THESE QUESTIONS WOULD ENHANCE THE DESIGN OF CFPs AND INCREASE PROJECT BENEFITS TO ROMA

Once the CfPs have been launched and the projects are selected, the projects with Roma-specific objectives, measures, or indicators could be flagged and relevant data collected and monitored at the aggregate level (for example, for the entire CfP). In practical terms, project proposal forms can include these questions to be provided by applicants, and depending on the context and objectives of the call, the selection committee could prioritize proposals that are Roma-informed (that have considered the above questions), and possibly provide extra resources to those that require or propose additional measures to protect or assist Roma.

Potential Interventions to be Funded by Programs

I. Purpose

This note aims to inform the national-level authorities about the types of interventions that may be funded through programs to improve Roma living conditions.

II. Context

Disadvantaged Roma communities face a variety of issues, and interventions for Roma inclusion must be locally customized to best address each community's specific priority needs

Funding to priorities and measures should be made available on a flexible and customizable basis, instead of prescribing one-size-fits-all solutions across a country or a region. While common overall objectives and strategies can be shared across a country or a region, each community should be given flexibility as to "how" to pursue them. Uniformly obliging specific types of investments is not recommended, since it risks making interventions less relevant and cost-effective. A successful intervention in one community may not necessarily be suited for another. Even the same types of needs in two different communities may require different solutions and approaches, because each community might experience different challenges or impediments. Various interventions could be integrated to best address a community's needs and impediments, depending on their nature. CfPs should be structured around specific objectives, rather than interventions, and be open enough to fund a range of suitable actions that best fit the circumstances of local communities. A range of project activities or investment options can still be presented as ideas (instead of prescribed as requirements) to inspire suitable actions that best fit the needs of local communities. This note intends to showcase a line of available actions and interventions that could comprise integrated projects.

III. Applicability

National-level authorities can consult the lists of potential interventions in the next section to ensure that the CfPs allow funding of essential interventions and activities required to improve Roma living conditions. The types of interventions presented in this note are generally relevant and applicable to the four crucial areas of Roma integration as identified in the EU Framework for NRIS up to 2020: access to housing, employment, education, and health care.

This note focuses on the types of interventions that can be managed and implemented at the local level, and does not include national- or regional-level policy measures or programmatic interventions, which are usually not subjects of a CfP-based funding of ESI Funds. Nevertheless, local interventions should generally be aligned with national- or regional-level strategies and programs to maximize impact and results. For example, some of the local-level interventions listed in the note might require complementary interventions at the national or regional level. Certain CfPs could be made in partnership/coordination with existing national or regional programs to promote interventions that build on them. This would require CfPs to be aligned to sectorwide strategies and policies at the national level.

IV. Potential Interventions that May be Funded

This handbook classifies the local challenges and impediments faced by the disadvantaged Roma in accessing housing, employment, education, and health care into 10 general types of needs that cut across the four crucial areas. In other words, a combination of local gaps in some of the 10 general needs results in hampering the Roma's access to adequate housing, employment, education and health care. For example, the combination of the lack of basic services (such as a sewage system), social service providers (health care providers), and Roma's limited awareness and information (such as knowledge of healthy lifestyle) can be the main impediments to good health in a disadvantaged Roma community. The potential interventions and activities are classified by these 10 general needs (see the Diagnostic Questionnaire for Community Needs Assessment and the Table of Potential Place-Based Intervention Options in Module 3 of this handbook for more information about the needs and interventions).

Options for Potential, Place-Based Interventions that Can be Applied at the Community Level

NEEDS	INTERVENTION OPTIONS	VARIANTS/ACTIVITIES
PHYSICAL/SPATIAL NEEDS		
<p>Access to basic community services</p> <p>Provision of accessible and reliable supply of water, electricity, sanitation, and waste collection are needed for children to grow and develop, and for people to stay healthy, fit, and productive.</p>	<p>Neighborhood upgrading</p>	<p>Rural/semi-rural neighborhood upgrading (expansion of basic services to neighborhoods—investment in decentralized sanitation systems, electricity, and improvement of water supply networks and/or expanding solid waste collection using community collection points).</p> <p>Urban neighborhood upgrading (expansion of basic services through centralized solutions—existing municipal services are expanded to cover the neighborhood).</p>
<p>Safe location</p> <p>Violent environments, risks of natural disasters, hazardous materials, and/or lack of clean and safe public spaces can prevent community members from accessing adequate housing, employment, education, or health services.</p>	<p>Public safety programs for crime and violence prevention</p>	<p>Basic services and simple environmental design interventions such as street lighting, public telephones, and improved street layout.</p> <p>Community crime mapping and diagnostics.</p> <p>Situational prevention interventions using Crime Prevention through Environmental Design (CPTED) principles.</p> <p>Mediation and conflict resolution programs that serve to build confidence among rivals and establish community codes of conducts, among others.</p> <p>Social prevention programs that address the causes of crime and violence. These can include long-term parenting skills programs and early childhood education programs and cultural programs; job training programs with at-risk adolescents, before and after school programs, programs to prevent domestic and gender-based violence and educational programs in conflict resolution.</p>
	<p>Resettlement and livelihood restoration</p>	<p>Relocating households to safe areas and/or transforming some of these areas to other land uses—such as linear parks—to avoid households from returning or other household from settling in. (Provision of housing and basic services after relocation may be pursued through the activities presented for addressing adequate housing and access to basic community needs mentioned above.)</p> <p>Livelihood restoration (skills training, employment service, life skills training).</p>
<p>Accessible and well connected communities</p> <p>Accessible roads, reliable public transportation, and school and health care facilities are necessary to connect the community to jobs, social services (e.g., education, health care), markets, and other opportunities.</p>	<p>Improving neighborhood connectivity</p>	<p>Rehabilitating access roads.</p> <p>Improvements in the coverage and reliability of public transportation.</p>
	<p>Social infrastructure upgrading</p>	<p>Construction, rehabilitation, extension, or improvement of permanent social infrastructure (e.g., schools, health care facilities, community centers).</p> <p>Upgrading equipment for mobile social service units (e.g., mobile health units).</p>

NEEDS	INTERVENTION OPTIONS	VARIANTS/ACTIVITIES
PHYSICAL/SPATIAL NEEDS		
<p>Spatial integration</p> <p>Physical segregation from the rest of the population leads to negative neighborhood effects, preventing community members from accessing employment and quality services.</p>	<p>Desegregation</p>	<p>Additional rental housing in mixed-income neighborhoods.</p> <p>Subsidized rentals (and rental allowances) in mixed-income neighborhoods.</p> <p>Disadvantaged communities can also be integrated through improved neighborhood connectivity (see above).</p>
<p>Adequate housing</p> <p>Access to safe housing structures that provide sufficient space, safety, hygiene, and protection from the elements is needed for children to grow and develop and for people to stay healthy, fit, and productive.</p>	<p>Housing improvements</p>	<p>Improving existing housing structures</p> <p>Technical assistance to improve or expand housing</p> <p>Financial/material assistance to improve or expand housing</p>
	<p>Additional housing</p>	<p>Increasing housing supply</p> <ul style="list-style-type: none"> Incremental housing Assisted self-construction Municipal property management New housing construction Housing construction (public housing) <p>Making existing housing units available to the community - brokering supply and demand</p> <ul style="list-style-type: none"> Subsidized rental housing Densification through social housing schemes Increasing housing supply Additional rental housing Subsidized rentals

NONPHYSICAL/IMMATERIAL NEEDS		
<p>Civil documents</p> <p>People in the community do not have necessary civil documents (such as birth certificates or identification cards) to access social services or make formal transactions. These documents are often required to verify eligibility for accessing public and social services. Residential address is often a requirement for accessing social services and for voter registration.</p>	<p>Civil registration</p>	<p>Civil registration facilitation and assistance</p> <p>Registration subsidies</p>

NEEDS	INTERVENTION OPTIONS	VARIANTS/ACTIVITIES
NONPHYSICAL/IMMATERIAL NEEDS		
<p>Tenure security</p> <p>Land is a source of food and shelter, the basis for social, cultural, and religious practices, and a central factor in economic growth. The livelihoods of many, particularly the poor, are based on secure and equitable access to land and resources. Formalization of land and property rights is also a basic requirement of access to credit.</p>	<p>Land regularization/titling registration schemes</p>	<p>Inventories of land ownership</p> <ul style="list-style-type: none"> Development of information campaigns and mechanisms for public consultation Formal verification of field, legal, and administrative procedures for transfer Extensive public communication to ensure benefits and costs of titling are well understood
		<p>Titling program</p> <ul style="list-style-type: none"> Land surveys Register and cadaster searches Verification of occupancy information and provision of technical assistance to eligible beneficiaries
<p>Capacity of social service providers and equal treatment</p> <p>Social service providers need to be trained to adequately provide services in the context of disadvantaged groups, including Roma. Social service providers may not treat disadvantaged groups equally.</p>	<p>Social service providers' training</p>	<p>Teachers' training: supplemental teacher training in the areas of interactive didactics, intercultural education, inclusive education, friendly school approaches and practices, and on Roma history, language, and culture.</p>
		<p>Health care providers' training: supplemental training to increase their knowledge, respect, and understanding of Roma health patients.</p> <p>Social service providers' training: courses on diversity and sensitivity to minorities, as well as practical training to promote respect for Roma minorities.</p>
	<p>Roma mediators</p> <ul style="list-style-type: none"> School mediators Health mediators 	
	<p>Community social workers</p> <ul style="list-style-type: none"> Community social workers Counselors Mentors 	
	<p>Education support (including extracurricular activities)</p> <ul style="list-style-type: none"> Additional activities or learning materials to make the learning experiences of Roma children more culturally relevant and meaningful to their family and community life. Afterschool assistance to help children complete homework or catch up with the curriculum. Afterschool recreation activities like sports, music, and arts through which social and life skills can be nurtured. Mentorship, and counseling Introduction of learning materials to help enhance appreciation of Roma culture and identity. 	
<p>Public employment</p> <ul style="list-style-type: none"> Involvement of local population in civil works. Training and hiring of local population in the operation/maintenance of new infrastructure/social programs. Creation of a social enterprise. 		

NEEDS	INTERVENTION OPTIONS	VARIANTS/ACTIVITIES
NONPHYSICAL/IMMATERIAL NEEDS		
<p>Skills, information, awareness, and capacity of community members</p> <p>Individuals in marginalized communities often cannot exit a cycle of poverty and exclusion because they lack the skills and information needed to participate in the labor market or to access social services and opportunities. Often, marginalized people do not access certain social services because they do not have sufficient awareness and information about such services' value and availability.</p>	<p>Training schemes (skills enhancement programs)</p>	<p>Training to increase (cognitive and noncognitive) skills and employability of the unemployed.</p> <p>Life skills curriculum on motivation (self-esteem, interpersonal relations, life fulfillment), life at work, social skills, and job search technical and vocational education and training (TVET) to increase the employability of the unemployed.</p> <p>Mentorships, internships/apprenticeship, or job trial opportunities to provide work experience.</p> <p>Training and technical assistance to increase both the skills and knowledge of entrepreneurs to create and run businesses (such as in obtaining licenses, accounting, marketing).</p>
		<p>Employment services (job search assistance)</p> <ul style="list-style-type: none"> Employment counseling Mentoring Job search assistance (including provision of information on vacancies) Assistance with job applications (e.g., curriculum vitae and interviews) Liaison service between employers and prospective Roma employees by reaching out to both potential employers and the local Roma community
	<p>Parental involvement promotion</p>	<p>Parental involvement promotion</p> <ul style="list-style-type: none"> Parent school Counseling Parenting education with high emphasis on parent-child communication Parent support groups Creation of opportunity for Roma parents to participate in daily school activities (they may be engaged in supporting the teacher in preparing activities, or supervising children during activities), or educational activities for children led by parents
		<p>Awareness raising and life skills education</p> <ul style="list-style-type: none"> Awareness raising events or materials to inform disadvantaged Roma about healthy lifestyle, risky behaviors, and the importance of availability of social services. Such information can be provided as part of a broader life skills education. Roma mediators mentioned above can also be mobilized to effectively communicate with Roma and increase their awareness and knowledge.
<p>Finance</p> <p>People with limited resources are often denied access to credit and loans, preventing them from improving housing, starting a business, accessing education, or receiving health care.</p>	<p>Microfinance</p> <ul style="list-style-type: none"> Small loans to help homeowners improve their housing or local small businesses make start-up investments (e.g., facility, equipment, raw materials, and other inputs). 	
	<p>Scholarships</p> <ul style="list-style-type: none"> Scholarship programs for secondary and tertiary education. These can be provided on the hybrid, means-tested (needs-based) and merit-based method for vulnerable/disadvantaged people who meet certain performance standards. Scholarships for higher education covering tuition and/or allowances for living expenses. 	

Practice and Advisory Note on Community Outreach

I. Purpose

This note aims to help the national-level authorities and intermediate bodies effectively reach out to local-level stakeholders, such as local authorities and civil society organizations (CSOs), and inform them of funding opportunities—call for proposals (CfPs), including those provided by EU funds, and promote the submission of proposals by targeted communities. This is expected to increase the submission of more relevant proposals by disadvantaged communities.

II. Context

It is important that targeted communities be made aware of CfPs. Even when a CfP is intended to address certain issues or development goals, and targets communities that confront those issues and goals, if the communities are unaware of the opportunities provided under the CfP, they are unable to respond to the call and benefit from the available funding. Often, local authorities and CSOs are eligible to submit proposals and apply for funding on behalf of communities; therefore, it is important for not only the local authorities, but also community members and CSOs to be informed of the CfP. It is especially important for them to know what can be funded, who can apply (the eligibility criteria), how they can apply, the deadline, what are application requirements, and what support (technical assistance) can be provided by whom in preparing the proposals. This information will increase the interest of disadvantaged communities in applying for EU funding, who would otherwise not even consider submitting proposals. Moreover, the authorities can also reach out to communities before the launch of the CfP and hold consultations to seek information, advice, and opinion for designing it.

III. Applicability

This note summarizes key actions that national-level authorities can take to effectively consult local communities before developing the CfP, and to communicate with local communities about the CfPs.

IV. Key Actions

1. CONSULTATION WITH COMMUNITIES

It is valuable to consult with communities before preparing the CfP—a process in which topics pertaining to future CfPs can be discussed with a wide range of stakeholders. Consultation with communities helps make CfPs more relevant and responsive to people’s reality and needs. The consultation can also identify the communication needs (communities’ common concerns and questions related to future CfPs) and inform the development of communication materials and activities. The objective of the consultation is to (1) tap the knowledge of stakeholders such as CSOs working in the area/s or on the issue/s the CfPs will target; (2) give voice to the vulnerable and potentially excluded groups in the formulation of future CfPs, and encourage their application once the calls are launched; (3) encourage transparency and public understanding in the future CfPs; and (4) set the foundation for broad-based participation in ensuing the design and implementation of projects once CfPs are launched.

Consultation also provides an opportunity for authorities to identify potential obstacles to effective community outreach in the future. Common obstacles include (1) lack of knowledge of the size, strength, spread, and capacity of CSOs among the target communities; (2) differences and conflicts within the target community or between the target community and the local/national government; (3) lack of knowledge of language or literacy constraints in the target communities; and (4) lack of conviction for the outreach activity or future project among staff of authorities or others involved in the community outreach effort.

It is advisable for the consultation to be made with a range of stakeholders and communities, including local authorities, community members (including disadvantaged groups and neighborhoods), and CSOs. The types of topics to be discussed and information to be collected include the following:

- (a) common issues and priority needs;
- (b) earlier experiences of development interventions in the communities, including their negative and positive results and outcomes;
- (c) specific vulnerable groups such as children, youth, the unemployed, illiterates, and people with disabilities that need special attention;
- (d) specific types of communities, or groups within communities, that have special communication needs;
- (e) common and specific concerns or questions held by different types of stakeholders about the CfP;
- (f) potential sources of misperceptions or misinterpretations of the planned CfP;
- (g) feedback on the funding procedures from previous CfPs, as applicable (to improve the process).

2. COMMUNICATION WITH COMMUNITIES

Eligible communities confronting the issues addressed by CfPs that could greatly benefit from ESI Funds often do not submit proposals. A number of information gaps lead to this opportunity loss, including: (1) lack of awareness of the CfP; (2) lack of interest (not knowing the benefits of receiving project financing under the CfP); and (3) pessimism (that is, people do not believe the community is eligible, do not think the proposal will be accepted, or do not believe the community can manage a project). The following are some actions the authorities can take to address these gaps:

(a) Prepare communication materials.

In addition to the CfP, prepare accessible, easy-to-understand, communication materials to make the call widely known. Key to the success of information dissemination is a clear understanding of language and literacy levels of the target population. The communication materials need to be targeted not only to local authorities, but also to community members (including disadvantaged groups and neighborhoods) and CSOs, so they can either demand the local authority to submit a proposal or prepare a proposal on

their own. The communication materials could be brochures, flyers, and posters, and include basic information such as:

- 1) objective and areas of focus
- 2) eligible applicants (clearly indicate who, besides local authorities, can apply)
- 3) key application requirements
- 4) application deadline
- 5) where the call for proposal can be found/accessed (e.g., web address)
- 6) what kind of technical assistance can be provided and how it can be sought
- 7) contact information for where questions can be answered

Since the details of the application requirements, processes, and selection criteria can be voluminous and are fully explained in the CFPs themselves, the communication materials can be limited to key essential information that addresses the information gaps that impede communities from accessing the CFP.

(b) Use different channels of communication.

Besides circulating communication materials to the local authorities and posting them at visible and accessible places, depending on the availability of resources, information about the CFP can be publicized through the following channels:

- 1) TV advertisements
- 2) Radio advertisements
- 3) Newspaper and magazine advertisements
- 4) Social networks (Facebook, Twitter)
- 5) Campaign caravans
- 6) Deployment of project development support teams to communities (if they exist)

(c) Establish a help desk (hotline).

The complexity of application processes and requirements often require additional clarifications and advice to applicants. Unavailability of such additional information can preclude especially disadvantaged communities (that lack technical capacity) from developing and submitting proposals in an appropriate manner; therefore, creation of a help desk, where applicants can seek clarification and guidance, is recommended. The help desk can be a physical office, a telephone hotline, an email address, or an Internet portal. Questions can be logged to create a frequently asked questions page, or inform the formulation of future CFPs. It would need to accommodate minority languages spoken in the communities. Adequate staffing of the help desk—one that is highly motivated to reach successful outreach results—is crucial to the successful implementation of this kind of support function.

Step B Supporting Project Development and Management

Practice and Advisory Note to Help Local Communities Develop and Implement Projects²⁴

I. Purpose

This note aims to propose ways and methods through which local communities can be assisted in developing and implementing projects, including those funded by ESI Funds.

II. Context

Local actors including local authorities and civil society organizations (CSOs), especially marginalized ones, often lack technical capacity to plan and manage projects. Although local actors know their needs and opportunities best, they require substantial assistance to prepare project proposals to apply to ESI Funds and to implement the projects once approved. Providing training is often not enough to enable communities to plan and implement projects on their own. The required level and mix of skills and knowledge usually cannot be fully developed within the time frame of ESI Funds, nor can be housed or maintained by local actors with their limited financial resources. Therefore, by systematically and widely providing technical assistance to local actors, national-level authorities can expect to: (1) increase the number of projects, especially in marginalized communities; (2) enhance the quality of projects; and (3) facilitate their timely implementation in compliance with relevant regulations.

²⁴ This note draws on World Bank experience with CDD projects. Binswanger-Mkhize, Hans P., Jacomina P. de Regt, and Stephen Spector, eds. 2010. "Local and Community Driven Development: Moving to Scale in Theory and Practice." World Bank. <https://openknowledge.worldbank.org/bitstream/handle/10986/2418/533000PUB0comm1B1Official0Use0Only1.pdf?sequence=1>.

III. Applicability

The types of assistance presented in this note could be provided to communities in various forms, depending on the context in the member state. One option is to incorporate technical assistance (or establish a technical assistance body) as part of an OP, using ESI Fund resources (for example, as part of the budget allocated for the OP's technical assistance). For example, a pool of experts with commonly required skills and expertise could be organized at the national or regional level, from which experts can be deployed to communities as needed. Alternatively, existing (organizations of) experts could be mobilized (funded either by the state budget or ESI Funds) to assist local actors in accessing monies. In addition to local authorities, support and training could be provided to other stakeholders involved in the development and implementation of projects, including CSOs and target beneficiaries (for example, users associations).

If a project is going to be implemented through community-led local development (CLLD), it is highly recommended that the support be given not only to the local action groups (LAGs) that formulate local development strategies (usually at a municipality level), but at a more local level to assist local actors in the preparation and implementation of projects that realize the strategies.

IV. Types of Assistance

A variety of assistance is required at different junctures of the project cycle. Assistance may be provided to local actors in the following areas at relevant stages of the project cycle:

PROJECT STAGE	VARIANTS/ACTIVITIES
1. Need identification and prioritization	(a) Sensitization—community outreach, advocacy, and awareness-raising.
	(b) Local initiative identification—targeting disadvantaged areas, selecting top priority needs by participatory methods.
	(c) Community mobilization—organization and capacity enhancement of LAGs and community contributions, if applicable.
2. Planning and application	(a) Preparing investment plans—technical project documents and project proposals such as feasibility studies or technical designs, environmental standards, as well as implementation monitoring and sustainability plans.
	(b) Pricing out the prepared investment plans, including recurrent O&M costs to the community—comparing technical and costing feasibility of alternatives.
	(c) Support in applying for public funding, including ESI Funds—preparing applications, facilitating partnerships between communities, financial institutions, private actors, etc.
3. Implementation	(a) Training in project management aspects—financial literacy (accounting concepts, financial reporting, cash management, budgeting), planning and management, auditing, public consultations, grievance mechanisms, M&E.
	(b) Ongoing technical support—procurement, supervision of technical aspects of projects by experts (architects, engineers, disaster risk management specialists, etc.)
	(c) Funds management assistance
4. M&E	(a) Facilitation of information flows—including collected data on pre-approved indicators and knowledge exchange activities.
	(b) Provision of routine technical audits

V. Examples

The following case studies (also found in the supplemental piece to this handbook, Global Case Studies) illustrate how the technical assistance was provided to local communities:

AZERBAIJAN'S SECOND RURAL INVESTMENT PROJECT (AZRIP-2: Case Study 1)

This project provided support and expertise to communities through two mechanisms: **project assistance teams (PATs)** and **technical design companies (TDCs)**.

PATs provided support throughout the subproject cycle via:

- (1) sensitization;
 - (2) local initiative identification;
 - (3) community mobilization;
 - (4) preparation of investment plans with the help of TDCs;
- and
- (5) implementation stages.

TDCs contributed technical expertise at relevant junctures of the projects.

For example, they assisted with:

- (1) preparing preliminary project designs, including feasibility studies;
 - (2) pricing out these plans;
- and
- (3) providing routine technical audits and implementation support to communities.

POLAND'S POST-ACCESSION RURAL SUPPORT PROJECT (PARSP: Case Study 14)

The social inclusion component of this project provided for the recruitment of 27 regional consultants. The consultants provided technical assistance and new ideas, and compiled reports to monitor the progress of the component. They were embedded in the local government offices they were assisting, but also acted as liaisons between the local authorities, regional social policy personnel, and project implementation units. The project impact evaluation found that their contribution acted as an outside spark that helped energize the existing actors.

Practice and Advisory Note to Help Local Actors Identify Disadvantaged Areas²⁵

I. Purpose

This note presents examples of methods through which national-level authorities and intermediate bodies can support local actors in identifying disadvantaged areas or neighborhoods within their communities. By identifying the specific areas that particularly require improvements in living conditions, the national-level authorities and intermediate bodies can proactively guide local actors in preparing projects for disadvantaged areas.

II. Context

Residents' living conditions often vary significantly within a municipality or a locality, and projects need to target areas that are most disadvantaged and in need of interventions; often times, projects end up only benefitting more organized and influential areas of a locality that are not necessarily in most need of a project. It is good practice to identify disadvantaged groups and areas and proactively reach out to them. Moreover, there are many disadvantaged Roma settlements in relatively wealthy regions and municipalities—there are pockets of poverty that can be overlooked. They often consist of socially isolated, poor areas within cities and towns that are not always well reflected in average poverty statistics at the local or county level. They frequently have segregated schools that only poor children attend, and poor families live in impoverished blocks of flats or slums marked by fear and petty crime. This note aims to help locate those areas.

III. Applicability

National-level authorities or intermediate bodies would likely have the adequate capacity and resources to implement the good practices presented in this note. They should, however, consult local actors to verify the results of analysis. It is important to keep in mind that the census-based method will never be perfect. When identifying disadvantaged areas, it is important that additional information be collected from key informants

at the local level and via on the ground verification. The national-level authorities and intermediate bodies could use the analysis results to (1) reach out to localities with disadvantaged communities to promote preparation of projects to be supported; and (2) at the project selection stage, check whether project plans proposed by local actors target or include disadvantaged communities. It is not recommended to use the results of analysis for budget allocation purposes. In other words, the distribution of funds, including ESI Funds, should not be determined solely on the basis of these analyses' findings, as they might not fully illustrate some aspects of disadvantages

IV. Good Practice

1. DEFINE DISADVANTAGED AREAS WITH A COMMON SET OF CRITERIA

There are different types of disadvantaged settlements. Some areas might be disadvantaged in terms of housing conditions, while others might be disadvantaged in terms of access to employment or social services (for example, access to education or health). Criteria can be established to define and classify these different types of disadvantages, and available sublocality level data, such as that of census, can be used to identify disadvantaged neighborhoods. For example, data related to employment rates can be used to identify areas disadvantaged in employment, while a combination of data related to school enrollment and completion rates, as well as health status, can be used to identify areas disadvantaged in social services or human capital. When an area is facing multiple disadvantages (for example, in three or more areas), the area can be defined as marginalized. To locate pockets of disadvantaged areas at the sublocality level, data analysis needs to be conducted at the lowest spatial level. In many member states, the most recent population and housing census enables such an analysis—that is, at the level of small geographical units. The lowest spatial level in the census is the census sector, or enumeration area. It typically covers around 200 households.

The below box summarizes how disadvantaged settlements were identified and classified by a pilot exercise in Romania.²⁶

SAMPLE TYPOLOGY OF DISADVANTAGED SETTLEMENTS IN ROMANIA

Based on literature review and assessment of available data, it was deemed that practical and measurable criteria for defining different types of disadvantaged or marginalized urban areas in Romania were: (1) **human capital** (referring to education, health, and family size); (2) **employment**, and (3) **housing quality**.

The three criteria were linked to the following seven indicators for which data exist in the 2011 population and housing census.

Sample Indicators

CRITERIA/DIMENSION	KEY INDICATORS
Human capital	Proportion of population between 15 and 64 years old that completed only 8 grades of school or less
	Proportion of persons with disabilities, chronic diseases, or other health conditions that make their daily activities difficult.
	Proportion of children (0–17 years old) in total population

²⁴This note draws on World Bank. 2014. "The Atlas of Urban Marginalized Areas in Romania." World Bank, Washington, DC.

²⁶World Bank. 2014. "The Atlas of Urban Marginalized Areas in Romania." World Bank, Washington, DC. Criteria and typology may not exactly apply to other countries.

Employment	Proportion of persons aged 15–64 years in neither formal employment or school
Housing	Proportion of dwellings not connected to electricity
	Proportion of overcrowded dwellings (<15.33 square meters per person)
	Insecure tenure: proportion of households that do not own the dwelling

Source: NIS, Population and Housing Census 2011.

By measuring the above indicators at the level of census sectors, sublocality areas were classified using the typology shown in the table below; three types of areas each face one main disadvantage, while one type of area is disadvantaged in all three areas, which is referred to as “marginalized areas.” Common definitions and characteristics of these disadvantaged areas are summarized after the table.

Sample Typology of Disadvantaged Areas in Romania

	CRITERIA		
	Low HUMAN CAPITAL	Low formal EMPLOYMENT	Poor HOUSING
1. Areas of disadvantaged in housing	Varies	NO	YES
2. Areas of disadvantaged in employment	NO	YES	Varies
3. Areas of disadvantaged in human capital	YES	Varies	NO
4. Marginalized areas	YES	YES	YES
5. Non-disadvantaged areas	NO	NO	NO

Note: While in theory more combinations of the criteria would be possible, the literature and the qualitative field work concluded that only some of these theoretical combinations are typically found in urban Romania.

Type 1. Areas disadvantaged in housing (first row in the table).

The first type of disadvantaged urban area concerns neighborhoods where a significant part of residents suffer from inadequate housing²⁷, even if many of them have some form of formal employment. The level of education of inhabitants varies. These include parts of towns that are poorly endowed with housing infrastructure, and includes old neighborhoods of houses situated at the town/city periphery, with poor provision of utility services and without modern roads.

Type 2. An area disadvantaged in employment (second row in the table).

Is by definition a census sector with a relatively high concentration of residents that do not have a human capital deficit but do not find work in the formal sector, irrespective of their housing conditions (the quality of housing varies and does not define the area). In the case of Romania, this refers to areas that had a high concentration of large and medium scale industries during the Communist era.

Type 3. An area disadvantaged in human capital (third row in the table).

Include people with low levels of formal education with varying levels of employment, but who have fair housing conditions typical for the urban areas of Romania. These are areas inhabited by people who tend to be unskilled and are employed in agriculture, construction, or other—often informal—activities. The level of formal employment in these areas is usually low, but unlike the areas disadvantaged in employment (above), this is caused by the human capital deficit.

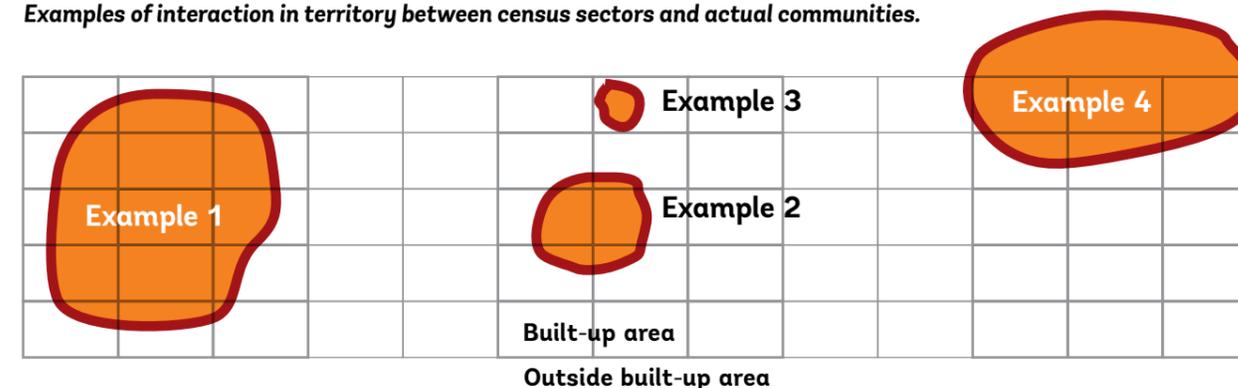
Type 4. Urban marginalized areas (fourth row in the table).

Are the severely deprived areas that accumulate low human capital with low formal employment and inadequate housing.

²⁷ According to the Office of the High Commissioner for Human Rights. 1991. GENERAL COMMENT 4: The right to adequate housing. (Art. 11 (1) of the Covenant) (Sixth session).

It is important to note that sublocality data needs to be interpreted with caution, since marginalized communities are not always entirely concentrated in one census sector, and community characteristics thus cannot always be analyzed at the census sector level. The figures below show a few typical examples of this situation. This includes Example 1, in which a large community covers several census sectors. Example 2 depicts a situation in which a community covers parts of two or more census sectors. Example 3 shows a situation in which a small community sits inside a census sector. Example 4 shows a community that is located at the city boundaries, partly within the city’s built-up territory and partly outside it (these could, for instance, include improvised shelters situated near garbage dump sites). The census data might not be well suited to identify the situation in this last example. Residents in such areas might not have been well covered in the census, and those who were covered are likely to be allocated to a range of existing census sectors in the proximity. Hence, it is not possible to identify or reconstitute such a community using the data aggregated at the census sector level.

Examples of interaction in territory between census sectors and actual communities.

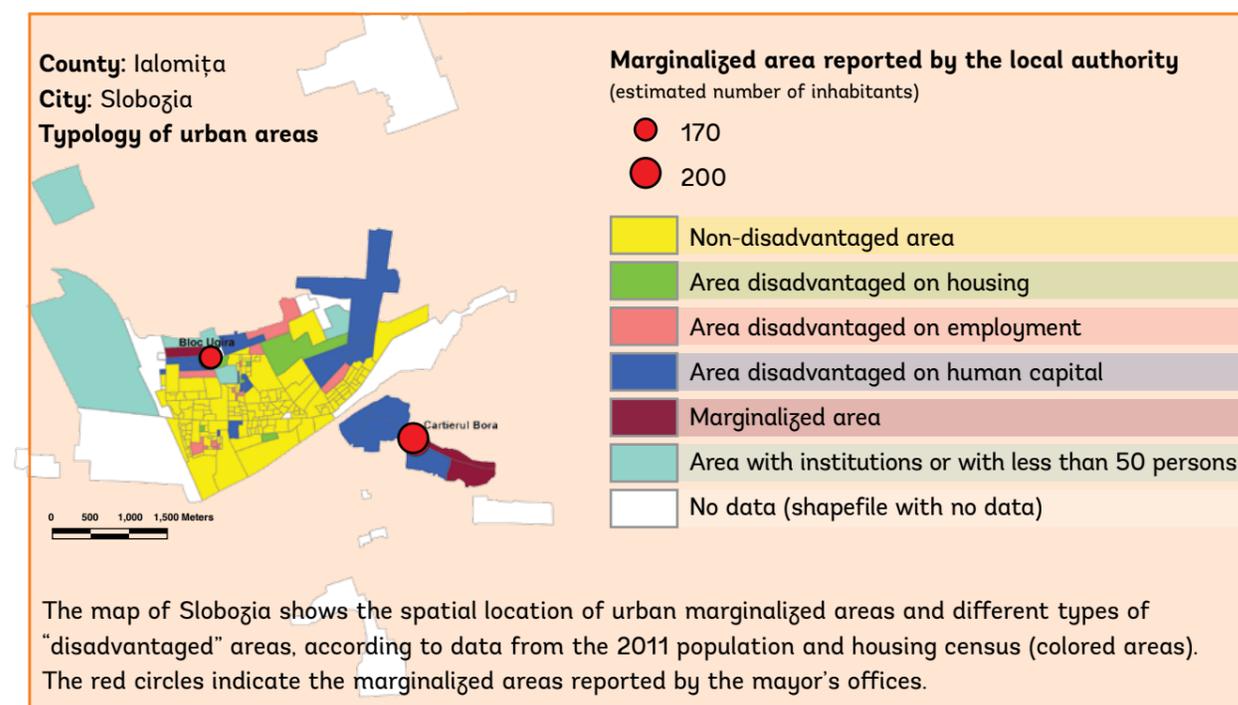


Note: Cells illustrate built-up territory divided in enumeration areas, while shapes show actual communities.

2. CREATE POVERTY MAPS OF DISADVANTAGED AREAS

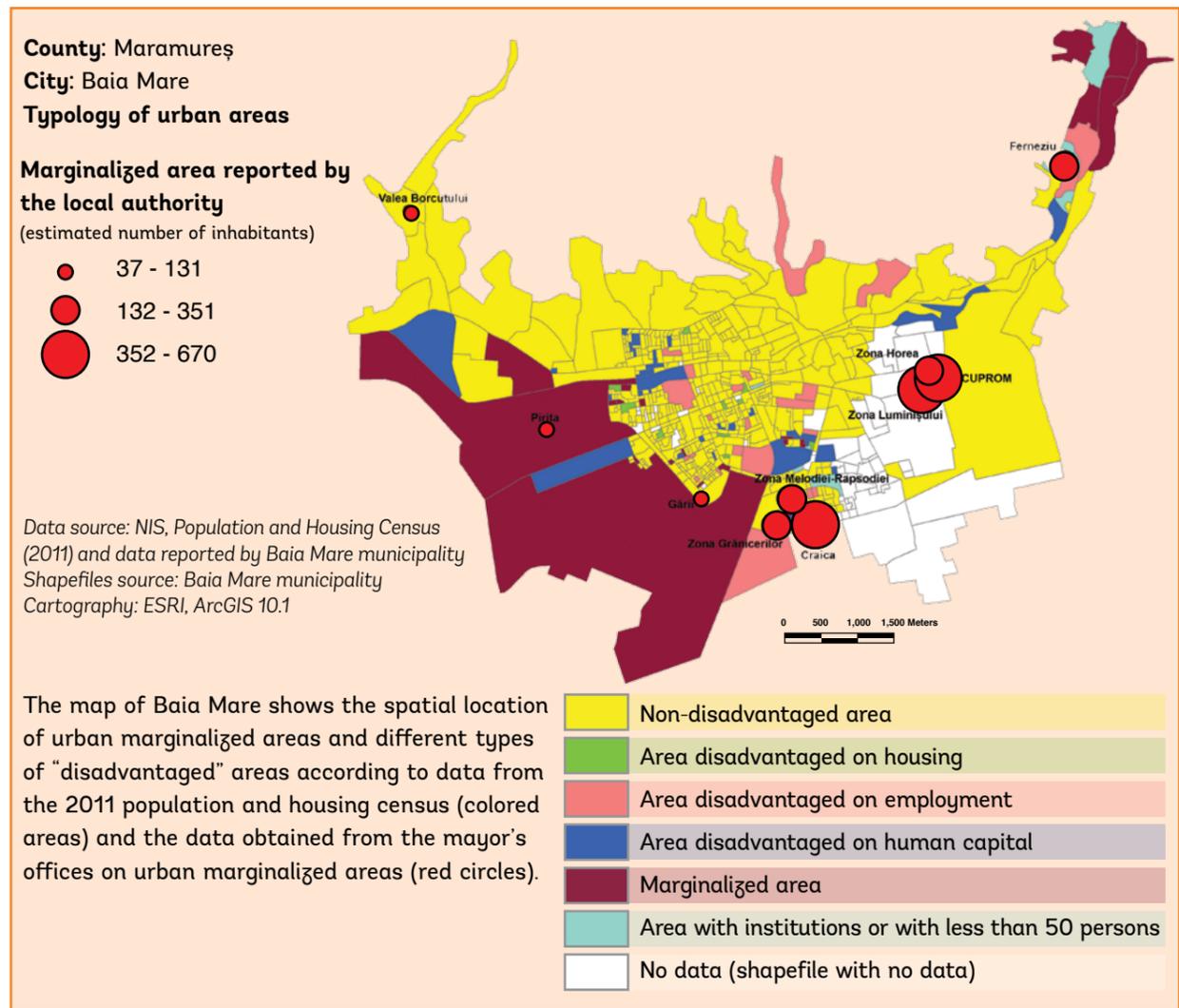
Once the data is processed and verified locally, the disadvantaged areas can be drawn on city maps. The two samples presented below illustrate how such maps can be created.

Sample Map 1: Slobozia



The map of Slobozia shows the spatial location of urban marginalized areas and different types of “disadvantaged” areas, according to data from the 2011 population and housing census (colored areas). The red circles indicate the marginalized areas reported by the mayor’s offices.

Sample Map 2: Baia Mare



Similar maps can be used as powerful tools to encourage and guide local actors to prepare projects that target disadvantaged areas. It is recommended that the maps be monitored and consulted regularly, to allow national-level authorities and intermediate bodies to have updated knowledge of disadvantaged neighborhoods. This would also enable the application of the principle of “explicit but not exclusive” targeting of Roma.

V. Additional Resources

World Bank. 2014. “Integrated Intervention Tool: Integration Strategies for Urban Poor Areas and Disadvantaged Communities.” World Bank, Washington, DC.

World Bank. 2014. “The Atlas of Urban Marginalized Areas in Romania.” World Bank, Washington, DC.

Step C Selecting Projects

Possible Project Selection Criteria for Enhancing Project Impacts on Roma Inclusion

I. Purpose

This note aims to assist the national-level authorities and intermediate bodies in setting effective and pragmatic criteria to select and fund projects that will improve Roma living conditions. It will help reflect Roma-related priorities and issues (and Key Guiding Principles for Enhancing the Effectiveness of Programs in Improving Roma Living Conditions of this handbook) in the project selection criteria, while keeping the criteria clear, fair, consistent, and transparent, enabling the selection of projects that are relevant, effective, efficient, and feasible.

II. Context

In order to ensure effective use of funds, including ESI Funds, toward achieving the objectives of programs, priorities and measures, and other key national and sectoral strategies and plans, including the NRIS, projects need to be funded selectively. Project selection criteria therefore play a crucial role in screening projects that merit funding. In particular, criteria can be designed to ensure the following aspects:

RELEVANCE - projects contribute to the implementation of national and sectoral strategies and policies (proposed results of projects contribute to the objectives of strategies and policies);

ADHERENCE - projects adhere to pertinent principles/regulations/standards;

EFFECTIVENESS - projects comprise effective and realistic activities to generate proposed results/achieve proposed objectives (taking into account both positive and negative impacts);

EFFICIENCY - projects use resources efficiently to achieve the proposed results;

SUSTAINABILITY - projects' benefits are sustained beyond their conclusion.

At the same time, selection criteria should not end up rejecting relevant and effective projects; excessively rigid and rigorous criteria can often backfire by shutting out potentially effective projects. Criteria should be kept flexible enough to allow innovation and customized integration of interventions at local levels.

The criteria can be designed to either increase the quality of projects that are directly aimed at improving Roma living conditions, or to enhance the impacts of any projects regarding Roma by mainstreaming Roma-sensitivity.

III. Applicability

The following tables provide examples of project selection criteria to be applied to calls for proposals (CfPs). These criteria can be used either for the CfPs that are focused on disadvantaged Roma communities or to those that do not necessarily or explicitly focus on disadvantaged Roma communities; the criteria can be used to mainstream Roma-sensitivity across CfPs in general. These criteria can be applied to project selection after ineligible projects have already been screened out through administrative conformity checks. The tables could be adapted to the context of each CfP by adding, removing, or customizing criteria.

While some criteria are minimum conditions that need to be met by all projects (or by all projects that focus on disadvantaged Roma communities), others could be applied on a scoring basis: points can be given to a project for each criterion it meets, and the points can be aggregated at the end of the exercise to give an overall score to the project. The overall score can be used as a proxy for the project's quality, and projects can be selected either on a comparative basis (selecting projects with highest scores) or on a qualification basis (selecting all projects that score above a minimum threshold score). Each criterion could have a different weight depending on the priority of the CfP. For each criterion, points can also be given in full or parts (for example, 10 points for fully meeting a criterion and 5 points for partially meeting a criterion).

IV. Sample Selection Criteria

1	PROJECT RELEVANCE
	The project contributes to achieving the specific Roma-focused objectives of the program, priority, and measure (key intervention area) for which the CfP is launched. The project contributes to improving the living conditions of Roma.
1.1	The project contributes to the Roma-focused objectives of the program : (state the objective here—if more than one objective is pertinent to the CfP, add extra rows below) Roma-focused indicator:
1.2	The project contributes to Roma-focused objectives of the measure/key intervention area : (state the objective here—if more than one objective is pertinent to the CfP, add extra rows below) Roma-focused indicator:
1.3	The project contributes to the objective of the NRIS : (state the objective here—if more than one objective is pertinent to the CfP, add extra rows below) Roma-focused indicator:

2 ADHERENCE TO PRINCIPLES, REGULATIONS, AND STANDARDS

The project adheres to pertinent principles, regulations, and standards.

- 2.1 The project does not lead to or is accompanied by increased concentration of marginalized groups, including Roma.
- 2.2 The project does not lead to further physical isolation of marginalized groups (including Roma) in terms of increased distance from other rural or urban communities or new physical barriers.
- 2.3 The project explicitly, but not exclusively, targets disadvantaged Roma.
- 2.4 The project was developed in consultation with both Roma and non-Roma members of the community.

3 PROJECT DESIGN

The project is adequately designed to achieve its proposed objectives, with sensitivity to Roma-specific issues. The project comprises effective, realistic activities and uses resources efficiently to generate proposed results/achieve proposed objectives (taking into account both positive and negative impacts).

- 3.1 The project includes Roma-specific indicators or targets.
- 3.2 The project includes activities that specifically address the challenges faced by Roma (the project has considered or analyzed specific challenges²⁸ faced by Roma, which are reflected in the design of project activities).
- 3.3 The project includes activities to avoid or mitigate its specific adverse impacts on Roma (the project has considered or analyzed its potential adverse impacts on Roma, which are reflected in the design of project activities).
- 3.4 The project involves target beneficiaries (including Roma) in project implementation, in order to increase their ownership of the project.
- 3.5 The project includes (disaggregated) indicators to monitor its specific results/impacts on Roma.

4 IMPACT FEASIBILITY

The outputs of the project are likely to generate the intended impacts on Roma.

- 4.1 The project's target beneficiaries (including Roma) are aware of the project activities, understand their objectives and benefits, and are willing to access/utilize the project's outputs (e.g., infrastructure, social services).
- 4.2 The project's target beneficiaries (including Roma) will have the economic capacity to afford the cost of accessing/utilizing the project's outputs (e.g., infrastructure, social services), including costs of transport, lost time for income generation, and family care.
- 4.3 The project's target beneficiaries (including Roma) are eligible to access/utilize the project's outputs (e.g., basic infrastructure, social services). For example, the target beneficiaries have the civic documents, such as personal identification cards and property rights documentation, required to connect to or access services—if not, the project includes activities to provide these documents.
- 4.4 The project will be implemented by or in partnership with trustworthy organizations that have a track record of successful relationships with the local community (including the Roma).

5 PROJECT SUSTAINABILITY

The project's benefits are sustained beyond its conclusion.

- 5.1 The applicant ensures that the target beneficiaries (including Roma) have ownership of the project, through their involvement in its development, implementation, and monitoring.

6 SOCIAL IMPACT

- 6.1 The project targets poor and marginalized segments of the municipality or community, and ensures that the poorest and most vulnerable people are not excluded from its benefits (the project does not widen the inequality in the municipality or community).
- 6.2 The applicant applies a nondiscrimination policy to the project, and there are mechanisms for ensuring equality of opportunity within public procurement contracts. (The applicant identifies aspects/risks related to discrimination in the context of the project and has specific mechanisms to address these potential issues.)
- 6.3 The project contributes to the social integration of marginalized and excluded groups of the municipality or community through activities that require interactions and cooperation between mainstream (e.g., non-Roma) and minority (e.g., Roma) groups. (The project has activities designed to empower marginalized groups to engage in civic activities, or foster mutual understanding, trust, and acceptance of diversity among community members.)
- 6.4 The project does not generate involuntary resettlement of people, including Roma. If resettlement is unavoidable, the project includes measures to mitigate its negative impacts on affected people and ensures that the affected people improve, or at least restore, their living conditions.
- 6.5 The project has a public feedback mechanism (or a grievance redress mechanism—GRM), which enables stakeholders (including Roma) to file complaints, concerns, and questions about the project, and lays out clear procedures for handling them.

V. Additional Resources

World Bank. 2014. "Identification of Project Selection Models for the Regional Operational Program, 2014–2020." World Bank, Washington, DC.

²⁸ For example, fear of being mistreated by service providers, associated exposure to humiliation, and other concerns about safety, dignity, or reputation might discourage Roma from accessing services and benefitting from the project.

Discussion Note on Addressing Spatial Segregation of Roma

KEY MESSAGES

- ▶ Desegregation and nonsegregation are different
- ▶ Programs should be open to funding desegregation projects as well as nonsegregation projects in segregated neighborhoods
- ▶ Projects should avoid generating increased concentration or further physical isolation of deprived Roma communities
- ▶ Effective and sustainable spatial desegregation of Roma requires more than just physically moving people (Roma or non-Roma) to form mixed, integrated neighborhoods

I. Purpose of the Note

In order to facilitate the selection of effective Roma inclusion interventions by the national-level authorities of project-funding programs, this note aims to discuss the following:

- (1) the difference between desegregation and nonsegregation
- (2) key elements and aspects of effective and sustainable spatial desegregation measures
- (3) nonsegregation interventions that can indirectly contribute to desegregation of Roma in the long run

This note focuses on spatial or residential segregation of Roma, in which Roma and non-Roma are physically separated in different neighborhoods. It is different from segregation in service provision, such as in classrooms and health care, which is not the subject of this note. While spatial segregation could often be a key source of segregation in service provision, it is not always the cause of service segregation, and desegregation in service provision (for example, school desegregation) may not necessarily require residential desegregation. Avoidable service segregation should not be justified or continued on the basis of spatial desegregation.

II. Context

Spatial segregation is a key self-perpetuating feature of Roma marginalization in many communities

Spatial or residential segregation often perpetuates marginalization by creating disadvantages, such as inferior access to basic infrastructure, social services, and economic opportunities. Often, segregated neighborhoods continue to expand, as new generations of young adults stay in the community and form new families, which grow. Many cannot find opportunities to take part in broader social and economic life outside the segregated neighborhoods, and segregation is passed on from one generation to the next. Some projects aimed at improving Roma living conditions can also lead to further segregation. For example, projects that resettle Roma families from an informal settlement in precarious conditions, to an area with a new social housing complex built to accommodate Roma families only, could improve their housing but result in further concentration and physical isolation from the rest of society. Such projects usually hurt Roma families in the long run, and even the benefits from the housing conditions cannot be sustained if the segregation hampers the family's ability and opportunity to take part in broader economic and social activity.

The ERDF regulation for the 2007–2013 programming cycle²⁹ prohibited interventions that led to increased concentration or further physical isolation of marginalized groups

While this concept is not explicitly stated in the ERDF provision for the 2014–2020 programming cycle³⁰, it is still good practice for the interventions to adhere to the principle of nonsegregation, and programs should not fund interventions that lead to or perpetuate segregation. At the same time, nonsegregation and desegregation are different, and there are many nonsegregation interventions that do not directly involve spatial desegregation of Roma yet still have positive impacts on their living conditions. There are interventions that can increase the ability or opportunity of disadvantaged Roma to integrate with broader society in the long run, without physically desegregating them immediately. In other words, programs should be open to funding both desegregation and nonsegregation projects in segregated neighborhoods.

In this context, this note aims to (1) clarify the difference between nonsegregation and desegregation; (2) explain the elements and aspects of effective desegregation interventions; and (3) present how projects can still have positive and sustainable impacts on Roma living conditions without involving immediate physical desegregation actions.

III. Discussion

1. DIFFERENCE BETWEEN DESEGREGATION AND NONSEGREGATION

DESEGREGATION means to undo segregation. It is an action or process that ends the existing separation of two groups (for example, Roma and non-Roma). For example, if disadvantaged Roma are confined to live in an isolated neighborhood with limited interaction or communication with non-Roma, desegregation could mean making the Roma live among non-Roma neighbors or making Roma children study in the same school with non-Roma children. The former involves spatial desegregation while the latter involves desegregation of service provision. Spatial desegregation can take place at the neighborhood and household levels. The former aims to desegregate the entire neighborhood, while the latter aims to help families move into integrated neighborhoods on a household basis. The latter approach counters the growth of segregated neighborhoods.

²⁹Regulation (EU) No. 437/2010 of the European Parliament and of the Council of 19 May 2010, amending Regulation (EC) No. 1080/2006 (Article 7) on the European Regional Development Fund as regards the eligibility of housing interventions in favour of marginalized communities.

³⁰For the 2014–2020 programming period, the ERDF regulation states as a goal "(9) promoting social inclusion, combating poverty and any discrimination, by (a) investing in health and social infrastructure which contributes to national, regional and local development, reducing inequalities in terms of health status, promoting social inclusion through improved access to social, cultural and recreational services and the transition from institutional to community-based services; (b) providing support for physical, economic and social regeneration of deprived communities in urban and rural areas [...]" Regulation (EU) No. 1301/2013 of the European Parliament and of the Council of 17 December 2013 on the European Regional Development Fund and on specific provisions concerning the investment for growth and jobs goal and repealing regulation (EC) No. 1080/2006.

NONSEGREGATION means to avoid creation of new segregation or reinforcement of existing segregation.

It is an approach to implementing an intervention without leading to increased concentration or further physical isolation of Roma. For example, basic services such as garbage collection can be extended to a segregated neighborhood on a nonsegregation basis (without increasing the concentration of Roma or physically isolating them further).

Programs must be open to funding both desegregation and nonsegregation projects

Interventions intended to improve the living conditions of disadvantaged Roma could be designed on a nonsegregation basis to avoid further segregation; yet pursuing spatial desegregation would require a different set of interventions. For example, a basic community service—such as garbage collection—can be extended to a spatially segregated neighborhood on a nonsegregation basis, but does not involve spatial desegregation. For this reason, programs should be open to funding both desegregation projects directly aimed at undoing segregation, as well as nonsegregation projects aimed at improving the living conditions in segregated neighborhoods. In this context, it is important to note that social housing interventions (as opposed to interventions that improve existing houses or basic services) in segregated areas, especially those that involve the construction of additional (social) housing blocks, could reinforce or enlarge segregation (therefore neither desegregating or nonsegregating), if not accompanied by countermeasures. It will therefore be important for these interventions to be accompanied by counter segregation measures. For example, further enlargement of the segregated population could be mitigated by simultaneously helping some families from the neighborhood move into nonsegregated areas, instead of adding social housing to accommodate them all in the segregated area. In addition, interventions (such as mentoring services by community social workers, employment services, and mediation services) that do not directly address spatial desegregation could still contribute to spatial desegregation in the long run by creating enabling conditions for disadvantaged Roma to integrate into mainstream society on their own in the future.

2. KEY ELEMENTS AND ASPECTS OF DESEGREGATION MEASURES

Desegregation is not an end goal, but a means to remove barriers to accessing services, markets, and spaces by a marginalized group, thereby enhancing its members' ability and opportunity to take part in society. Effective and sustainable desegregation of Roma requires more than just physically moving people (Roma or non-Roma) to form mixed, integrated neighborhoods. Spatial segregation of Roma could be perpetuated or repeated, if the mechanisms that cause segregation are not addressed.

Measures for spatial desegregation involve actions in short, mid, and long terms.³¹ If a segregated Roma community or the surrounding non-Roma society is not prepared and assisted to live next to each other, they will likely have difficulty adapting to the change, which could negatively impact communities and fail to achieve desegregation's intended objectives. For example, relocation could disrupt Roma livelihoods by impeding their access to existing social networks and sources of income. While good practices for implementing resettlement are discussed in Good Practice Note 2: Planning Resettlement, in Module 3, the following list presents key elements and aspects that need to be considered when undertaking desegregation projects. Incorporating these elements requires an integrated approach that combines both hard and soft actions across different sectors over the course of interventions. Some may require a long and expensive process. The Moving to Opportunity for Fair Housing case study from the U.S. offers empirical evidence on the limitations of resettlement-only desegregation. For an example of a comprehensive desegregation intervention, refer to **Project Brief 32**, Spain.

(a) **Awareness raising and consultation** - it is important for both Roma and non-Roma stakeholders who will be involved in the desegregation process to be informed about it before it begins. Knowing the objectives, processes, and expected impacts of desegregation will increase their understanding of and support for the intervention. Ignorance often generates concerns, uncertainty, and suspicion, which can fuel resistance to the process. Desegregation will not succeed if stakeholders do not understand its benefits, are disinterested in it, and fail to

support it. Awareness raising and consultation are thus essential to keep stakeholders informed, provide feedback, contribute, and have ownership of the process. In addition, Roma families have different preferences regarding where and how they want to be resettled. While many Roma families prefer to live in mixed neighborhoods, there are also families that do not feel comfortable or ready to live next to non-Roma neighbors in the immediate future, partially out of fear of being mistreated by the latter. They usually prefer to integrate voluntarily at a pace at which they feel comfortable (such as was the case in **Project Brief 23**, Italy). More detailed information and good practices on stakeholder consultation are discussed in Module 3 in Good Practice Note 1: Engaging Local Communities.

- (b) **Preserving supportive social networks** - a resettled Roma family risks losing the positive social ties to other Roma families it enjoyed in its old neighborhood. Social networks often serve as a safety net in difficult times through mutual help and support. Many Roma families work with and mutually support extended families and friends; losing access to these relationships could increase their vulnerability to shocks such as loss of income or health problems. Therefore, it is important for desegregation measures to avoid disrupting such networks. Often times, enabling better access to mainstream social support services can at least partially replace such networks' roles, but interventions should still include actions to create and restore positive social ties in the new community. Interventions should also consider the possibility that tensions might exist between various Roma groups; simply creating a blended community of different Roma and non-Roma residents might not work.
- (c) **Enhancing cultural competency and combatting discrimination** - decades of segregation may have hindered interaction and communication between Roma and non-Roma, making mutual understanding between the groups difficult. Different customs, perceptions, and circumstances may lead each group to behave differently, which could make it difficult for the other group to understand or accept. Such differences could lead to misunderstandings, mistrust, and mutual disapproval, fueling tensions and conflicts between different groups. These perceptions and attitudes could also result in discrimination. It is important to increase both groups' capacity to understand and respect their differences through interaction, training, and awareness activities. In addition, when a Roma or a non-Roma is moved to a new neighborhood, they need to be familiarized with the new community's rules and accepted codes of conduct. Activities that facilitate and promote interaction or cooperation between Roma and non-Roma can also play an instrumental role in fostering mutual understanding and respect between the two groups. Increasing the general appreciation for Roma cultures can also boost their self-esteem and empower them to take a more affirmative and active role in social and economic life.
- (d) **Mediating conflicts and communication gaps** - a mediation service should be provided to help resolve or ease conflicts or tensions that arise from groups' differences in customs, codes of conduct, perceptions, and values (for example, between Roma and non-Roma, and between different Roma groups). Mediators and social workers can also serve as a bridge between disadvantaged Roma and public officials or service providers; they can improve their communication and enhance both the quality and uptake of social services. Roma health mediators are a good example throughout the region.³²
- (e) **Restoring or improving income-generation activities** - if desegregation requires resettling Roma from a segregated neighborhood to a nonsegregated one, Roma families would be required to find new sources of income. Often, housing and other living costs are higher in nonsegregated neighborhoods, and Roma will need to earn more than they did in their old neighborhood, where they likely relied on readily available resources in the neighborhood such as cultivable land, water (from a river or lake), the forest, or in extreme cases, landfills—none of these may be available in the new neighborhood. Moreover, the types of skills and knowledge they used to make a living in the segregated neighborhood might not be suited to the types of livelihood and income-generation opportunities in the new neighborhood. Assistance would be therefore required to help resettled Roma gain adequate skills to adapt to new livelihood options and employment opportunities. It could include vocational training, noncognitive skills employment training, and job search assistance (for an example of resettlement with income-restoration activities, refer to **Case Study 16**, Brazil).

³¹See Kocze, Angela, Adam Kullmann, Agota Scharle, Orsolya Szendrey, Nora Teller, and Viola Zentai. 2014. "Programming the Structural Funds for Roma Inclusion in 2014–20: Making the Most of EU Funds for Roma (MtM) program." Open Society Foundations, Budapest, Hungary. <http://www.opensocietyfoundations.org/sites/default/files/programming-structural-funds-roma-inclusion-20140422.pdf>. Also see the intranet of the EC

³²More information about their success can be found in Schaaf, Marta. 2011. "Roma Health Mediators: Successes and Challenges." the Open Society Foundations, New York. <http://www.opensocietyfoundations.org/sites/default/files/roma-health-mediators-20111022.pdf>

- (f) **Improving connectivity** - while spatial desegregation is generally associated with resettling segregated people into mixed neighborhoods, depending on the context of the community, segregation may be addressed by enhancing the segregated neighborhood's connectivity to a broader community (improving public transportation and roads, removing physical barriers), increasing access to basic services via neighborhood upgrading (for example, water, sewerage, and electricity) and thereby making the neighborhood an integral part of the wider community. Depending on the context of the community, tailored upgrading of services might be a more efficient and feasible solution to improving the connectivity and living conditions of disadvantaged Roma than resettling them to a different neighborhood.

3. NONSEGREGATION INTERVENTIONS THAT CAN INDIRECTLY CONTRIBUTE TO SPATIAL DESEGREGATION OF ROMA IN THE LONG RUN

Projects that do not include direct or immediate spatial desegregation measures could still contribute to spatial desegregation in the long run by creating enabling conditions

Interventions in the following areas, for example, can contribute to spatial desegregation by increasing Roma's capacity or opportunity to integrate with broader society on their own in the future.

- (a) **HOUSING** - by creating a safe, healthy living environment, more Roma children can grow, develop, learn, and become productive adults, increasing their possibility to find employment, which will lead to further social and economic integration. Due to the scale of the problem, often housing of Roma families has to be improved in segregated neighborhoods.
- (b) **SOCIAL SERVICES** - by improving nutrition, hygiene, health care, education, and other social services, Roma can become healthier, more productive, and better able to participate in broader economic and social life. The coverage and quality of health care, as well as sanitary conditions, can be improved in segregated neighborhoods without spatial desegregation measures, but on a nonsegregation basis. While segregated Roma-only schools tend to have lower endowments (for example, inferior quality of teaching facilities and equipment) and lower quality education compared to integrated schools, and segregated schools are prohibited in many member states, there are interventions—such as those involving Roma school mediators or Roma parents—that can increase the educational achievements of Roma children when desegregation is not possible. School mediators are also important when Roma children are placed in integrated (desegregated) schools to assist both Roma and non-Roma peers and their families; it is worth noting that a major reason why Roma children drop out of school is the mistreatment and humiliation they receive from non-Roma classmates.³³
- (c) **CIVIL DOCUMENTS** - lack of personal identification and residential address often denies a person access to basic infrastructure, social services, and credit. By facilitating the issuance of these key civil documents, Roma's access to key social services and markets could be improved, which would in turn enhance their living conditions, abilities, and opportunities. More detailed information and good practices on formalization of real property rights is discussed in Good Practice Note 4: Formalizing Real Property Rights in Module 3 of this handbook.

³³For an example of school mediators in integrated schools, refer to the following case from Hódmezővásárhely, Hungary: Making the Most of EU Funds (MtM). 2013. "Mayors Making the Most of EU Funds for Roma Inclusion (MERI): A Handbook of Good Practices for Roma Inclusion." Open Society Foundations, Budapest, Hungary. www.logincee.org/file/25991/library.

Step D

Monitoring Project Implementation

Practice and Advisory Note on Monitoring and Evaluation

KEY MESSAGES

- ▶ This note proposes common Roma inclusion indicators across the four critical areas of Roma integration identified by the EU Framework for National Roma Integration Strategies (NRIS): access to education, employment, health care and housing (including basic services).
- ▶ The common Roma inclusion indicators allow aggregation of results at a regional or national level—they are useful to assess the overall portfolio impact on certain objectives/goals.
- ▶ Individual projects can complement the common Roma inclusion indicators with project-specific indicators depending on the project design and local context.
- ▶ National-level authorities can fund and organize rigorous impact evaluations for certain innovative or pilot projects. Findings of impact evaluations can help shape future projects and policies.

I. Purpose

This note provides guidance to national-level authorities and intermediate bodies on monitoring how effectively programs improve Roma living conditions. It aims to help authorities track how projects funded by the programs contribute to the global objectives of Roma inclusion. It is intended to help measure programs' contribution to Roma inclusion at the national or regional level, aggregating the results of both projects that explicitly focus on disadvantaged Roma and those that do not.

More specifically, the note proposes a potential set of common Roma inclusion indicators to track the Roma-related results attributable to programs, in the framework of the policy measures included in the Council Recommendation on Effective Integration Measures in the Member States.³⁴ The note also provides guidance

for conducting impact evaluations of selected projects, which can inform the formulation of and improvements to future policies and programs.

II. Applicability

The proposed inclusion indicators can be introduced by national-level authorities in the calls for proposals (CfPs) and applied to projects that are funded under the calls. Depending on the type of core indicator and the context of the CfP, a common indicator may either be applied to projects that have a Roma-specific focus or universally to any project, including those without a Roma-specific focus. In practice, the use of common Roma indicators could be made mandatory when an indicator is relevant to a project's design (when a project is not intended or expected to affect an indicator, for example, it is not necessary to track that indicator for the project). For this purpose, national-level authorities and intermediate bodies can identify the relevant common indicators to the project and require project implementers to report on these. For example, a project aimed at increasing the quality of education to disadvantaged Roma students should include common Roma indicators linked to this objective. It is also important to make sure that specific budget is dedicated under the project to cover the required M&E activities.

The application of these indicators will not only help national-level authorities aggregate program-level results on Roma living conditions, but also help identify and share project information with other authorities and between local-level project implementers.

III. Common Roma Inclusion Indicators

The following table presents a proposed set of common Roma inclusion indicators that can be used to monitor how well programs are achieving Roma inclusion in the four crucial areas of Roma integration identified by the NRIS: access to (1) education, (2) employment, (3) health care, and (4) housing (including basic services). The common indicators are also aligned to the objectives and key measures included in the Council Recommendation on Effective Integration Measures in the Member States. In addition to the indicators for the four critical areas, general Roma-sensitive indicators are also included. It is important to note that many of these indicators only measure output level results, as opposed to outcome level results, since they are intended to aggregate and measure results that are attributable to projects.

In most cases, project implementers would need to collect data on these indicators at the outset of their projects to establish a baseline against which achievements can be measured. National-level authorities can adapt these indicators to national definitions, standards, and sector-specific performance instruments. For instance, some countries have established specific learning assessment tests that can be used to track a project's achievement in improving educational outcomes.

In addition to the common Roma inclusion indicators, projects may introduce custom indicators to track a project's specific contribution to the improvement of Roma living conditions. In doing this, it is still important to clarify the indicator's link to higher level (global) Roma inclusion objectives. In principle, the M&E framework should include indicators on outputs, outcomes, and impacts (results). For example, it should be able to measure how the skills or health status of disadvantaged Roma are increased (results), not just how many schools or clinics are built (outputs). Good indicators also follow the SMART principles: they should be specific, measurable,

³⁴Council recommendation on effective Roma integration measures in the member states, adopted by the EMPLOYMENT, SOCIAL POLICY, HEALTH and CONSUMER AFFAIRS Council meeting at Brussels, on 9 and 10 December 2013.

attributable, relevant/realistic, and time-bound. It is important that the data needed to monitor all indicators is readily available at realistic costs, and sufficient funds are allocated to periodically compile and process them. Detailed guidance for local project implementers on designing the project-level M&E framework is provided in Good Practice Note 3: Participatory Monitoring and Evaluation in Module 3 of this handbook.

In both cases, monitoring Roma integration interventions “should be done while fully respecting the principle of subsidiarity and the Member States’ primary responsibility in this area, taking into account the fact that data collection on ethnic grounds can be a sensitive issue and acknowledging that Member States should choose their own monitoring methods, including appropriate methods for any data collection, and possible indicator” as stated in the Council recommendation.

It is important to verify results on the ground, since some project activities require closer attention beyond results indicators to ensure completion of intended results. For example, even when indicators suggest that the intended outputs, such as the proposed length of roads or sewage systems has been generated, these might not be connected to the part of the neighborhood where disadvantaged Roma reside. Given the existence of discriminatory practices against Roma, which in many cases are subtle and not necessarily illegal, sufficient resources need to be incorporated in the OP to enable verification of results on the ground. For more guidance on monitoring project implementation beyond tracking results indicators, please refer to Practice and Advisory Note for Monitoring Project Aspects that Cannot be Measured by Results Indicators in this handbook.

Objective/Recommended Measures (Council Recommendations)	Proposed Common Roma Inclusion Indicators
EDUCATION	
Eliminate school segregation.	Increase in the number of Roma students in project areas enrolled in integrated schools (as a result of project interventions).
Put an end to inappropriate placement of Roma students in special needs schools.	Reduction in the % of Roma children in project areas attending special needs schools (as a result of project interventions). [At the aggregate level, the reduction in average % can be monitored, since the reduction in cumulative % will be difficult to monitor.]
Reduce early school leaving throughout all levels of education, including at secondary level and vocational training.	Reduction in the % of Roma children who drop out of preschool/primary/secondary/vocational school in project areas (as a result of project interventions). [At the aggregate level, the reduction in average % can be monitored, since the reduction in cumulative % will be difficult to monitor.]
Encourage Roma participation in and completion of secondary and tertiary education.	Increase in the Roma secondary, vocational completion rate (%) in project areas (as a result of project interventions). [At the aggregate level, the increase in average % can be monitored, since the increase in cumulative % will be difficult to monitor.]
Increase the access to, and quality of, early childhood education and care, including targeted support, as necessary.	Increase in the number of Roma children in project areas attending preschool (as a result of project interventions). Number of additional classrooms built or rehabilitated at the preschool level resulting from project interventions (serving Roma neighborhoods).
Consider the needs of individual pupils and address those accordingly, in close cooperation with their families.	Number of Roma children/families receiving additional education support (as a result of project interventions).

Objective/Recommended Measures (Council Recommendations)	Proposed Common Roma Inclusion Indicators
EDUCATION	
Use inclusive and tailor-made teaching and learning methods, including learning support for struggling learners and measures to fight illiteracy, and promoting the availability and use of extracurricular activities.	Number of Roma children/families receiving education support (as a result of project interventions). Increase in the average scores in the standardized education achievement tests in project area (to be adapted by member states).
Encourage greater parental involvement and improve teacher training, where relevant.	Increase in the number of Roma parents involved in school activities in project area (as a result of project interventions) Number of teachers that have completed additional training (for effectively teaching disadvantaged children) in the project area (as a result of project interventions). Number of teachers who received cultural competency training (as a result of project interventions).
Widen access to second chance education and adult learning, and provide support for the transition between educational levels and support for the acquisition of skills that are adapted to the needs of the labor market.	Number of Roma adults receiving vocational training (as a result of project interventions).
EMPLOYMENT	
Support first work experience, vocational training, on-the-job training, lifelong learning, and skills development.	Number of adult Roma who have received training or support for first work experience (as a result of project interventions). Number of adult Roma who have obtained a certificate or license (as a result of project interventions).
Support self-employment and entrepreneurship.	Number of Roma who received technical support for self-employment or entrepreneurship (as a result of project interventions). Number of adult Roma who have access to credit (as a result of project intervention). Number of new businesses created by Roma (as a result of project interventions).
Provide equal access to mainstream public employment services, alongside services to support individual job seekers, focusing on personalized guidance and individual action planning and, where appropriate, promoting employment opportunities within the civil service.	Number of Roma receiving services from public employment offices (as a result of project interventions). Number of Roma employed in the public sector (as a result of project interventions).
Eliminate barriers, including discrimination, to entering or reentering the labor market.	Reduction in the % of Roma who claim to have been discriminated in the labor market in project area. [At the aggregate level, the reduction in average % can be monitored, since the reduction in cumulative % will be difficult to monitor.]

Objective/Recommended Measures (Council Recommendations)	Proposed Common Roma Inclusion Indicators
HEALTH	
Remove barriers to make the health care system accessible to the general population.	<p>Number of health personnel (serving in Roma communities) receiving cultural competency training (as a result of project interventions).</p> <p>Number of Roma supported by health mediators (as a result of project interventions).</p> <p>Number of health facilities constructed, renovated, and/or equipped in Roma neighborhoods (as a result of project interventions).</p> <p>Number of Roma who obtained social security insurance documentation that enables them to access health services (as a result of project interventions).</p>
Improve access to medical checkups, prenatal and postnatal care and family planning, as well as sexual and reproductive health care, generally provided by national health care services.	<p>Increase in the number of Roma with access to a basic package of health, nutrition, or reproductive health services in project area (as a result of project interventions).</p> <p>Number (or increase in %) of pregnant Roma women in project area receiving prenatal care (as a result of project interventions).</p> <p>Number (or increase in %) of Roma births (deliveries) attended by skilled health personnel (as a result of project interventions).</p> <p>Number of pregnant/lactating (Roma) women, adolescent girls, and/or children under age five reached by basic nutrition services (as a result of project interventions).</p> <p>[At the aggregate level, the increase in average % can be monitored, since the increase in cumulative % will be difficult to monitor.]</p>
Improve access to free vaccination programs targeting children and, in particular, groups most at risk and/or those living in marginalized and/or remote areas.	<p>Number of Roma children immunized (as a result of project interventions).</p>
Promote awareness of health and health care issues.	<p>Number of Roma that have been reached as a part of awareness campaigns.</p> <p>% of Roma in the project area that have basic knowledge of healthy lifestyle (use a set of proxy questions to assess the level of knowledge). [At the aggregate level, the average % can be monitored, since the cumulative % will be difficult to monitor.]</p>
HOUSING	
Eliminate any spatial segregation and promote desegregation.	<p>Increase in the number of Roma that live in mixed neighborhoods (as a result of project interventions).</p>
Promote nondiscriminatory access to social housing.	<p>Number of additional Roma families lodged in social housing (as a result of project interventions).</p>

Objective/Recommended Measures (Council Recommendations)	Proposed Common Roma Inclusion Indicators
HOUSING	
Provide halting sites for non-sedentary Roma, in proportion to local needs.	<p>Number of halting sites for non-sedentary Roma provided by the project.</p> <p>Number of Roma accessing halting sites (as a result of project interventions)</p>
Ensure access to public utilities (such as water, electricity, and gas) and infrastructure for housing in compliance with national legal requirements.	<p>Number of Roma benefited by newly created (water/gas/electricity) infrastructure (as a result of project interventions).</p> <p>Number of people (Roma) provided with access to improved water sources under the project.</p> <p>Number of people (Roma) provided with access to improved sanitation under the project.</p> <p>Number of people (Roma) provided with access to all-season roads within a 500 meter range under the project.</p> <p>Number of people (Roma) provided with access to regular solid waste collection under the project.</p> <p>Number of people (Roma) provided with access to electricity by household connection under the project.</p>
Improve security of tenure.³⁷	<p>Target population (Roma) with property use or ownership rights recorded (number).</p> <p>Land parcels with (Roma) use or ownership rights recorded (number).</p> <p>Target land area with (Roma) use or ownership rights recorded (ha).</p>
Other General Roma-sensitive Indicators	
	<p>Direct project beneficiaries (number), of which Roma comprise (percentage). [the number of Roma beneficiaries can be derived at the aggregate level]</p>
	<p>Vulnerable and marginalized people in the project area that are aware of project investments (percentage) [At the aggregate level, the average % can be monitored, since the cumulative % will be difficult to monitor.]</p>
	<p>Representatives in community-based decision-making and management structures that are Roma (percentage) [At the aggregate level, the average % can be monitored, since the cumulative % will be difficult to monitor.]</p>
	<p>Roma population who participate in project consultations and decision-making forums (number/percentage)</p>
	<p>Intended (Roma) beneficiaries that are aware of project information and project-supported investments (number/percentage)</p>
	<p>Grievances (by Roma) registered related to delivery of project benefits that are actually addressed (number)</p>
	<p>(Roma-focused) subprojects or investments for which arrangements for community engagement in post-project sustainability and/or operations and maintenance are established (number)</p>
	<p>(Roma) beneficiaries that feel project investments reflected their needs (number/percentage)</p>
	<p>(Roma) beneficiaries who have left the project (discontinued project membership) (number)</p>

³⁷ This objective was not included in the list of Council recommendations but is an important aspect of integrated interventions.

IV. Impact Evaluation of Selected Projects

In addition to monitoring the results indicators, which only track the progress and results of projects, impact evaluation is an important exercise for assessing the effectiveness of projects or interventions, which is especially useful when policy and project innovation is underway. It would be valuable for the national-level authorities to set aside sufficient resources to conduct impact evaluation on innovative interventions on Roma inclusion, since many new interventions are still being implemented on a trial-and-error basis and their effectiveness has not been verified. Impact evaluation is instrumental in demonstrating an intervention's effectiveness and mobilizing future support and funding. It brings transparency and evidence into the design and implementation of future policies. The evidence can also serve to persuade skeptical policy makers about an intervention's effectiveness and value.

Impact evaluation is different from other types of evaluations, such as descriptive or normative ones. While descriptive evaluation only describes what has happened before, during, and after a project, and normative evaluation only compares actual results against expected/target results, impact evaluation examines the causal relationship between an intervention and the measured results. In other words, impact evaluation intends to answer one question: what is the impact (or causal effect) of a project in an outcome of interest? Impact evaluation looks for the changes in an outcome that are directly attributable to the project or program. This is done not only by comparing indicators before and after an intervention, but also with counterfactuals, or information about what would have happened if the intervention had not taken place. This is usually done via experimental designs, which measure and compare changes in the outcomes in both a treatment group (where the project has taken place) and a control group (where the project has not taken place). Often, the changes in an outcome are attributable to many factors external to a project, such as the national economic growth, occurrence of natural disasters, or presence of other projects. Therefore, by comparing the degree of changes in both control and similar treatment groups, one can derive the outcome's attribution to the project. It is important to identify a treatment group that is very similar to the control group, in order to deduct the outcome's attribution to the project.

The highly technical nature of impact evaluation usually implies high costs that are not affordable by project implementers. While it is not necessary or cost-effective to conduct impact evaluation on every project, it is recommended that national-level authorities undertake impact evaluations on a selective basis on innovative and pilot projects. More information on how and when to conduct impact evaluations can be found in Impact Evaluation in Practice, linked below.

V. Additional Resources

Gertler, Paul J., Sebastian Martinez, Patrick Premand, Laura B. Rawlings, and Christel M. J. Vermeersch. 2011. "Impact Evaluation in Practice." World Bank, Washington, DC. http://siteresources.worldbank.org/EXTHDOFFICE/Resources/5485726-1295455628620/Impact_Evaluation_in_Practice.pdf

Field, Erica, and Michael Kramer. 2006. "Impact Evaluation for Slum Upgrading Interventions." Doing Impact Evaluation no. 3. Poverty Reduction and Economic Management, World Bank, Washington, DC. http://siteresources.worldbank.org/INTISPMA/Resources/383704-1146752240884/Doing_ie_series_03.pdf

Bamberger, Michael, and Angeli Kirk, eds. 2009. "Making Smart Policy: Using Impact Evaluation for Policy Making: Case Studies on Evaluations that Influenced Policy." Doing Impact Evaluation no. 14. Poverty Reduction and Economic Management, World Bank, Washington, DC. http://siteresources.worldbank.org/INTISPMA/Resources/383704-1146752240884/Doing_ie_series_14.pdf

Council recommendation on effective Roma integration measures in the member states, adopted by the EMPLOYMENT, SOCIAL POLICY, HEALTH and CONSUMER AFFAIRS Council meeting at Brussels, on 9 and 10 December 2013.

Practice and Advisory Note for Monitoring Project Aspects that Cannot be Measured by Results Indicators

KEY MESSAGES

- ▶ Some project aspects cannot be monitored by merely tracking results indicators.
- ▶ During project implementation, deviations from the initial proposal in (1) the target area or group; (2) the status of other complementary interventions and actions on which the achievement of the project is dependent; and (3) the level of support from the beneficiaries and local authorities could put the achievement of the project objectives at risk.
- ▶ On-the-ground verification of outputs is essential to ensuring that targeted groups are actually benefiting.
- ▶ A public feedback mechanism can also be introduced to allow project stakeholders to report the status, concerns, and questions about their projects directly to national-level authorities.

I. Purpose

This note aims to familiarize national-level authorities with some important elements and issues that need to be monitored beyond simple tracking of the monitoring indicators.

II. Context

Projects might be disbursing funds as planned, be on track in terms of procuring inputs and generating outputs, and available indicators could suggest they are on course to achieve the intended project objectives. Still, the projects could still fail to achieve the objectives or intended outcomes if some other important aspects are not in place. It will be important for authorities to track these immeasurable aspects of project implementation so as to provide adequate oversight and correct the course of projects that could otherwise fail to achieve their objectives.

III. Applicability

The authority should pay attention to the immeasurable aspects of projects mentioned in this note in undertaking its monitoring and oversight functions during implementation (after it has approved the projects).

IV. Aspects to be Monitored, Beyond Indicators

1. TARGETING

Marginalized groups and neighborhoods usually only comprise a part of a municipality or community where a project will be implemented. Less disadvantaged segments of the community who are more vocal or influential could end up benefiting disproportionately from resources and outputs, despite the fact that an approved project was meant to target disadvantaged groups. For example, a project intended to increase the connectivity of a marginalized neighborhood by building an access road could not achieve the objective, even when a road is constructed, if the road is not connected to the marginalized neighborhood and only serves the municipality's less marginalized areas. It is therefore essential to ensure that project activities are implemented with a focus on the intended target groups and neighborhoods.

2. INTEGRATION

Often, local authorities are required to have a local development strategy. In some member states, municipalities are even required to have such a strategy to be eligible for funding by certain programs or under certain calls for proposals (CfPs). Many local development strategies take an integrated approach and entail multiple interventions to achieve their objectives. Sometimes, local authorities implement local development strategies through various projects, funded by different sources; a project that is funded through the ESI Funds might only implement part of the strategy, and achieving the project's end objective could be highly dependent on the implementation of other projects. If other projects are not implemented as initially expected (postponed or cancelled), the project may become futile. It might generate no positive impact at all, or only benefit less disadvantaged groups in the community. It is important for the national-level authorities and intermediate bodies to keep track of the status of interventions and activities on which the success of the project is dependent, and be ready to swiftly take corrective actions, including restructuring, postponement, or cancellation of the project itself.

3. OWNERSHIP

Even when a project has progressed as planned, if beneficiaries cease to support it, or if the changes in the priorities of local authorities lead to insufficient allocation of resources for future operation and maintenance of the project outputs, it is likely to become unsustainable. Possible risks to continued ownership of the project by local actors include (1) discrepancies in the initial expectations of beneficiaries and the actual outputs of the projects; (2) tensions between beneficiaries and non-beneficiaries; and (3) changes in a community's political leadership. It would not be an effective use funds to invest in a project that is no longer supported by beneficiaries or disowned by the implementation body (for example, the local authority) responsible for sustaining its results. Swift action would be required by the competent authorities and intermediate bodies to either promote local ownership of the project or revise its funding.

V. Possible Methods for Monitoring

The above aspects could be monitored by directly collecting and verifying information on the ground or through a public feedback mechanism.

1. SITE VISITS

The authority can visit project sites to inspect the situation on the ground. Depending on the availability of resources, the authority can conduct site visits on its own or contract these out to external auditors. Site visits would typically comprise the following activities:

- (a) verification of the project's physical progress;
- (b) validation of the project's integrity to its stated objectives;
- (c) interviews with local stakeholders, such as project implementers (local authorities or CSOs managing the implementation), targeted beneficiaries, and other project partners to collect information about the status of other complementary activities, political support, and community ownership of the project.

2. PUBLIC FEEDBACK MECHANISM

Authorities can establish a national-level mechanism that allows project stakeholders (direct project beneficiaries, CSOs, service providers, and members of the wider community) to provide direct feedback on the projects funded by their programs. Stakeholders can submit grievances or alert the authorities to issues affecting project implementation via telephone hotline or Internet portal. Such a mechanism would also increase the accountability and transparency of local project implementers. The authority can also use information collected through the feedback mechanism to schedule site visits to assess the real situation on the ground.

Practice and Advisory Note for Facilitating Peer Learning and Exchange of Good Practices

KEY MESSAGES

- ▶ Peer learning and exchange help communities share lessons about what works, what does not work, and what can be improved.
- ▶ Peer learning and exchange facilitate mutual help, guidance, and collaboration between communities and inspire innovations.
- ▶ National-level authorities and intermediate bodies can facilitate peer learning and exchange activities by creating and hosting platforms and sponsoring exchange events.

I. Purpose

This note aims to inform national-level authorities on good practices for facilitating peer learning and exchange of best practice activities among communities implementing projects through different funding resources, including ESI Funds.

II. Context

Integrated projects are multisectoral, complex interventions that require robust capacities and expertise throughout and beyond the project cycle—from preparation to implementation, to operation and maintenance. Many local actors (including local authorities and other parties involved in the project cycle) do not have experience with such projects or funding mechanisms. Program rules and policies add further layers of complexity to project implementation. In such cases, knowledge exchanges with the local actors of other communities that have implemented similar interventions would offer a valuable source of practical knowledge and best practices. Peer-learning activities are useful for sharing lessons about what works, what does not work, and what can be improved. By establishing channels of communication and exchange between communities, they can also consult or advise each other when faced with unforeseen challenges and risks. In addition, peer learning and exchange usually induce collaboration and inspire innovations. Therefore, by facilitating peer learning and exchange, authorities can improve projects' effectiveness, efficiency, and sustainability, for better overall results.

III. Applicability

The good practices presented in this note can be built (and budgeted) into project-funding programs or call for proposals (CfPs), and implemented by the competent authorities to help increase communities' knowledge and capacity to develop and implement more effective projects.

IV. Good Practices

1. COMMUNITY OF PRACTICE

Project implementers would benefit from forming a regional or national-level community of practice where they can regularly consult with each other when addressing technical or administrative issues. A platform can be created to facilitate the formation and day-to-day functioning of such a community of practice. A unit or team in the authority could be established to play the secretariat function for the platform. The secretariat can be run by the staff of the authority, or contracted out. The platform can be in the form of an Internet portal, where practitioners can interact online to exchange their information. The secretariat would facilitate the portal's operation and can also help match the supply and demand of information (practitioners who have questions about certain topics can be linked with other practitioners who might have corresponding answers or information). The secretariat can also invite experts and informants from outside the community to help broaden the perspectives of the community and explore alternative ideas and techniques. In order to keep the community of practice active and useful, the secretariat could initiate periodic activities or events that prompt members to meet or interact on- or offline. The community of practice can also be employed on an individual basis—allowing practitioners to communicate and collaborate on a bilateral basis. These networks would enable lasting relationships between the various actors involved in planning and implementing interventions and make knowledge sharing more fluid and possibly less expensive.

2. DATABASE OF EFFECTIVE INTERVENTIONS AND GOOD PRACTICES

A compilation of effective interventions and best practices can be stored in a database and made readily available to the public. If an authority is conducting impact evaluations of some of projects it is funding, the evidence on "what works" can also be posted in the database. A successful example of such a database is found on the What Works Clearinghouse (WWC) (<http://ies.ed.gov/ncee/wwc>) created by the U.S. Department of Education's Institute of Education Sciences.

3. CONFERENCES/WORKSHOPS

Authorities can facilitate exchange and peer learning by organizing conferences or workshops at regional or municipal levels. Enabling communities to learn directly from each other would allow them to benefit from practical lessons learned from their peers, discuss challenges and solutions encountered during implementation, and benefit from the expertise of individuals who may have skills and training not available in every community. It also provides a great opportunity for the participants to make face-to-face acquaintance with their counterparts from other communities and build a network that can be used for peer support and collaboration in the future.

Besides facilitating peer learning and exchanges, conferences and workshops offer other benefits to project implementers. They provide a great opportunity to disseminate useful information, not only between local actors from different communities, but also between national-level authorities and local actors. Presenting a project in a conference or a workshop also nurtures a sense of pride by the project implementers and the community implementing the project, which helps promote higher commitment and support.

4. STUDY TOURS

Study tours would benefit those communities that have had limited experience with community-led projects by allowing them to learn directly from peers who are further along with their interventions. Visits by local authorities and project staff to other communities implementing projects have several benefits: (1) it inspires the preparation and implementation of new projects—there is nothing more convincing than witnessing a successful project that is achieving results; and (2) it facilitates the understanding of other successful projects—visitors can directly observe the key ingredients of success—what is in place, what is being done, and how these activities are undertaken.



MODULE 3

Good Practice Notes and Tools for Local Actors³⁸

³⁸ Project implementers include local authorities and civil society organizations (CSOs).

INTRODUCTION TO THE MODULE

The aim of this module is to provide local-level actors (which include local authorities and CSOs) with tools and advice to develop and implement projects aimed at improving the living conditions of disadvantaged Roma communities.

Disadvantaged Roma communities throughout the European Union member states face different challenges to improving their living conditions and combating marginalization. A successful intervention in one community may not necessarily be suited for another. Even the same types of needs in two different communities may require different solutions and approaches. For instance, children in two communities might have trouble accessing good quality schools, but in one community this might be due to the far distance to the existing school while in another, it might be due to the student's lack of personal identification. Customization of projects to local context is thus essential to adequately and efficiently address a community's needs.

With this in mind, this module provides tools and guidance to help local actors address the unique needs and challenges of each of their communities. More specifically, the module provides three tools to help local actors in the project preparation phase to (1) identify the target community's priority needs; (2) explore possible interventions that can be included in the project to address the priority needs; and (3) identify and address the project's sustainability risks.

These tools are complemented by four good practice notes intended to increase projects' effectiveness and sustainability. The notes explain why and how to effectively (1) involve community members; (2) develop a resettlement plan when needed; (3) monitor and evaluate project progress and outputs through participatory means; and (4) formalize real property rights. The practical guidance suggested in the notes is expected to enhance projects' positive impacts and sustainability while mitigating negative impacts. On first glance, some notes may not appear relevant or important to project planners and managers; but we recommend at least reading the key messages listed at the top of each note, which highlight its relevance, importance, and applicability.

The following table illustrates the tools and good practice notes included in this module.

Tools and Good Practice Notes for Project Implementation Bodies

PROJECT STAGE	MATERIAL	PURPOSE
TOOLS		
Planning	Diagnostic Questionnaire for Community Needs Assessment	Assess priority needs of the community pertaining to the four crucial areas of Roma inclusion: housing, employment, education, and health care
	Table of Potential Place-Based Intervention Options	Identify intervention options to address different priority needs
	Diagnostic Tool for Assessing Project Sustainability	Identify and address risks to the sustainability of project impacts, including capacity gaps, affordability, and community participation
GOOD PRACTICE NOTES		
Planning, implementation	1: Engaging Local Communities	Effectively engage local communities throughout the project cycle in order to increase projects' relevance, ownership, effectiveness, and sustainability
Planning	2: Planning Resettlement	Take effective actions and procedures to mitigate negative social and economic impacts and increase positive benefits of resettlement
Planning, implementation, M&E	3: Participatory Monitoring and Evaluation	Set up M&E plans with a focus on participatory M&E to increase the accountability and performance of projects
Planning, implementation	4: Formalizing Real Property Rights	Formalize Roma settlements and the real property rights of their inhabitants for socioeconomic inclusion of marginalized Roma

Tools for Preparing Integrated Interventions

Diagnostic Questionnaire for Community Needs Assessment

I. Purpose

This tool helps identify and take inventory of a community's main needs and impediments to be addressed by future projects.

II. Context

Disadvantaged Roma communities are heterogeneous and face different impediments to fulfilling their various needs. The nature and level of disadvantages differ from one community to the next, and disadvantages may be manifested in different outcomes.³⁹ A specific need or outcome could be attributed to different causes or impediments, depending on the disadvantage. Different needs and impediments usually interfere with each other and mutually reinforce a community's disadvantages, requiring interventions to address them holistically. This means that interventions need to be integrated and customized to the context of each community to address its specific combination of needs and impediments.

In this context, it is critical to identify needs, assess their impediments, and prioritize intervention areas so that projects can effectively address a community's priority needs with the resources available. For instance, a community's poor access to health services might be due to multiple impediments: existing health centers are not easily accessible, community members lack personal identification, or existing health services are not tailored to meet the community's specific cultural context (for example, language). In other words, projects

³⁹This tool focuses on the outcomes in the four crucial areas of Roma integration identified in the EU Framework for NRIS up to 2020: access to housing, employment, education, and health care.

should be designed not only by identifying needs but also by assessing impediments that constrain communities from accessing the needs, and designing interventions that can most effectively and efficiently address these.

III. Applicability

The Diagnostic Questionnaire for Community Needs Assessment is generally applicable to the preparation of local-level (place-based) strategies/plans and projects aimed at improving the living conditions of disadvantaged groups through integrated approaches. It is intended for use by local-level policy makers and project planners that are involved in preparing local development strategies/plans and projects. A precondition for utilizing the tool is to have a clear spatial definition of the area (or neighborhood) that will be targeted, since the tool analyzes community needs in a particular space (place-based). It is not intended or suitable for preparing national or regional-level interventions.

This tool was designed for qualitative assessment, as opposed to quantitative assessment. It allows local actors to take stock of community needs and impediments based on their observation, perceptions, and understanding of the situation. The tool is not meant to define the existence of needs or impediments against a standard set of criteria or thresholds, and leaves it to local actors to determine what they consider to be acceptable (for example, reliability of water supply, accessibility at a reasonable cost and effort, and so on). This is a practical approach under circumstances in which reliable data is not available to measure quality or accessibility. When relevant data, criteria, and thresholds (including those based on international/national legislation or benchmarks) are readily available, however, local actors can use them to inform their assessment.

This tool can be applied in the context of integrated territorial investments (ITIs)⁴⁰ and the community-led local development (CLLD),⁴¹ but is meant to be applied broadly to local-level, place-based interventions in general, including those that do not necessarily involve ITIs and CLLDs.

IV. Diagnostic Questionnaire

A policy maker or project planner can lead the exercise of filling in the questionnaire. Depending on availability, it can be based on a combination of available information sources: (1) community data, such as census and other survey data on the community's living conditions; (2) administrative data (service delivery data and logs); (3) local survey results; (4) results of social assessment (see Good Practice Note 2: Planning Resettlement); and (5) consultations with community members through community meetings and interviews with key stakeholders, including service providers, community leaders, and CSOs (see Good Practice Note 1: Engaging Local Communities).

It is especially important to involve stakeholders from the community, who know the community members and are generally respected by the community as a whole. Formal or informal leaders who have lived in the area for an extended period of time and have been involved in community affairs are the best candidates to answer these questions. Open community meetings can also be organized to discuss the questionnaire, or to validate the responses offered by key stakeholders. Experts in workshop facilitation, social workers, and community mediators can be mobilized to moderate such meetings.

⁴⁰The ITI is an instrument introduced by the European Commission to allow member states to implement OPs in a cross-cutting way and to draw on funding from several priority axes of one or more OPs to ensure the implementation of an integrated strategy for a specific territory.

⁴¹CLLD is an approach to involving citizens at the local level in developing responses to social, environmental, and economic challenges.

INSTRUCTIONS:

1. Go to the Housing column of the questionnaire, and go through the list of needs, one by one, from top to bottom. Tick (✓) on all needs that apply to your community (stay only in the Housing column—DO NOT work on the Employment, Education, or Health columns yet). The questionnaire might not provide the full list of needs and impediments; those that are not found in the questionnaire can be manually entered in the “other” categories. The needs and impediments to be considered in this exercise should focus on local-level needs and impediments, rather than those of national or regional nature, since it is intended to inform the preparation of projects to be implemented at the community level. Nevertheless, such interventions should generally be aligned with national or regional-level strategies and programs to maximize impact and results.
2. Go back to the top of the Housing column. If you have ticked any of the physical/spatial needs in the column, also tick (✓) the box in the first row of the column. This means that there are gaps in the “Housing” outcomes in the community.
3. Now go to the Employment column. Read the statements at the top of the column (in the outcomes gaps section, before the list of physical/spatial needs). If any of the statements apply to your community, tick (✓) the box in the first row. This means that there are gaps in the “Employment” outcomes in the community. If none of the statements apply to your community, the community does not likely need to particularly focus on improving employment outcomes.
4. Next, go through the list of needs in the Employment column, one by one, from top to bottom. Tick (✓) on all needs that apply to your community (stay only in the employment column—DO NOT work on Education or Health columns yet). Even if you did not tick (✓) the box in the first row for Employment, you might still want to go through the list of needs to identify potential obstacles to achieving employment outcomes in the community. The exercise might also help you reconsider the assessment of gaps in the “Employment” outcomes.
5. Repeat steps 3 and 4 for the Education and Health columns.

The same gaps/needs might not be applicable to all four areas (housing, employment, education, and health). For example, lack of water might be a major reason for bad health, but not necessarily an impediment for employment. In such a case, you can tick water for health, but you do not need to tick water for employment.

At the end of the exercise, the diagnostic questionnaire will yield an inventory of community gaps and needs. The questionnaire is designed to help the project planner identify common needs or impediments that affect multiple aspects of the community’s living conditions (housing, employment, education, and health).

Once the needs and impediments are identified, planners can use the Table of Potential Place-Based Intervention Options in this handbook to look for options of potential, place-based interventions that can be applied at the community level. While the list is not exhaustive, it could help planners consider and prioritize interventions to be included in future projects. A specific need can be fulfilled directly (such as by improving housing) or by filling other needs that impede the direct fulfillment of the need (such as improving access to finance/creating microcredit programs). It is very important to note that there are often various intervention options available to solve the same need; depending on the community’s situation, some options are more feasible, effective, and cost-efficient than others.

The prioritization of gaps/needs, impediments, and interventions need to be made to account for many variables, such as their value and significance to the community members, feasibility, and cost-effectiveness—not all of which can be measured and compared mechanically. Hence, these tools should be used only as a guide to help the policy makers and stakeholders consider and compare key aspects of communities’ needs and impediments. More tips on using this questionnaire for assessing the synergies and trade-offs between priority needs and interventions are provided in the instructions for the Table of Potential Place-Based Intervention Options. The Diagnostic Tool for Assessing Project Sustainability of the handbook can also be used to design integrated projects.

Outcome gaps in the four crucial areas of Roma integration	HOUSING 	EMPLOYMENT 	EDUCATION 	HEALTH 
	Tick the box if the statement below applies to the community <input type="checkbox"/>	Tick the box if any of the statements below apply to the community <input type="checkbox"/>	Tick the box if any of the statements below apply to the community <input type="checkbox"/>	Tick the box if any of the statements below apply to the community <input type="checkbox"/>
PHYSICAL/SPATIAL NEEDS	People DO NOT have access to any of the below physical/spatial needs:	Job seekers and inactive people DO NOT have access to employment that pays sufficient wages to maintain a socially acceptable quality of life.	Children DO NOT receive adequate early childcare required to support their growth, development, and preparation to start school.	People suffer from bad health and do not have regular health check-ups.
	The needs include the following:	Self-employment DOES NOT provide adequate means of generating sufficient income from selling goods or providing services to customers and clients. This is mainly due to gaps in access to:	Children are NOT enrolled in or attending preschool,* primary, or secondary school (low enrollment rates, high absenteeism, high dropout rates). People DO NOT receive higher, vocational, or life-long education. The quality of education they receive is NOT adequate (e.g., manifested in low test scores, high repetition rates). This is mainly due to gaps in access to:	People DO NOT access/receive adequate health care,** including preventive care, public health information, and ambulatory care from primary care physicians, specialized health care services from (secondary and tertiary) medical specialists and other health professionals. This is mainly due to gaps in access to:
ACCESS TO BASIC COMMUNITY SERVICES	(If public water supply does not exist) Drinking water of good quality , at a reasonable cost and effort. <input type="checkbox"/>	(If public water supply does not exist) Drinking water of good quality , at a reasonable cost and effort to stay healthy, productive, and ready to work. <input type="checkbox"/>	(If public water supply does not exist) Drinking water of good quality , at a reasonable cost and effort to stay healthy, grow, and be ready to attend school. <input type="checkbox"/>	(If public water supply does not exist) Drinking water of good quality , at a reasonable cost and effort to stay healthy. <input type="checkbox"/>
	(If public water supply exists) Reliable drinking water supply services of good quality. <input type="checkbox"/>	(If public water supply exists) Reliable drinking water supply services of good quality to stay healthy, productive, and ready to work. <input type="checkbox"/>	(If public water supply exists) Reliable drinking water supply services of good quality to stay healthy, grow, and be ready to attend school. <input type="checkbox"/>	(If public water supply exists) Reliable drinking water supply services of good quality to stay healthy. <input type="checkbox"/>
	Safe*** excreta disposal system either in the form of a private toilet or public toilet shared with a reasonable number of people. <input type="checkbox"/>	Safe*** excreta disposal system (latrine) to stay healthy, productive, and ready to work. <input type="checkbox"/>	Safe*** excreta disposal system (latrine) to stay healthy, grow, and be ready to attend school. <input type="checkbox"/>	Safe*** excreta disposal system (latrine) to maintain good hygiene and stay healthy. <input type="checkbox"/>

Outcome gaps in the four crucial areas of Roma integration	HOUSING 	EMPLOYMENT 	EDUCATION 	HEALTH 
PHYSICAL/SPATIAL NEEDS <i>(Continued from previous page)</i>				
ACCESS TO BASIC COMMUNITY SERVICES	Electricity , at a reasonable cost and provided in a reliable manner. <input type="checkbox"/>	Electricity , at a reasonable cost and provided in a reliable manner, that can be used to stay informed, communicate, and increase productivity by connecting both domestic and professional appliances. <input type="checkbox"/>	Electricity , at a reasonable cost and provided in a reliable manner, that can be used to provide care for children and lighting for studying (e.g., doing homework, preparing for exams). <input type="checkbox"/>	Electricity , at a reasonable cost and provided in a reliable manner, that can be used to keep good hygiene and health. <input type="checkbox"/>
	Reliable heating system that heats the housing unit at a reasonable cost during the winter and without posing any health hazards (such as open wood burning). <input type="checkbox"/>	Reliable heating system to stay healthy, productive, and ready to work during the winter. <input type="checkbox"/>	Reliable heating system to stay healthy, grow, and be ready to attend school during the winter. <input type="checkbox"/>	Reliable heating system that keeps the house warm during the winter without posing health hazards (smoke from open wood burning). <input type="checkbox"/>
	Reliable waste collection that does not allow garbage to accumulate. <input type="checkbox"/>	Reliable waste collection to stay clean, presentable, healthy, productive, and ready to work. <input type="checkbox"/>	Reliable waste collection to stay clean, presentable, healthy, and ready to attend school. <input type="checkbox"/>	Reliable waste collection to maintain good hygiene and health. <input type="checkbox"/>
	Other:	Other:	Other:	Other:
SAFE LOCATION AND SPACES	Public safety (free from crimes such as thefts, assaults, other forms of violence). <input type="checkbox"/>	Public safety (free from crimes such as thefts, assaults, and other forms of violence) to commute to work, market, or attract businesses (customers). <input type="checkbox"/>	Public safety (free from crimes such as thefts, assaults, and other forms of violence) to commute to school without fear. <input type="checkbox"/>	Public safety (free from crimes such as thefts, assaults, and other forms of violence) to access health care providers without fear. <input type="checkbox"/>
	Clean and safe public spaces that are sufficiently lit and can be enjoyed by all community members. <input type="checkbox"/>		Clean and safe public spaces that are conducive to developing children's noncognitive skills (socialization, self-esteem, motivation, etc.) and enhance their potential to grow and learn. <input type="checkbox"/>	Clean and safe public spaces that are conducive to people staying active and maintaining a healthy lifestyle. <input type="checkbox"/>
	Protection from Natural disasters (floods, landslides...) or man-made hazards (toxic waste...), or is not located in dangerous right-of-ways such as railway, highway, power line and airport. <input type="checkbox"/>			Protection from man-made hazards (e.g., toxic waste, contaminated air, water, soil, etc.) that are harmful to health. <input type="checkbox"/>
	Other:	Other:	Other:	Other:

Outcome gaps in the four crucial areas of Roma integration	HOUSING 	EMPLOYMENT 	EDUCATION 	HEALTH 
PHYSICAL/SPATIAL NEEDS <i>(Continued from previous page)</i>				
ACCESS AND CONNECTION TO SOCIAL SERVICES, MARKETS, AND OTHER OPPORTUNITIES	Existence of markets, employment locations, and social service facilities (e.g., schools and health care facilities) within accessible distance. <input type="checkbox"/>	Child care facility in good physical conditions within commutable distance for children of working parents. Employment service center and/or vocational training center within commutable distance. <input type="checkbox"/>	School infrastructure (e.g., nursery, kindergarten, primary school, secondary school) in good physical conditions (with access to basic services, safety, hygiene, etc.) within commutable distance with sufficient space to serve all children of school attending age in the community; has the means (e.g., computers and Internet) to access distance learning courses. <input type="checkbox"/>	Health care facility in good physical conditions adequately equipped and supplied to provide primary health care (such as preventive and ambulatory care) within accessible distance. <input type="checkbox"/>
	Access roads and pathways accessible to people's homes throughout the year. <input type="checkbox"/>	Access roads and pathways that enable people to reach jobs, markets, employment service center, and/or vocational training center throughout the year. <input type="checkbox"/>	Access roads and pathways that enable students to reach school throughout the year. <input type="checkbox"/>	Access roads and pathways that enable people to reach health care facilities or health professionals to reach people throughout the year. <input type="checkbox"/>
	Reliable public transportation at an affordable cost. <input type="checkbox"/>	Reliable public transportation at an affordable cost, to commute to jobs, markets, employment service center, and/or vocational training center. <input type="checkbox"/>	Reliable public transportation at an affordable cost to commute to school (mainly offering higher, vocational, and lifelong education). Prospective students cannot commute to schools where higher or lifelong education is offered, due to prohibitive distance or lack of transport. <input type="checkbox"/>	Reliable public transportation at an affordable cost to commute to health care facilities (mainly secondary and tertiary care). <input type="checkbox"/>
	Other:	Other:	Other:	Other:
SPATIAL INTEGRATION	Integration of the community to the wider society (without physical or geographic barriers segregating the community). <input type="checkbox"/>	Integration of the community to wider society (without physical or geographic barriers spatially segregating the community members from the employment market). <input type="checkbox"/>	Integration of the community to wider society (without physical or geographic barriers leading to school segregation). <input type="checkbox"/>	Integration of the community to wider society (without physical or geographic barriers leading to segregation of health care services). <input type="checkbox"/>

Outcome gaps in the four crucial areas of Roma integration	HOUSING 	EMPLOYMENT 	EDUCATION 	HEALTH 
PHYSICAL/SPATIAL NEEDS <i>(Continued from previous page)</i>				
ADEQUATE HOUSING STRUCTURES	Housing units with sufficient space (e.g., 3 persons or less per habitable room or one household in a unit—should be assessed in relative terms to the general population). <input type="checkbox"/>	Sufficient housing space to adequately rest and be ready to work. <input type="checkbox"/>	Sufficient housing space to study (e.g., do homework, prepare for exams). <input type="checkbox"/>	Sufficient housing space to adequately rest and stay healthy. <input type="checkbox"/>
	Houses with enough insulation , protection from extreme temperatures (hot or cold), or with enough ventilation . <input type="checkbox"/>	Houses with enough insulation , protection from extreme temperatures (hot or cold) or with enough ventilation , to stay healthy, rest sufficiently, and be ready to work. <input type="checkbox"/>	Houses with enough insulation , protection from extreme temperatures (hot or cold) or with enough ventilation to study (e.g., do homework, prepare for exams). <input type="checkbox"/>	Houses with enough insulation , protection from extreme temperatures (hot or cold) or with enough ventilation to stay clean and healthy. <input type="checkbox"/>
	Houses made of permanent materials, in apartment or houses in good physical conditions without need of major repairs and/or at risk of collapsing. <input type="checkbox"/>			
	Other:	Other:	Other:	Other:
NONPHYSICAL/IMMATERIAL NEEDS				
CIVIL DOCUMENTS	Civil documents (such as birth certificates) required for property rights registration, or renting or buying a house. <input type="checkbox"/>	Civil documents (such as birth certificates and residential addresses) required for accessing formal or public employment. <input type="checkbox"/>	Civil documents (such as birth certificates and residential addresses) required for enrolling children in school. <input type="checkbox"/>	Civil documents (such as birth certificates and residential addresses) required for accessing social assistance programs or receiving health care from public health care facilities. <input type="checkbox"/>
TENURE SECURITY	Formal property or possession rights (including formal permission) to reside in their dwellings that protect against arbitrary evictions. <input type="checkbox"/>			
	Registered lands that protect people against arbitrary evictions and allow them to use their land for productive purposes (when possible). <input type="checkbox"/>	Registered lands that allow people to use their land for productive purposes (when possible). <input type="checkbox"/>		
	Other:	Other:	Other:	Other:

Outcome gaps in the four crucial areas of Roma integration	HOUSING 	EMPLOYMENT 	EDUCATION 	HEALTH 

NONPHYSICAL/IMMATERIAL NEEDS

(Continued from previous page)

CAPACITY OF SOCIAL SERVICE PROVIDERS		Sufficient number of employment service providers and vocational training instructors that have been trained to adequately provide services in a suitable manner in the context of disadvantaged groups, including Roma. <input type="checkbox"/>	Sufficient number of teachers that have been trained to adequately teach students of disadvantaged backgrounds including Roma, to serve all students in the community. <input type="checkbox"/> Teaching relevant to learning needs (including language barriers—the primary language of education is not the same as the language commonly spoken in the Roma households, and children have difficulties understanding the teachers). Courses relevant to learning needs (schools that offer education or training relevant to the labor market and facilitate transition from education to work).	Sufficient number of health care providers that have been trained to adequately provide health care in a suitable manner in the context of disadvantaged groups including Roma, in the community. Public health messages reach the community. <input type="checkbox"/>
	Other:	Other:	Other:	Other:

EQUAL TREATMENT	Equal opportunities for disadvantaged groups like Roma to access the housing market, without discrimination from renting or buying a house. <input type="checkbox"/>	Equal opportunities for disadvantaged groups like Roma to compete for job openings. The existence of employer discrimination often limits the availability of jobs for Roma. <input type="checkbox"/>	Equal treatment of Roma and non-Roma children within and between schools, without segregation or other forms of exclusion of Roma students from standard education. <input type="checkbox"/>	Equal treatment of Roma and non-Roma by health care providers, without segregation or other forms of discriminatory treatment. <input type="checkbox"/>
	Other:	Other:	Other:	Other:

SKILLS, INFORMATION, AWARENESS, AND CAPACITY			Awareness and information about the value and availability of education. <input type="checkbox"/>	Awareness of people to seek health care (availability and importance of services). <input type="checkbox"/>

Outcome gaps in the four crucial areas of Roma integration	HOUSING 	EMPLOYMENT 	EDUCATION 	HEALTH 

NONPHYSICAL/IMMATERIAL NEEDS

(Continued from previous page)

SKILLS, INFORMATION, AWARENESS, AND CAPACITY		<p>Social network/information to find job opportunities; skills or work experience required to meet the needs of the labor market (employers and customers); entrepreneurship skills and knowledge to create and run micro, small- and medium-sized enterprises. <input type="checkbox"/></p>	<p>Parents' involvement to provide adequate care to children in early years. Families do not have sufficient time, resources, or knowledge to provide adequate nutrition, basic health care, protection from danger, age-appropriate play, preschool education, and adult care conducive to children's growth and development. Capacity of families to keep their children in school. Lack of economic resources to pay for school related expenses (e.g., activity fees, transportation, food, clothes, materials, etc.) or lack of time and knowledge to help with children's learning or lack of information about how education affects job prospects later in life, often leading to early dropouts. Insufficient family income also leads children to miss or leave school (to help with family income or domestic responsibilities). <input type="checkbox"/></p>	<p>Information and knowledge about healthy lifestyle and preventive practices. <input type="checkbox"/></p>
	Other:	Other:	Other:	Other:

INCOME	<p>Financial resources for buying or improving housing. <input type="checkbox"/></p>	<p>Financial resources for startup investments and capital upgrading (e.g., facility, equipment, raw materials, and other inputs). Lack of access to business development loans and credit hinder creation of new enterprises. <input type="checkbox"/></p>	<p>Financial resources for pursuing secondary and higher education. <input type="checkbox"/></p>	<p>Financial resources to cover medical expenses (people do not have the money to visit a health care provider to buy and take the prescribed medication/therapy). <input type="checkbox"/></p>
	Other:	Other:	Other:	Other:

* Preschool includes nursery school and kindergarten.

** These include reproductive health care (including pre-, ante-, and postnatal care) and infant and child health care (including periodical check-ups and vaccinations).

*** Safe considered as directly connected to public sewer, septic tank or ventilated improved pit latrine with slab.

Table of Potential Place-Based Intervention Options

I. Purpose

The table provides a list of potential place-based interventions that can be applied at the local level to address the community needs/gap and impediments identified using the Diagnostic Questionnaire for Community Needs Assessment.

II. Context

Many communities derive their project ideas from existing interventions they have seen or heard about, and often implement them without sufficiently considering their applicability to the community's actual needs and impediments. Such projects will not effectively address the needs or impediments of the community, and waste resources. Instead of merely copying and repeating a random intervention from another community, disadvantaged communities will benefit from having a wider menu of interventions to choose from, in line with their actual priority needs. While not exhaustive, the attached table is intended to inspire communities to look for interventions that are more relevant to their needs by describing different types of interventions that can be applied in different situations, with links to sample case studies.

III. Applicability

The Table of Potential Place-Based Intervention Options can inform the preparation of local-level strategies/plans and projects aimed at improving the living conditions of disadvantaged groups. It is intended for use by local-level policy makers and project planners who are involved in preparing such local development strategies/plans and projects. Depending on the nature of needs and impediments experienced by a community, various interventions could be integrated to best address its specific combination of needs and impediments. Communities are also encouraged to innovate and customize interventions in the local context.

The table is not intended or suitable for preparation of national or regional-level interventions, as it does not include national or regional-level policy measures or programmatic interventions. Nevertheless, local interventions should generally be aligned with national or regional-level strategies and programs to maximize impact and results. For example, some of the local-level, place-based interventions listed in the table might require complementary interventions at the national or regional level, which need to be taken into consideration when assessing their feasibility.

This tool can be applied in the context of integrated territorial investments (ITIs)⁴² and the community-led local development (CLLD)⁴³. The policies and institutional arrangements of ITIs and CLLDs may provide an enabling environment for implementing the interventions in an integrated manner, and the tool itself can also support the implementation of ITIs and CLLDs in return. Nonetheless, the tool is meant to be applied broadly to local-level interventions in general, including those that do not necessarily involve ITIs and CLLDs.

It is also important to note that this table includes limited types of employment/education/health interventions because it focuses on place-based integrated interventions, and the review of interventions conducted for the preparation of the table mainly focused on interventions consisting of both hard and soft measures that were implemented at the community level by local actors. There is a range of national or regional-level interventions that can either be integrated with local-level interventions or adapted for local-level implementation. There may also be many other local-level soft interventions that did not involve any hard measures, and are therefore not covered by this document. These interventions may be added to the table in the future as additional reviews on these soft interventions are conducted.

IV. Table of Potential Place-Based Intervention Options

INSTRUCTIONS:

After identifying the needs/gaps and impediments of a community, project planners can refer to the table to look for some existing and corresponding interventions. For this purpose, the table is structured in the same format as the diagnostic questionnaire; the interventions are listed by the types of needs/gaps as classified by the questionnaire. Each intervention is accompanied by references to sample case studies, most of which are attached to this handbook in the supplemental Global Case Studies, which provides more detailed information about specific design features, elements, and good practices of the interventions. While the list is not exhaustive, it is expected to help planners consider and prioritize interventions that match the needs and impediments to be addressed in the community.

In considering the intervention options, it is critical to note that there are often various intervention options available to fulfill the same need or achieve a desired outcome; depending on the situation, some options are more feasible, effective, and cost-efficient than others. In addition, since disadvantaged communities generally suffer from a series of disadvantages—which cannot be addressed all at the same time when project funds are limited—local actors must often think about the trade-offs between focusing on different needs and choosing different intervention options. As explained by the Diagnostic Questionnaire for Community Needs Assessment, some needs and outcomes are interrelated and can be tackled together, while others are less related. By identifying and prioritizing the related needs and key sets of interventions that address those needs together, projects can generate synergies and avoid being a Christmas tree of unrelated interventions.

Prioritization could be made in account of a number of key variables, such as the value and significance of a need or outcome to the community members, as well as an intervention's feasibility and cost-effectiveness. The assessment of these trade-offs can be guided by asking the following questions, using the previous questionnaire, and the Table of Potential Place-Based Intervention Options.

⁴²The ITI is an instrument introduced by the European Commission to allow member states to implement OPs in a cross-cutting way and to draw on funding from several priority axes of one or more OPs to ensure the implementation of an integrated strategy for a specific territory.

⁴³CLLD is an approach to involving citizens at the local level in developing responses to the social, environmental, and economic challenges

1. What are the trade-offs and synergies between different NEEDS identified?

The diagnostic questionnaire (presented in the previous module) can be used to analyze how existing needs are related to each other and, given the resources available, which set of needs are most important to the community. The questionnaire is designed to allow identification of possible synergies between different needs and sectors. For instance, improving access and quality of water supply services can simultaneously lead to an improvement of health and education outcomes.

2. What are the trade-offs between different INTERVENTIONS?

- (a) **Sequencing.** It is important to sequence the interventions correctly by asking what needs to be in place for each intervention to work (what should be implemented first).
- (b) **Cost-effectiveness.** When there is more than one intervention to achieving the same outcome, it is useful to compare the estimated cost-effectiveness (for the same amount of money, how much impact would each of the interventions generate). While cost-effectiveness varies by context, and it is very difficult to accurately estimate the impact of interventions, project planners may be able to refer to the impacts of similar interventions in the country/region or existing literature (impact evaluations, economic analyses) to compare expected cost-effectiveness.
- (c) **Scale of beneficiaries.** Along the same line, the estimated scale/coverage of beneficiaries can be compared between interventions, for the same amount of resources. While some interventions may have a greater impact per individual or household (and therefore are technically cost-effective) than other interventions, they may still be very expensive and can only be implemented with a small number of beneficiaries.
- (d) **Low-hanging fruit.** It is also useful to consider low-hanging fruit options that are easy to implement and can produce significant benefits in a short time period. Providing civil documentation (such as birth and residential certificates), for example, can eliminate barriers to accessing social services at a very low cost. On the contrary, providing social (rental) housing solutions to poor and unemployed households generally require—to be sustainable—costly subsidy programs and other complementary income support activities.

Options for Potential, Place-Based Interventions that Can be Applied at the Community Level⁴⁴

NEED	COMMUNITY-LEVEL INTERVENTION OPTIONS	APPLICABILITY	KEY PROJECT EXAMPLES
PHYSICAL/SPATIAL NEEDS			
<p>ACCESS TO BASIC COMMUNITY SERVICES</p> <p>Current situation: People in the community do not have access to reliable water supply, a safe excreta disposal system, reliable electricity, heating, waste collection or clean and safe public spaces.</p>	<p>Neighborhood upgrading</p>	<p>Rural/semi-rural neighborhood upgrading</p> <p>This involves expanding basic services to the neighborhood and is generally applicable in low density neighborhoods (rural) with poor access to services or in areas where network extension is too costly and/or not possible (i.e. inexistent water network).</p> <p>This type of project can involve investment in decentralized sanitation systems, electricity, and improvement of water supply networks and/or expanding solid waste collection using community collection points. Decentralized sanitation solutions have sometimes been applied and can involve improved pit latrines or septic tanks.* Good practices might include involving the community in carrying out or supervising works (see Good Practice Note 3: Participatory Monitoring and Evaluation).</p> <p>Note: as expanding basic services can create affordability issues, project planners should think of payment alternatives (such as subsidized tariff schemes and subsidized connection) and how they can be expanded to project beneficiaries. This type of project design can be complemented with activities aimed at providing adequate housing, improving tenure security, safety, and neighborhood connectivity and social services.</p> <p>*Attention needs to be paid to existing environmental conditions such as areas prone to flooding or with a high water table.</p>	<p>Case Study 14, Poland Case Study 8, Romania Case Study 10, Chile Case Study 1, Azerbaijan Project Brief 18, Hungary Project Brief 31, Slovak Republic</p>

⁴⁴This table is partially informed by Kocze, Angela, Adam Kullmann, Agota Scharle, Orsolya Szendrey, Nora Teller, and Viola Zentai. 2014. "Programming the Structural Funds for Roma Inclusion in 2014–20: Making the Most of EU Funds for Roma (MTM) program." Open Society Foundations, Budapest, Hungary. <http://www.opensocietyfoundations.org/sites/default/files/programming-structural-funds-roma-inclusion-20140422.pdf>

NEED	COMMUNITY-LEVEL INTERVENTION OPTIONS	APPLICABILITY	KEY PROJECT EXAMPLES
PHYSICAL/SPATIAL NEEDS			
<p>ACCESS TO BASIC COMMUNITY SERVICES</p> <p>Current situation: People in the community do not have access to reliable water supply, a safe excreta disposal system, reliable electricity, heating, waste collection or clean and safe public spaces.</p>	<p>Neighborhood upgrading</p>	<p>Urban neighborhood upgrading</p> <p>This involves expanding basic services to the neighborhood and is generally applicable in medium-high density neighborhoods (urban). Centralized solutions—in which existing municipal services are expanded to cover the neighborhood—are generally used. This means that project planners need to work closely with service providers. When existing neighborhood footprints become a challenge (e.g., not complying with regulations for streets/sidewalks), innovations must be implemented to adapt systems to the local context.</p> <p>Note: as expanding basic services can create affordability issues, project planners should think of payment alternatives available (subsidized tariff schemes and subsidized connection) and how they can be expanded to project beneficiaries. While many projects involve water and electricity connection subsidies, not all take into account tariff subsidies for low-income groups. This type of project design can be complemented with activities aimed at providing adequate housing, improving tenure security, safety, and neighborhood connectivity and social services.</p>	<p>Case Study 4, Honduras Case Study 7, Colombia Case Study 12, Jamaica Case Study 2, Colombia Case Study 3, Brazil</p> <p>Project Brief 8, Czech Republic Project Brief 9, Czech Republic Project Brief 21, Hungary Project Brief 17, Hungary</p>
<p>SAFE LOCATION</p> <p>Current situation: People in the community are exposed to violent environments, natural disasters or manmade hazards, and/or do not have clean and safe public spaces that can be enjoyed by all community members.</p>	<p>Public safety programs</p>	<p>Public safety programs for crime and violence prevention</p> <p>Applicable to communities with high crime rates and public safety threats (e.g., thefts, assaults, extortions, gender-based violence). International experience has shown that urban upgrading, which improves physical living conditions in poor neighborhoods, can reduce levels of crime and violence. Basic services and simple environmental design interventions such as street lighting, public telephones, CCTVs, and improved street layout can create safer urban spaces and enhance community integration. Neighborhood watches can also be established.</p> <p>These type of interventions can include: (1) community crime mapping and diagnostics, which serve as a base for crime and violence prevention interventions; (2) situational prevention interventions using CPTED principles; and (3) mediation and conflict resolution programs, which serve to build confidence among rivals and establish community codes of conducts, among others. These should be complemented by social prevention programs that address the causes of crime and violence. These can include long-term parenting skills programs and early childhood education programs, and cultural programs; job training programs with at-risk adolescents, before and after school programs, programs to prevent domestic and gender-based violence, and educational programs in conflict resolution.</p>	<p>Case Study 12, Jamaica Case Study 4, Honduras Case Study 5, South Africa</p> <p>Project Brief 9, Czech Republic Project Brief 16, Hungary Project Brief 15, Hungary Project Brief 20, Hungary Project Brief 31, Slovak Republic</p>

NEED	COMMUNITY-LEVEL INTERVENTION OPTIONS	APPLICABILITY	KEY PROJECT EXAMPLES
PHYSICAL/SPATIAL NEEDS			
<p>SAFE LOCATION</p> <p>Current situation: People in the community are exposed to violent environments, natural disasters or manmade hazards, and/or do not have clean and safe public spaces that can be enjoyed by all community members.</p>	<p>Resettlement and livelihood restoration</p>	<p>Relocation and livelihood restoration</p> <p>When communities are located in disaster-prone areas (landslides, floods, earthquakes) or areas exposed to manmade hazards (environmental) projects should aim to mitigate these risks. In many cases, risk mitigation involves relocating households to safe areas and/or transforming some of these areas to other land uses—such as linear parks—to avoid households from returning or other household from settling in.</p> <p>However, relocating communities can disrupt households' livelihoods and create income shocks that can be hard for vulnerable groups to absorb. For this reason, relocation has to be done carefully to preserve or improve livelihoods. The column to the right presents examples of relocation projects that are considered best practices. In addition, since relocation involves creating new housing solutions or making new housing solutions available, project planners can also refer to the design options mentioned above for adequate housing.</p>	<p>Case Study 2, Colombia Case Study 6, Brazil Case Study 16, Brazil Case Study 11, Argentina Project Brief 12, France Project Brief 32, Spain</p>
<p>ACCESSIBLE AND WELL CONNECTED COMMUNITIES</p> <p>Current situation: People in the community have difficulty accessing their homes (due to poor roads or pathways), reaching existing markets, employment locations, education centers, and health facilities, and/or, in urban areas, lack access to reliable public transportation at an affordable cost.</p>	<p>Improving neighborhood connectivity</p>	<p>Improving connectivity to existing markets and social services</p> <p>This type of intervention is applicable to communities having difficulty accessing their homes or reaching existing market, employment locations, and social amenities. This could be due to poor access roads or pathways, poor connection to public transportation, and/or an unreliable public transportation system. Projects rehabilitating access roads and/or improving the coverage and reliability of public transportation can be used to improve connectivity but should also take into account mobility patterns of the community to be able to respond to their specific needs. In all cases it is important to adapt transport infrastructure to existing occupation patterns and try—when possible—to avoid disrupting existing built up areas.</p>	<p>Case Study 1, Azerbaijan Case Study 4, Honduras Case Study 7, Colombia Case Study 10, Chile Case Study 6, Brazil Case Study 3, Brazil Case Study 5, South Africa Project Brief 8, Czech Republic Project Brief 18, Hungary Project Brief 21, Hungary Project Brief 31, Slovak Republic</p>

NEED	COMMUNITY-LEVEL INTERVENTION OPTIONS	APPLICABILITY	KEY PROJECT EXAMPLES
PHYSICAL/SPATIAL NEEDS			
<p>ACCESSIBLE AND WELL CONNECTED COMMUNITIES</p> <p>Current situation: People in the community have difficulty accessing their homes (due to poor roads or pathways), reaching existing markets, employment locations, education centers, and health facilities, and/or, in urban areas, lack access to reliable public transportation at an affordable cost.</p>	<p>Social infrastructure upgrading</p>	<p>Bringing markets and social services to the neighborhood</p> <p>While improving connectivity to existing markets and social amenities is important, on occasion there is a need to expand markets and social amenities to reach vulnerable communities. In the case of social amenities, this can be done either through the development of temporary (mobile health units) or permanent infrastructure, depending on population density and the frequency required for service provision.</p> <p>When the required school, health care, or other social infrastructure in the community is nonexistent, dilapidated, or too small, it can be built, rehabilitated, improved, or extended in order to provide adequate learning environment for every child in the community. In case a community is spatially segregated, neighborhood connectivity improvement (mentioned above), instead of infrastructure upgrading, may be a better option.</p> <p>Infrastructure upgrading might not be a practical option for increasing a community's accessibility to higher and lifelong education or secondary and third health care. Not every community is expected to have them inside the community, and it may be more efficient to improve neighborhood connectivity to these facilities outside the community.</p> <p>Space for providing such services can also be created as part of a multiple-purpose community center where services related to employment, health, education, child care, and other counseling and recreational activities can be jointly provided. Alternatively, equipment can be upgraded for mobile social service units. It is essential to ensure that such investments in social infrastructure and equipment are accompanied by sufficient capacity of service providers to operate it.</p>	<p>Case Study 7, Colombia</p> <p>Project Brief 16, Hungary</p> <p>Project Brief 18, Hungary</p> <p>Project Brief 15, Hungary</p>
<p>SPATIAL INTEGRATION</p> <p>Current situation: Roma communities are geographically segregated from the rest of the population, which leads to negative neighborhood effects such as the general lack of access to quality services like education and health, and constrained employment opportunities.</p>	<p>Desegregation</p>	<p>This type of intervention is applicable when there is spatial segregation at the neighborhood, settlement or microregional levels. The goal of these types of interventions is to mix deprived communities with non-deprived social groups, by diversifying neighborhoods and dispersing disadvantaged families across integrated parts of the urban fabric. Integrating disadvantaged communities can also be achieved via improved neighborhood connectivity (see above).</p>	<p>Case Study 9, U.S.</p> <p>Project Brief 10, Czech Republic</p> <p>Project Brief 32, Spain</p> <p>Rental housing in mixed-income neighborhoods</p> <p>Project Brief 6, Czech Republic</p> <p>Transitional housing (subsidized)</p> <p>Project Brief 23, Italy</p>

NEED	COMMUNITY-LEVEL INTERVENTION OPTIONS	APPLICABILITY	KEY PROJECT EXAMPLES
PHYSICAL/SPATIAL NEEDS			
<p>ADEQUATE HOUSING</p> <p>Current situation: A significant number of housing units have either overcrowding conditions, are not well insulated or ventilated, or are in dilapidated conditions and in need of major repairs.</p>	<p>Housing improvements</p>	<p>Housing improvements</p> <p>When existing housing structures are considered reparable, the location is considered safe, and the community wishes to remain in situ. Multiple design options are applicable for housing improvements with different levels of private, public, and community involvement.</p> <p>Projects with high community involvement might be more appropriate to deliver tailored housing solutions but require considerable support in the form of technical assistance. When existing housing solutions do not allow solving overcrowding problems (i.e., multifamily buildings) housing improvement options might need to be combined with the construction of additional housing solutions (see below). This type of project design can be complemented with activities aimed at improving access to basic services, improving tenure security, safety, and neighborhood connectivity.</p>	<p>Technical and financial assistance to improve or expand housing Case Study 17, Mexico Case Study 6, Brazil</p> <p>Housing improvement Project Brief 1, Bulgaria Project Brief 9, Czech Republic Project Brief 8, Czech Republic Project Brief 15, Hungary Project Brief 20, Hungary Project Brief 21, Hungary Project Brief 16, Hungary Project Brief 17, Hungary</p>
	<p>Additional housing</p>	<p>Constructing new housing units or increasing housing supply</p> <p>When there is shortage of housing supply (due to overcrowding or homelessness), or when existing housing structures are considered beyond repair and/or the location is considered unsafe, projects aimed at providing adequate housing can focus on creating new housing units. When the location is considered unsafe, new housing units need to be constructed in a safe area and households will need to be relocated.* New housing construction is possible with low or high involvement of the community. Self-built housing units allow customizing housing solutions to household preferences but require considerable support in the form of technical assistance. This type of project design can be complemented with activities aimed at improving access to basic services, improving tenure security, safety, and neighborhood connectivity.</p> <p>* Please refer to the resettlement and livelihood restoration section below for more resources on household relocation</p>	<p>Incremental housing Case Study 10, Chile</p> <p>Assisted self-construction Case Study 11, Argentina</p> <p>Municipal property management Project Brief 5, Czech Republic</p> <p>New housing construction Project Brief 3, Bulgaria Project Brief 12, France Project Brief 13, France</p> <p>Housing construction (public housing) Project Brief 4, Bulgaria</p> <p>New housing supply for Roma (rentals) Project Brief 2, Bulgaria</p>
		<p>Making existing housing units available to the community—brokering supply and demand</p> <p>When existing housing structures are considered beyond repair and/or the location is considered unsafe, projects aimed at providing adequate housing can focus on making existing housing units available to the Roma population. Projects implementing this type of option generally involve some sort of subsidy (either to buy existing housing units or in the form of rental vouchers). Project planners can build upon existing national social housing programs—when available—to provide housing units to vulnerable groups. This type of project design can be complemented with activities aimed at improving access to basic services, improving tenure security, safety, and neighborhood connectivity.</p>	<p>Subsidized rental housing Project Brief 32, Spain Case Study 9, U.S.</p> <p>Densification through social housing schemes Case Study 2, Colombia</p> <p>Increasing housing supply Project Brief 10, Czech Republic</p> <p>Additional rental housing Project Brief 6, Czech Republic</p> <p>Subsidized rentals Project Brief 23, Italy</p>

NEED	COMMUNITY-LEVEL INTERVENTION OPTIONS	APPLICABILITY	KEY PROJECT EXAMPLES
NONPHYSICAL/IMMATERIAL NEEDS			
<p>CIVIL DOCUMENTS</p> <p>Current situation: People in the community do not have necessary civil documents (such as birth certificates and residential addresses) to access social services or make formal transactions.</p>	<p>Civil registration</p>	<p>In the event a lack of civil registration, such as a birth certificate and residential address, is constraining community members' eligibility to access social services like schools, health care facilities, and credit, an intervention can be designed to facilitate and assist civil registration. If the cost of registration is an impediment, the intervention can also be designed to subsidize the costs.</p>	<p>Case Study 12, Jamaica</p>
<p>TENURE SECURITY</p> <p>Current situation: People in the community do not have property and/or land rights protecting them from arbitrary unlawful evictions.</p>	<p>Land regularization/titling registration schemes</p>	<p>Land regularization/titling registration schemes</p> <p>Applicable in both rural and urban areas for communities having insecure tenure. Land regularization interventions vary considerably depending on local regulations but generally include (1) inventories of land ownership; and (2) a titling program.</p> <p>Inventories of land ownership generally involve cadastral audits that enable government agencies and partners to quantify the exact number of parcels eligible for titling and assess the requirements for transferring ownership of public lands. Key activities can include: development of information campaigns and mechanisms for public consultation, formal verification of field, legal and administrative procedures for transfer, and extensive public communication to ensure benefits and costs of titling are well understood.</p> <p>Titling programs typically involve four key activities: completion of land surveys, completion of register and cadaster searches, verification of occupancy information, and provision of technical assistance to eligible beneficiaries. When dealing with vulnerable communities, projects need to identify mechanisms to surpass existing barriers (lack of personal identification documents, illiteracy) to access property titles or regularize land.</p>	<p>Case Study 13, Romania Case Study 2, Colombia</p> <p>Project Brief 21, Hungary Project Brief 29, Slovak Republic</p>

NEED	COMMUNITY-LEVEL INTERVENTION OPTIONS	APPLICABILITY	KEY PROJECT EXAMPLES
NONPHYSICAL/IMMATERIAL NEEDS			
<p>CAPACITY OF SOCIAL SERVICE PROVIDERS AND EQUAL TREATMENT</p> <p>Current situation:</p> <p>There is an insufficient number of social service providers (e.g., teachers, health care professionals), who have been trained to adequately provide services in a suitable manner in the context of disadvantaged groups, including Roma. As a result, disadvantaged groups are not treated equally by social service providers.</p>	<p>Social service provider training</p>	<p>Teacher training</p> <p>Working with children from disadvantaged sociocultural backgrounds requires a higher level of pedagogical preparation and knowledge of inclusive teaching methods. In order to increase the quality of teaching in a disadvantaged community, supplemental teacher training can be provided in the areas of interactive didactics, intercultural education, inclusive education, friendly school approaches and practices, and on Roma history, language, and culture.</p> <p>Health care provider training</p> <p>In the area of health, supplemental training can offered to health care providers to increase their knowledge, respect, and understanding of Roma health patients. Courses on diversity and sensitivity to minorities, as well as practical training, can be given to promote respect for Roma minorities.</p>	<p>Case Study 4, Honduras Case Study 8, Romania Project Brief 16, Hungary</p>
	<p>Roma Mediators</p>	<p>School mediators</p> <p>School mediators are effective in closing the communication gap between schools and Roma communities, and in bridging the relationship between the two actors. School mediators can play an important role in decreasing the number of school dropout and nonenrollment cases, improving school attainment and academic performance of Roma students, reducing absenteeism among students, combating the segregation of Roma students in classes and contributing to the desegregation of schools, improving the attitude of teachers towards the Roma, and promoting the overall development of the Roma communities outside their role in the field of education.</p> <p>In deploying school mediators, it is important to avoid relegating all activities related to Roma issues to them, which leads to a deeper disengagement of teachers from the Roma communities they serve.</p> <p>Health mediators</p> <p>Roma health mediators serve as a bridge between Roma communities and health care providers. For example, local health mediators can contribute to changing social norms that have discouraged the uptake of health services by addressing the social stigma associated with accessing counseling services, reproductive health services, or testing for sexually transmitted infections. Health mediators can also enhance the knowledge and attitudes of health care providers and help reduce discriminatory behaviors and the use of abusive language. They can help physicians better understand Roma and enhance their ability to provide care through more effective interactions with patients.</p>	<p>Roma mediators Project Brief 23, Italy</p>

Options for Potential, Place-Based Interventions that Can be Applied at the Community Level

NEED	COMMUNITY-LEVEL INTERVENTION OPTIONS	APPLICABILITY	KEY PROJECT EXAMPLES
<p>NONPHYSICAL/IMMATERIAL NEEDS (Continued from previous page)</p>			
<p>CAPACITY OF SOCIAL SERVICE PROVIDERS AND EQUAL TREATMENT</p> <p>Current situation:</p> <p>There is an insufficient number of social service providers (e.g., teachers, health care professionals), who have been trained to adequately provide services in a suitable manner in the context of disadvantaged groups, including Roma. As a result, disadvantaged groups are not treated equally by social service providers.</p>	<p>Community social workers</p>	<p>Community social workers</p> <p>Disadvantaged communities can benefit from on-the-ground presence of community social workers that actively interact with community members and monitor their needs and issues on a day-to-day basis. Community social workers, especially when permanently based in a community, can serve as an open channel of communication between the community members, service providers, and local project planners. They can help enhance the provision of services and relevance of interventions by facilitating the identification of needs, while also gathering the most current information on the conditions of existing infrastructure, services, and development opportunities. Continued and direct communication with community members, including local NGOs and government representatives, is also essential to monitoring project implementation, keeping track of project priorities and results, and introducing course-correction as necessary. When community social workers come from the communities they serve, not only does it facilitate the reflection of the knowledge and the context of the communities, but also enhances partnerships and communication through trusted relationships with community members they have built over the years. It is important to make sure that the community social workers have undergone required training.</p>	<p>Community social workers Case Study 3, Brazil</p>
	<p>Education support (including extracurricular activities)</p>	<p>In collaboration with schools, communities can introduce additional activities or learning materials to make the learning experiences of Roma children more culturally relevant and meaningful to their family and community life. Additional activities and materials could include afterschool assistance to help children complete homework or catch up with afterschool recreation activities like sports, music, and arts, through which social and life skills can be nurtured. Learning materials can also be introduced to help enhance appreciation of Roma culture and identity.</p>	<p>Case Study 8, Romania Project Brief 23, Italy Project Brief 4, Bulgaria</p>
	<p>Public employment</p>	<p>When a local project involves the creation of new jobs for operation or the maintenance of social services or infrastructure it aims to improve, people from the local community can be simultaneously trained and hired to fill the new job openings. Besides creating additional jobs for Roma, this can improve the interaction and quality of services provided to Roma communities.</p>	<p>Case Study 2, Colombia Case Study 14, Poland Case Study 1, Azerbaijan Case Study 3, Brazil Project Brief 21, Hungary Project Brief 29, Slovak Republic</p>

Options for Potential, Place-Based Interventions that Can be Applied at the Community Level

NEED	COMMUNITY-LEVEL INTERVENTION OPTIONS	APPLICABILITY	KEY PROJECT EXAMPLES
NONPHYSICAL/IMMATERIAL NEEDS			
<p>SKILLS, INFORMATION, AWARENESS, AND CAPACITY OF COMMUNITY MEMBERS</p> <p>Current situation: People are not accessing certain social services because they do not have sufficient awareness and information about the value and availability of the services. People do not have the skills, knowledge, or capacity to access markets and opportunities.</p>	<p>Training schemes (skills enhancement programs)</p>	<p>Training can be provided to increase the (cognitive and noncognitive) skills and employability of the unemployed. Life skills curriculum on motivation (self-esteem, interpersonal relations, life fulfillment), life at work, social skills, and job search can also be included in the skills enhancements programs (such as TVET) to increase the employability of the unemployed. It can be complemented by mentorships, internships/apprenticeship, or job trial opportunities to provide them with some work experience.</p> <p>Training and technical assistance can also be provided to increase both the skills and knowledge of entrepreneurs to create and run businesses (such as in obtaining licenses, accounting, marketing).</p>	<p>Case Study 4, Honduras Case Study 11, Argentina Case Study 7, Colombia Case Study 2, Colombia Case Study 15, Dominican Republic Case Study 17, Mexico Case Study 14, Poland Case Study 16, Brazil Case Study 1, Azerbaijan Case Study 3, Brazil</p> <p>Project Brief 1, Bulgaria Project Brief 2, Bulgaria Project Brief 3, Bulgaria Project Brief 15, Hungary Project Brief 18, Hungary Project Brief 29, Slovak Republic</p>
	<p>Employment services (job search assistance)</p>	<p>Comprehensive local employment services, including employment counseling, mentoring, and job search assistance can be provided to job seekers, who may not have adequate information, networks, or job search skills to find jobs. It can help improve the job search effort of job seekers by providing information on vacancies and by assisting them with the preparation of job applications (e.g., curriculum vitae and interviews).</p> <p>Given that discrimination is often a barrier to employment prospects, the employment service can also serve as a liaison between employers and prospective Roma employees by reaching out to both the potential employers and the local Roma community, so that information about employment opportunities and potential employees reach both employers and Roma job seekers.</p>	<p>Case Study 4, Honduras Case Study 15, Dominican Republic Case Study 5, South Africa</p> <p>Project Brief 12, France Project Brief 6, Czech Republic Project Brief 18, Hungary Project Brief 3, Bulgaria Project Brief 32, Spain Project Brief 15, Hungary</p>

NEED	COMMUNITY-LEVEL INTERVENTION OPTIONS	APPLICABILITY	KEY PROJECT EXAMPLES
NONPHYSICAL/IMMATERIAL NEEDS			
<i>(Continued from previous page)</i>			
<p>SKILLS, INFORMATION, AWARENESS, AND CAPACITY OF COMMUNITY MEMBERS</p> <p>Current situation: People are not accessing certain social services because they do not have sufficient awareness and information about the value and availability of the services. People do not have the skills, knowledge, or capacity to access markets and opportunities.</p>	<p>Parental involvement promotion</p>	<p>Higher student performance is associated with the involvement of parents in their daily activities. The support of parents in the first years of childhood development (preschool and primary education) has a significant impact on children's future opportunities. Various initiatives can be undertaken to increase parents' involvement such as parent school, counseling, or direct assistance with different school activities. Parenting education can be provided with a high emphasis on parent-child communication. Parents can also be engaged through parent support groups, creation of opportunity for Roma parents to participate in daily school activities (they may be engaged in supporting the teacher in preparing activities, or supervising children during activities), or educational activities for children led by parents. In neighborhoods where the coverage of preschool service is insufficient, Roma mothers, besides professional teachers, can also be recruited and trained to develop learning activities with children below the age of 6.</p>	<p>Case Study 8, Romania</p> <p>Project Brief 1, Bulgaria Project Brief 2, Bulgaria Project Brief 3, Bulgaria Project Brief 23, Italy Project Brief 4, Bulgaria</p>
	<p>Awareness raising and life skills education</p>	<p>Awareness-raising events or materials can be prepared to inform Roma about healthy lifestyles, risky behaviors, and the importance of accessing health care services, such as prenatal check-ups and vaccinations. Such information can be provided as part of a broader life skills education.</p> <p>The health mediators mentioned above can also be mobilized to effectively communicate with Roma and increase their awareness and knowledge related to healthy lifestyle and health care.</p>	<p>Case Study 13, Romania Case Study 12, Jamaica Case Study 15, Dominican Republic Case Study 8, Romania</p> <p>Project Brief 6, Czech Republic Project Brief 3, Bulgaria Project Brief 32, Spain Project Brief 20, Hungary</p>
<p>INCOME:</p> <p>Current situation: People are unable to improve housing, start a business, access education, or receive health care, due to lack of income/savings.</p>	<p>Micro-finance</p>	<p>A scheme can be developed to provide small loans to help homeowners improve their housing or local small businesses to make start-up investments (e.g., facility, equipment, raw materials, and other inputs).</p>	<p>Case Study 17, Mexico Case Study 11, Argentina Project Brief 2, Bulgaria</p>
	<p>Scholarships</p>	<p>Scholarship programs can be established at a local level for secondary and tertiary education. These can be provided on the hybrid, means-tested (needs-based) and merit-based method for vulnerable/disadvantaged who meet certain performance standards. For tertiary education, scholarships can cover tuition and/or allowances for living expenses.</p>	
	<p>Employment services, public employment, and skills enhancement programs</p>	<p>Aforementioned employment services, public employment, and skills enhancement programs can also increase the income of targeted vulnerable groups in the communities.</p>	<p>See above.</p>

Diagnostic Tool for Assessing Project Sustainability

I. Purpose

This diagnostic tool aims to help project planners identify potential risks that might affect the sustainability of their project impacts, and to plan activities to address the risks in order to enhance the sustainability of project impacts.

II. Context

The impacts or results of a project should not dissipate with its completion or end of national and EU funding. Often times, projects are designed without sufficient consideration of the operational arrangements and recurrent (operation and maintenance) costs beyond the life of the project, and thus results cannot be sustained. Projects need to be designed with a realistic exit strategy and activities that address the root causes of the issues. Without an exit strategy, local communities will become dependent on the project (and financing), and risk losing the gains achieved once the project ends. In addition, the design of any project must be accompanied by the question, "If we build it, will they come?" Addressing root causes means not only improving the quality and coverage of infrastructure and services, but also removing demand-side (users') constraints to accessing them. Demand-side bottlenecks, such as those related to users' awareness, affordability, capacity constraints, opportunity costs, social norms, and risks (safety, dignity, reputational, and so on) need to be assessed and addressed. Many disadvantaged Roma communities are highly impoverished, and merely providing new infrastructure or services will not necessarily result in their utilization. If people are not aware of a service's benefits, or if it is too costly to access, they will not be able to utilize it. Moreover, even when a service itself is provided free of charge, people may decide not to access it if the transactions or opportunity costs (e.g., transport, lost time for income generation and family care) are considered too high. Fear of being mistreated by service providers or associated exposure to humiliation could also discourage them from accessing a service.

III. Applicability

This diagnostic tool is generally applicable to local-level, place-based projects aimed at improving the living conditions of disadvantaged groups. It is intended for use during the project preparation phase to inform the design of the project.

IV. Tool

The following table helps project planners assess potential sustainability risks of their projects in preparation. The project planner can simply review the status of the project against the list of questions provided in the table, which will help identify the existence of risks pertinent to the project. For each type of risk, the table provides options of potential risk-mediation activities that can be included as part of the project (these are just examples of available options, which should be considered on a nonprescription basis, and project planners should feel free to introduce other alternative options that they think better address the risks). The table also steers planners to the relevant tools included in this handbook that helps them design and implement the activities. Community social workers can play a key role both in applying this diagnostic tool and in implementing many of the potential risk-mediation activities presented, through active consultation and communication with community members.

Diagnostic Tool for Assessing Project Sustainability

Risk Type	Questions	Answer	Nature of Risk	Approach to Addressing the Risk	Potential Risk-Mediation Activities that Can be Incorporated in the Project	Relevant Tools in the Handbook	Key Examples
Lack of Awareness	1	<p>Is the target population aware of the benefits of accessing the activities, services, or facilities to be provided by the project? Do target people know how the activities, services, or facilities could help them?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	If the answer is no, the project risks being underutilized by the target population. Even if the project succeeds in providing facilities and services available to the target population, the population might end up not using them.	Raise awareness of the benefits of accessing particular services, facilities, or practicing certain activities.	<p>(a) public awareness campaigns</p> <p>(b) outreach activities by (community) social workers and mediators</p>	<p>Good Practice Note 1: Engaging Local Communities</p>	<p>Public awareness campaigns Project Brief 2, Bulgaria Project Brief 9, Czech Republic Project Brief 36, UK</p> <p>Outreach activities Project Brief 3, Bulgaria Project Brief 7, Czech Republic Project Brief 9, Czech Republic</p> <p>Public consultations Project Brief 35, UK</p> <p>Community social workers Case Study 3, Brazil</p>
	2	<p>Is the target population aware of the project? Have they been informed of and understand the activities to be implemented?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	If the answer is no, the project risks not reaching the target population. If they do not know about it, they cannot access it. It also risks lacking their support and confidence. The target population might even oppose or disrupt the implementation of activities out of suspicion or misunderstanding.	Raise awareness about the project (activities, purposes, location, timing, costs, social and environmental implications) early in the project cycle and promote locals' participation in the project through consultations.	<p>(a) public awareness campaigns</p> <p>(b) public consultations (including through community social workers)</p>		<p>Public consultations Project Brief 35, UK</p>
	3	<p>Are other, nontarget populations (e.g., non-Roma) in the project area aware of the project? Have they been informed of and understand the activities to be implemented?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	If the answer is no, the project risks disruption or resistance by the nontarget population, who may not find the project beneficial or valuable to them.	Raise awareness about the project (activities, purposes, location, timing, costs, social and environmental implications) early in the project cycle and promote community participation.	<p>(a) public awareness campaigns</p> <p>(b) public consultations (including through community social workers)</p>		<p>Community social workers Case Study 3, Brazil</p>
Low Affordability	4	<p>Is the target population likely able to pay for the services or facilities provided by the project?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	If the answer is no, the target population will not be able to access the services or facilities and cannot benefit from the project. If the operators cannot collect sufficient user fees, the operation of the service or facility may become economically unsustainable.	Increase local population's ability to pay for services and infrastructure by reducing the costs of initial investments, operation and maintenance, and by helping to increase the population's income.	<p>(a) involvement of local workforce in project activities, such as in infrastructure upgrading, which not only creates temporary job opportunities but also develops skills for future employment</p> <p>(b) training the local target population to be hired to operate and manage the service/facility in the future</p> <p>(c) employment and income generation interventions, such as vocational training, job search assistance, apprenticeship facilitation, and second chance education.</p> <p>(d) assistance to accessing eligible social benefits</p>	N/A	<p>Project Brief 3, Bulgaria Project Brief 4, Bulgaria Project Brief 31, Slovak Republic</p> <p>Project Brief 19, Hungary Project Brief 21, Hungary</p> <p>Project Brief 6, Czech Republic Project Brief 12, France Project Brief 18, Hungary Project Brief 32, Spain</p> <p>Case Study 12, Jamaica</p>

Diagnostic Tool for Assessing Project Sustainability

Risk Type	Questions	Answer	Nature of Risk	Approach to Addressing the Risk	Potential Risk-Mediation Activities that Can be Incorporated in the Project	Relevant Tools in the Handbook	Key Examples
Inadequate Organizational Capacity and Lack of Participation	<p>5</p> <p>If the facility or service provided by the project will be accessed by a group collectively, or need to be managed collectively (e.g., through a water users' association or neighbors' association), does the community have sufficient organizational capacity to perform necessary actions collectively?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> n/a</p>		<p>If the answer is no, the target population will not be able to coordinate the use of the service or facility, which could end up unequally benefitting certain users, at the expense of others. It will also be difficult for them to make collective decisions or demands. If the beneficiaries will be required to operate or maintain the service or facility on their own, the service system or facility will risk breaking down without adequate administrative and management capacities.</p>	<p>Increase the capacity of the local population to collectively manage and sustain project results (services or facilities). Facilitate the engagement of the population in project activities, which will increase their ownership of and demand for service providers' accountability. The increased engagement of parents in school activities through parents' associations, for example, can both increase the educational performance of their children and serve to empower parents to take part in community life. Social workers and mediators can also take a big role in helping the local community voice their demands.</p>	<p>(a) technical assistance for forming and running service users' associations/committees (e.g., provide legal support to establish an association or a committee)</p> <p>(b) facilitation support for formation of associations (with moderators/animators/mediators/social workers who help organize meetings and make decisions)</p> <p>(c) training users' associations or committees (e.g., training on accounting, basic financial literacy, decision-making procedures)</p>	<p>Practice and Advisory Note to Help Local Communities Develop and Implement Projects (Module 2)</p>	<p>Case Study 1, Azerbaijan Case Study 14, Poland Project Brief 35, UK</p>
							<p>Case Study 1, Azerbaijan Case Study 14, Poland Project Brief 26, Romania</p>
							<p>Case Study 1, Azerbaijan Case Study 14, Poland Project Brief 23, Italy</p>
High Transactions and Opportunity Costs	<p>6</p> <p>Will the target population be able to safely reach the facility or service at a time and cost convenient to them? Will they feel safe?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>		<p>If the answer is no, the project risks not reaching the target population. If they cannot physically reach the service or facility, or if they feel it is not safe to get there, the uptake of the service or facility will be hampered.</p>	<p>Increase the accessibility of the service or facility</p>	<p>(a) providing affordable transportation (e.g., buses) to access the service or facility</p> <p>(b) providing mobile services (bringing services closer to families, such as mobile clinics)</p> <p>(c) introducing public safety measures (e.g., street lights at night, community patrols, CCTV cameras)</p>	<p>N/A</p>	<p>Case Study 7, Colombia Project Brief 15, Hungary Project Brief 19, Hungary</p>
							<p>Project Brief 3, Bulgaria Project Brief 22, Italy</p>
							<p>Case Study 4, Honduras Case Study 5, South Africa Project Brief 34, Spain</p>
High Transactions and Opportunity Costs	<p>7</p> <p>Will the target population have the time to access the facility or service that will be provided by the project? Do target populations need to sacrifice their income generation or livelihood activities to access the service or facility? Will the services be available during the time of the year/week/day convenient for the target population?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>		<p>If the answer is no, the target population might prioritize other more urgent and critical activities to their survival needs and decide not to use the facility or service.</p>	<p>Make the service/facility available within a timeframe convenient to the target population.</p>	<p>(a) adjusting operational hours to meet the life patterns of the target population (extended hours or service)</p> <p>(b) clustering services to reduce the combined time required in accessing services (e.g., combining early childhood education with vocational training/lifelong education for parents so that the parents can receive training while their children receive early childhood education)</p>	<p>N/A</p>	<p>Project Brief 16, Hungary</p>
							<p>Project Brief 19, Hungary</p>

Diagnostic Tool for Assessing Project Sustainability

Risk Type	Questions	Answer	Nature of Risk	Approach to Addressing the Risk	Potential Risk-Mediation Activities that Can be Incorporated in the Project	Relevant Tools in the Handbook	Key Examples
High Transactions and Opportunity Costs 8	<p>Will the target population feel comfortable accessing the service or facility? Will their dignity and reputation be protected? (Mistreatment by service providers is a common reason for avoidance of some social services by Roma.)</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>		If the answer is no, the target population might fear accessing the service or the facility and decide not to access it.	Enhance the cultural sensitivity of service providers.	<p>(a) cultural competency training for social service providers (e.g., teachers, health care providers, police officers)</p> <p>(b) deploying social workers and mediators</p>	N/A	<p>Project Brief 16, Hungary Project Brief 22, Italy Project Brief 23, Italy Project Brief 32, Spain</p> <p>Case Study 3, Brazil Project Brief 2, Bulgaria Project Brief 33, Spain</p>
Lack of Civil Documentation 9	<p>Does the target population have the necessary civil documents (e.g., personal IDs, certifications of formal residence and property rights) to be eligible for accessing the services, facilities, or properties provided by the project?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>		Lack of civil documents often hampers access to basic social services like education, waste collection, water, or social assistance programs, even when the services are physically available.	Facilitate the registration of personal IDs and property rights by targeted groups to ensure that investments benefit them, especially in informal settings.	(a) proactive support for issuance of personal IDs and property rights (e.g., certification of possession rights, when formal ownership rights are not applicable) cameras)	<p>Good Practice Note 4: Formalizing Real Property Rights</p>	<p>Case Study 13, Romania Case Study 12, Jamaica Project Brief 12, France Project Brief 13, France Project Brief 21, Hungary Project Brief 29, Slovak Republic</p>
Intergroup grievances and mistrusts 10	<p>Do beneficiaries of the project belong to a homogenous group without a history of grievances or mistrust between groups? (Roma and non-Roma residents often do not interact regularly and mistrust runs between the groups.)</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>		Historic grievances or mistrust between the Roma and non-Roma might hinder the community from collectively or efficiently benefiting from a project.	Foster reconciliation, mutual understanding, trust, and adaptation/tolerance to diversity.	<p>(a) incorporating collaborative activities, such as those that require sharing responsibilities in maintaining a community facility.</p> <p>(b) organizing recreational activities and campaigns against discrimination.</p>	N/A	<p>Project Brief 2, Bulgaria Project Brief 24, Romania</p> <p>Project Brief 15, Hungary Project Brief 17, Hungary</p>

Good Practice Notes

Good Practice Note 1: Engaging Local Communities

KEY MESSAGES

- ▶ Engaging local communities through consultations and grievance redress mechanisms (GRMs) can significantly improve development results.
- ▶ Consultations with local communities are vital to ensuring the development of well-informed projects that have good chances of being supported and implemented. They also encourage ownership in the community.
- ▶ During project implementation it is crucial to retain feedback channels with the local community or project beneficiary group. Establishing an effective GRM can ensure this ongoing feedback and project improvement loop between project implementation bodies and targeted local communities.

I. Purpose

This note aims to showcase some good practices of community engagement for ensuring strong Roma citizen involvement throughout the project cycle. It presents (1) consultation methods with intended Roma project beneficiaries and other stakeholders; and (2) step-by-step guidance for establishing an effective grievance redress mechanism (GRM).

II. Context

Citizen engagement (including consultations, beneficiary feedback, and GRMs) can improve projects' effectiveness. Successful citizen engagement in projects (1) enhances the targeting and design of development interventions; (2) increases the accountability and performance of project implementers (decreases risk of

project-related fraud and corruption); and (3) increases awareness and demand among community members to benefit from the project properly; by prompting beneficiaries to share their views and information, and by creating ownership over the project. Local community members' participation is essential to the success of integrated interventions because they know what is needed, why it is needed, what the bottlenecks are, what can be done, what is affordable and can be maintained, and what opportunities exist. Participation increases the ownership and relevance of projects by identifying stakeholders' priorities and their ability to maintain/operate. It also contributes to the social inclusion of disadvantaged Roma communities through empowerment. Participation of non-Roma communities is also critical to avoid stigmatizing Roma, to foster interaction and cooperation between Roma and non-Roma on the basis of mutual interest, and to gain non-Roma's support of the project.

III. Applicability

Project managers should engage local community members in both the preparation and implementation of projects. The good practices presented in this note can be applied to a wide range of stakeholders from the community, including both direct and indirect project beneficiaries, as well as others who would be affected by or interested in the project.

IV. Good Practices

1. Community consultation

The main goal of a consultation process is to identify and clarify interests at stake, with the ultimate aim of developing a well-informed strategy or project that has a good chance of being supported and implemented by the intended beneficiary target group. Community consultation is effective for seeking information, advice, and opinions from the community during the project preparation phase or in situations where certain specific information related to a project is needed. Consultations should also be considered as an occasion to share available information with stakeholders.

Consultation processes can be carried out in various formats depending on the intended target group. It is often beneficial, from the perspective of achieving a successful project development and design, to employ several consultation methods when engaging with different stakeholders such as the targeted project beneficiaries, experts on issues related to the project, and civil society and private sector partners that will be affected by project activities. Budget and time constraints can limit the options available and should be considered early on to enable the optimal use of resources for the consultation process. The following are some consultation methods and formats that can be applied at different stages of a project cycle.

Consultation Methods

Format/Method	Description	Target Group
Public feedback	A call for written comments related to the project can be made to the public. This community consultation method should have a well-defined and reasonable time period for receiving comments. A method for submitting comments, such as via email, social media, letters, or phone, should be clearly communicated and designed to ensure easy accessibility. Synthesis of the comments and responses should be made public, for example, by being posted weekly or biweekly in local and target group-accessible media and on well-known websites.	Intended Roma project beneficiaries and, when suitable, other project stakeholders such as neighboring (non-Roma) communities and local authorities.
Interviews with multiple sources	Interviews can be conducted by phone or face-to-face to gather a sense of stakeholders' perceptions on issues relevant to the project.	Key informants or leaders in Roma civil society.
Project workshops	A meeting or series of meetings organized for discussions on particular topics relevant to the planned or ongoing project. Workshops can be designed in multiple ways depending on the specific, desired outcome, such as brainstorming around a particular issue, analyzing past challenges and achievements related to project activities, envisioning a future scenario, or enhancing understanding of project activities and expected project outcomes.	Intended project beneficiaries and, when suitable, other project stakeholders such as neighboring (non-Roma) communities and local authorities.
Community gathering/town hall meeting	A large forum or community meeting is helpful for sharing information with a large community group in a transparent manner. The method needs careful preparation to keep the discussion focused on the intended project related issue. A well-designed and clearly communicated process is necessary to ensure that each participant has the opportunity to comment during the consultation.	The public and intended Roma project beneficiaries and other stakeholders, such as neighboring (non-Roma) communities and local authorities.
E-discussions	Web-based discussions can complement other consultation methods. They may be held through email lists, blogs, or on a website on which comments in a specific document are posted. The advantages are lower costs and the potential ability to reach a larger audience. The disadvantage is potential limited Internet access and literacy of the target group. Thus, electronic means are best used as a tool to complement other consultation methods.	The public and intended Roma project beneficiaries, other stakeholders and/or experts.
Open communication through community social workers	Having a permanent, on-the-ground presence of community social workers can facilitate daily communication between community members, social service providers, local authorities, and project actors. They can gather the most current information on the conditions of existing infrastructure, services, and development opportunities through active and constant dialogue with the community members.	The public and intended Roma project beneficiaries and other stakeholders, such as neighboring (non-Roma) communities and local authorities.

2. Grievance Redress Mechanism

During project implementation, it is crucial to retain feedback channels with the members of the local community. This can be achieved through the establishment of an effective GRM, an integral part of the project. A well-designed and implemented GRM can help project implementers enhance project efficiency by (1) generating public awareness about the project and its objectives; (2) deterring fraud and corruption; (3) mitigating project-related risks; (4) providing project staff with practical suggestions or feedback to allow them to be more accountable, transparent, and responsive to beneficiaries; (5) assessing the effectiveness of internal organizational processes; and (6) increasing stakeholder involvement in the projects.

Six core GRM principles that can be adapted to specific projects include:

- (a) **Fairness** - grievances are treated confidentially, assessed impartially, and handled transparently.
- (b) **Objectivity and independence** - the GRM operates independently of all interested parties in order to guarantee fair, objective, and impartial treatment.
- (c) **Simplicity and accessibility** - procedures to file grievances and seek action should be simple enough that project beneficiaries can easily understand them. The GRM should be accessible to all stakeholders, irrespective of the remoteness of the area in which they live, the language they speak, and their level of education and income.
- (d) **Responsiveness and efficiency** - the GRM should be designed to be responsive to the needs of all complaints. Accordingly, staff that handle grievances should be trained to take quick and effective action upon grievances and suggestions.
- (e) **Speed and proportionality** - all grievances, simple or complex, should be addressed and resolved as quickly as possible. The action taken on the grievance or suggestion should be swift, decisive, and correct.
- (f) **Participatory and social inclusion** - all stakeholders, including the media, should be encouraged to bring grievances and comments to the attention of project authorities. Special attention should be paid to making sure that poor people and marginalized groups are able to access the GRM.

The fundamental steps for creating an effective GRM include:

Step	Action	Description
Step 1	Survey and adapt existing GRMs	Most countries have formal governmental grievance redress systems that define responsibilities for grievance redress and resolution of conflicts between citizens and local authorities. Whenever possible, project implementers should build the project GRM on these existing GRMs.
Step 2	Estimate the volume of users and assess necessary resources for GRM	It is important to estimate how many people are likely to use the project GRM, in order to assess the resources—human, financial, and technological—that need to be incorporated in the project design and budget.
Step 3	Develop standard operating procedures and flowcharts that codify how grievances will be redressed during the project	An effective GRM, at a minimum, consists of a description of procedures established to redress possible future grievances caused by a project. Flowcharts are an effective way of illustrating how the grievance redress process will unfold within the project's operating structures (an example sample of GRM procedures is found below).
Step 4	Develop and publicize the GRM principles	The key to the overall success of GRMs is organizational commitment. The commitment can be made by declaring that the project implementers embrace grievances as opportunities for improvement, and by publicizing the project's GRM policy. An effective policy typically identifies a set of guidance principles, defines the scope and types of grievances to be addressed, describes performance standards, and spells out internal and external GRMs.
Step 5	Assign grievance redress responsibilities and train staff to handle grievances	Project implementers need to be equipped with sufficient capacity to implement the GRM. As needed, projects can include activities to train staff, and target community members if applicable, on how to handle grievances and why the GRM is important to the project success. Project beneficiaries can also be trained to undertake grievance redress activities themselves before the project's start or during early implementation.
Step 6	Stimulate external demand for GRM through communication	Even the best-designed GRM cannot function effectively unless project beneficiaries know of it and are aware of how it functions. Therefore, it is important to prepare communication materials about a GRM, its procedures, the levels/officers to which different types of grievances should be addressed, operating service standards, and other relevant information. At a minimum, the grievance redress procedures and the contact number(s)/email address(es) for reporting complaints need to be visibly posted. This information needs to be made easily accessible to the public at a visible and convenient location at no cost to them, and throughout the entire duration of the project. It is also important to ensure that the information reaches the most vulnerable project beneficiaries.

GRM Procedures Example

A proposed grievance redress procedure should be presented to and discussed with community members during project preparation. The GRM may be used by any persons affected by the project. At any point, the affected person is entitled to go to court to resolve the grievance.

Procedures:

1. As soon as the project plan becomes clear, community members will be given clear and reliable information about the project, its impacts, and the proposed strategies for mitigating negative impacts. This information will be made easily accessible to the public at a visible and convenient location at no cost to community members and throughout the entire duration of the project. At the project sites, the grievance redress procedures and contact number(s)/email address(es) for reporting complaints will be visibly posted.
2. At any stage of the process, project-affected persons can complain directly to the designated staff of the project-implementing unit. A designated phone number, email address, postal address, as well as a complaint box will be made available to the public for this purpose.
3. The project-implementing unit will make every effort to achieve an amicable settlement of all complaints/grievances pertaining to the project, within three days of receiving the complaint.
4. If this attempt fails, the project-implementing unit will convene a Grievance Redress Committee consisting of (a) staff from the project-implementing unit (for example, local authorities, civil society organizations); (b) contractors/service providers hired by the project to execute project activities; and (c) representatives from the community to hear the case and provide a response within two weeks of receiving the complaint.
5. If the case is not resolved at the level of the Grievance Redress Committee, it may be submitted by either party to the national-level authority (such as MA) or to a court.

V. Additional Resources

For further guidance and specific tools related to public consultations and development of effective GRMs implemented by the World Bank, consult the following literature:

Post, David, and Sanjay Agarwal. "How-To Notes—Feedback Matters: Designing Effective Grievance Redress Mechanisms for Bank-Financed Projects. Part 1: The Theory of Grievance Redress." World Bank, Washington, DC. http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2012/06/01/000426104_20120601162556/Rendered/PDF/692060ESWOP1250EffectiveOGovernance.pdf

Post, David, and Sanjay Agarwal. "How-To Notes—Feedback Matters: Designing Effective Grievance Redress Mechanisms for Bank-Financed Projects. Part 2: The Practice of Grievance Redress." World Bank, Washington, DC. http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2012/06/01/000426104_20120601163112/Rendered/PDF/692060ESWOP1250EffectiveOGovernance.pdf

World Bank. 2007. "Consultations with Civil Society: A Sourcebook." World Bank, Washington, DC. http://siteresources.worldbank.org/CSO/Resources/ConsultationsSourcebook_Feb2007.pdf

World Bank. 2014. "Community Driven Development (CDD) Toolkit: Governance and Accountability Dimensions." World Bank, Washington, DC. http://siteresources.worldbank.org/EXTCDD/Resources/430160-1398173497625/9544668-1398174764462/Sec1_Community_Level_Tools.pdf

Good Practice Note 2: Planning Resettlement

KEY MESSAGES

- ▶ Consider whether resettlement (not to be confused with spatial desegregation) is really needed, and explore alternative project designs and options that could avoid or minimize resettlement and that could equally or more effectively achieve project objectives.
- ▶ If resettlement is necessary, introduce measures to mitigate its negative social impacts and ensure that affected people improve, or at least restore, their living conditions and have access to adequate housing with security of tenure.
- ▶ Land acquisition and resettlement, if not properly managed and documented, can lead to loss of assets, disruption of livelihoods, loss of income, loss of social support networks, social tension, project delays, and costs overruns.
- ▶ Always fully compensate affected people for lost assets before taking the land and before any physical displacement and/or loss of assets occurs.
- ▶ If resettlement is necessary, approach it as an opportunity to improve affected people's economic and social well-being, and explore options to increase resettlement benefits, including spatial desegregation.
- ▶ Consult and involve affected people in the planning, implementation, and monitoring of resettlement processes to ensure that the mitigation of adverse effects as well as the benefits of resettlement are appropriate and sustainable.

I. Purpose

This note aims to help project planners and implementing bodies take effective action and create procedures to mitigate negative social and economic impacts and increase positive benefits of resettlement on affected people when a project involves relocation.

II. Context

Projects that aim to improve the living conditions of Roma, including those that do not necessarily pursue desegregation, often entail resettlement—moving people from their current locations. For example, projects

that aim to prevent the impact of natural disasters or other hazardous risks often require resettlement. Resettlement needs to be planned and executed carefully. Interventions should avoid resettling people into an area where they could be further concentrated or segregated; also, vulnerable groups have different preferences as to where and how they want to be resettled. While many Roma families prefer to live in mixed neighborhoods, there are also Roma families that do not feel comfortable living next to non-Roma neighbors in the immediate future, partially out of fear of being mistreated by the latter. Therefore, careful planning and adequate social work is needed to help both Roma families and non-Roma neighbors prepare for and adjust to the change. If inappropriately planned or executed, resettlement could trigger social, economic, and cultural adversities worse than those it is intended to prevent. For example, relocation could disrupt Roma livelihoods by impeding their access to existing social networks and sources of income. Such potentially negative consequences diminish the project's developmental impact. Conversely, proper resettlement planning can enhance developmental impact; approach resettlement as an opportunity to improve the economic and social well-being of affected people.

For these reasons, it is important to assess whether resettlement is really needed. For example, if the purpose of the project is to improve people's accessibility to basic services, depending on the context of the location, bringing in services or improving people's connectivity, such as public transportation, might be more cost-effective and feasible than moving people into a new neighborhood. If resettlement is truly needed to achieve the project's goal or is unavoidable, carefully plan measures to mitigate negative impacts and facilitate the reestablishment of affected people's livelihoods, social networks, and adjustment to the new environment. Mere restoration of immediate livelihood is often not enough to protect affected people from induced impacts, such as increased competition for resources and employment, inflation, and weakened social support networks.

III. Applicability

These good practices are applicable to projects that entail physical or economic displacement. Physical displacement refers to loss of shelter and assets that requires the affected people to move to another location. Economic displacement refers to loss of assets, income streams, or means of livelihood resulting from land acquisition or obstructed access to resources (for example, land, water, forest, landfills). Physical and economic displacement can be required for construction work (for example, if land is required to build new infrastructure); or to prevent impacts of natural disasters. Although unnecessary and involuntary resettlement of people should be avoided at all costs, the good practices and techniques presented in this note can serve to mitigate the negative impacts of physical and economic displacement should it be necessary. If the project cannot take measures to maintain or improve the well-being of affected people, it might want to consider dropping the component/activity that results in the displacement.

These techniques are applicable even in cases where people are not physically relocated to another dwelling; they can be used to mitigate the impacts when a project only involves loss of assets and livelihoods. Some of the approaches and techniques used in the resettlement contexts could also be generally relevant to any intervention that is ultimately intended to improve people's future livelihood and living conditions.

The context of resettlement associated with spatial desegregation is different from those of other projects, since its primary objective is to improve the living conditions of the disadvantaged people to be resettled. The discussion of physical and economic displacement may not be fully relevant to such cases, as resettlements in such cases are intended to increase the access of affected people to better shelters and economic opportunities. However, most of the good practices presented in this note can still be applied to increase the positive impact and sustainability of those resettlements.

IV. Good Practices

1. Assess whether the project requires resettlement and explore alternatives

Early in the project design phase, assess whether the components and activities envisaged in the project entail physical or economic displacement. If it does, look for alternative designs or options that can avoid or minimize displacement.

2. Assess probable social impacts of resettlement

If resettlement is deemed necessary, identify all people who could be affected and examine the expected impacts on their incomes, assets, social structures, living conditions, and livelihoods. The impacts may result not only from loss of physical assets such as dwellings, other structures like farm buildings, agricultural land, and trees, but also from loss of access to resources such as water, forest, and the break up of communities and social support networks. To the extent project preparation resources allow, the following six activities are recommended to identify affected people, impacts, and necessary actions.

Mapping

A map of the area in which people will be relocated from is a useful tool for identifying affected people and their assets.

Census

Basic information on affected people should be collected to identify their age, gender, occupation, and special needs.

Inventory

An inventory of assets that will be lost or affected as a result of resettlement can be made for each affected household to estimate the scale of displacement.

Socioeconomic surveys and studies

It is important to survey all income sources and estimate the expected income loss by resettlement. Low-income households tend to have multiple sources of income, often combining wage labor, informal work, small-scale enterprise, agriculture, and social benefits. Information concerning structure, organization, and economic interdependences within the community should also be collected to identify households that are most vulnerable to economic displacement.

Analyzing data

Data collected through the census, inventory, socioeconomic surveys, and studies can be analyzed to (1) define how compensation will be made on lost assets (establish valuation standards); (2) identify potential options for restoring livelihoods and ways to improve affected people's economic and social well-being; and (3) establish indicators and the baseline to monitor the impacts of resettlement.

Consult with affected people

Analysis findings can be shared with affected people and used to engage them in informed and constructive consultations to discuss and explore the strategy for resettlement and livelihood restoration, and the types of assistance that can be provided.

3. Prepare a Resettlement Action Plan (RAP) as an integral part of the project

Once the probable social impacts of resettlement and the options and opportunities for restoring and improving livelihoods are identified, it is essential to make a resettlement action plan (RAP). The RAP lays out actions that will ensure livelihoods are at least restored to levels prior to resettlement. It can be designed, budgeted, and implemented as an integrated part of the project. One option is to treat resettlement as a specific component

of the project and internalize the associated actions and expenses in the project's budget and implementation schedule. An effective RAP is usually comprised of the following components:

A compensation framework

This describes (1) the categories of expected losses; (2) eligibility criteria for compensation and assistance; (3) methods used to value losses; (4) proposed types and levels of compensation to be paid (this can be summarized in a table that describe different types of entitlements for different types of losses); and (5) how and when compensation will be paid (compensation should take place prior to displacement).

A description of resettlement assistance and restoration of livelihood activities

Resettlement can be approached as a development initiative to restore and improve livelihoods. If the project involves physical displacement, the RAP must describe how (1) the resettlement site will be selected and prepared; (2) services and enterprises will be replaced; (3) livelihoods will be restored (different rehabilitation measures may be needed for different types of livelihoods: land-based, wage-based, and enterprise-based); (4) cultural property will be treated; (5) vulnerable people will be specially assisted; and (6) the relocation schedule and assistance.

A detailed budget

The project must make a careful estimate of all costs of the RAP so these can be sufficiently budgeted for. In case the budget turns out to be unfeasible, the component of the project that entails resettlement may be redesigned or removed.

An implementation schedule

The timing of compensation, relocation assistance, and livelihood restoration activities need to be aligned with the other activities planned under the project. Employment, agricultural, and scholastic cycles may need to be considered to avoid disruption of these cycles.

A description of organizational responsibilities

To ensure accountability, it is important to identify and define the roles and responsibilities of all organizations that will be responsible for implementing the RAP.

A mechanism/channel for grievance redress

It is common for people affected by resettlement to have grievances. These often concern issues of compensation, eligibility criteria, location of resettlement sites, and the quality of services and assistance provided at the sites. Procedures can be established to allow affected people to communicate complaints, questions, and concerns about the project and resolve them in a timely manner. It is good practice to provide affected people with a variety of means to contact project staff (such as telephone numbers, office locations, mailing addresses, email addresses, and so on) to log complaints or inquiries.

A framework for monitoring, evaluation, and reporting

An M&E framework can establish indicators and milestones to track the progress of RAP implementation and assess the impacts of resettlement. It serves to verify that the planned measures are taken appropriately, the livelihoods of affected people are restored or improved, and to plan corrective measures in case of shortcomings.

It is critical to ensure that the entire resettlement process—from the planning to the closing stages—be fully documented so evidence exists that the objective of restoring livelihoods has been achieved.

4. Consult stakeholders widely and early

A wide range of stakeholders might be affected and/or influence the processes and impacts of resettlement. These include people or groups that (1) are going to be resettled; (2) believe they are going to be resettled; (3) live in the resettlement site (host location); (4) believe they live in the resettlement site; and (5) any people or groups that

can shape or implement the project. Consultation is an essential part of both designing and implementing resettlement, as it helps keep stakeholders informed, provide feedback, and contribute to resettlement planning and implementation. The following are some good consultation practices:

Enable free flow of information

Information needs to be shared widely early in the project development via (1) preparation of information materials that are easily accessible and understandable (for example, a public notice board, leaflets and flyers, town courier, the Internet, door-to-door canvassing); (2) outreach to vulnerable groups who lack access to public media and information exchange.

Promote participation of stakeholders

Participation of stakeholders increases projects' effectiveness and sustainability. It is valuable to involve stakeholders throughout the RAP planning and implementation and provide an opportunity for them to discuss (1) alternative options; (2) project impacts; (3) the resettlement strategy; (4) compensation rates, eligibility, and entitlements; (5) the choice of resettlement area and timing of relocation; (6) development opportunities and initiatives; (7) procedures for redressing grievances; and (8) M&E for informing and implementing corrective actions.

More detailed information and good practices regarding stakeholder consultation are discussed in Good Practice Note 1: Engaging Local Communities.

V. Additional Resources

To further study the resettlement practices employed by the World Bank Group, more information can be found in the following literature:

International Finance Corporation. 2002. "Handbook for Preparing a Resettlement Action Plan." World Bank, Washington, DC. http://www.ifc.org/wps/wcm/connect/2d5d7b0048855517b584f76a6515bb18/Spanish_RH.pdf?MOD=AJPERES&CACHEID=2d5d7b0048855517b584f76a6515bb18

World Bank. 2004. "Involuntary Resettlement Sourcebook: Planning and Implementation in Development Projects." World Bank, Washington, DC. http://www-wds.worldbank.org/external/default/WDSContentServer/WDSP/IB/2004/10/04/000012009_20041004165645/Rendered/PDF/301180v110PAPE1ettlement0sourcebook.pdf

Good Practice Note 3: Participatory Monitoring and Evaluation

KEY MESSAGES

- ▶ Monitoring and evaluation (M&E) is essential to effective project management. Monitoring should not be considered as a mere reporting exercise that feeds information to the national-level authority or the European Commission, but as an internal project management activity that improves the performance of ongoing and future projects.
- ▶ M&E can help identify project bottlenecks and result in necessary changes to project design.
- ▶ M&E can benefit from participatory approaches. It permits more continuous, on-the-ground tracking of project results and leads to higher accountability and ownership of projects at the community level.
- ▶ Designing M&E plans with the end beneficiaries allows stakeholders—including the community—to understand how project activities are linked to specific outcomes and what intermediate outputs are produced and can be monitored.
- ▶ Indicators need to be carefully selected to monitor progress and outcomes using the SMART principles.
- ▶ A good participatory M&E plan defines what should be monitored, when information should be collected, who should be in charge of collecting the required information, and which actors should be informed.

I. Purpose

This note aims to provide basic information to local-level project planners for setting-up Monitoring and Evaluation (M&E) plans, with a focus on participatory M&E. It helps project implementers design and undertake M&E through the project cycle, starting from project conception (identifying needs and priorities) to project completion (evaluating project results) with active involvement of the community. Sample indicators across the four social inclusion areas—housing, education, health and employment—are also presented.

II. Context

M&E is essential to effective project management. Monitoring should not be considered as a mere reporting exercise that feeds information to the competent authority, intermediate body, or the European Commission, but as an internal project management activity that improves the performance of ongoing and future projects. Project monitoring provides critical information to assess (1) whether project resources (money, materials, staff) are being delivered and used in accordance with the approved budget and timetable; (2) whether the intended outputs (numbers of houses constructed, training courses given, patients treated, and so on) are being produced in a timely manner; and (3) whether there are any adjustments to be made to the project design.

Similarly, evaluations can generate valuable information for future extension or replication of a project by examining the extent to which the project has achieved its intended results (whether it increases in employment, school enrollment, and so on) and reviewing why the results are (or are not) achieved.

Monitoring is a continuous process to assess project progress; it informs program implementation and management decisions. Evaluations are periodic and are generally carried at discrete points. They are used to answer specific questions related to design, implementation, and results. Conventionally, M&E is conducted via a top-down approach in which project managers collect data and use it to report to funding agencies. Nonetheless, as in the case of project preparation and implementation, M&E can benefit from participatory approaches. It permits more continuous, on-the-ground tracking of project results and leads to higher accountability and ownership of projects at the community level. A bottom-up participatory monitoring approach empowers the community to demand higher project accountability by allowing the community to feed, read, and understand the monitoring information. It helps spot potential misuse of funds or other misbehavior. Additional benefits from including the community in the design of the M&E plan include increasing understanding of how the project is expected to improve living conditions and how activities are linked to expected results.

III. Applicability

When is participatory M&E a good idea? Communities are at the center of projects and are therefore in the best position to monitor some of the project's interventions and provide feedback to project managers. This is especially true in the case of dispersed interventions or when dealing with dispersed communities that are difficult for project managers to regularly reach (such as rural areas or those difficult to access). Participatory monitoring during project implementation yields best results when used to monitor low complexity activities that do not require a high level of technical expertise. The community can be involved in project M&E at various stages, including the design of the M&E plan, its implementation, and in project evaluation following completion.

Project M&E cannot be based solely on community monitoring and should be combined with other approaches that involve other stakeholders (for example, service providers, project managers themselves, and funding agencies) and, as appropriate, third party actors that can offer an independent assessment of the project implementation and achievement of results.

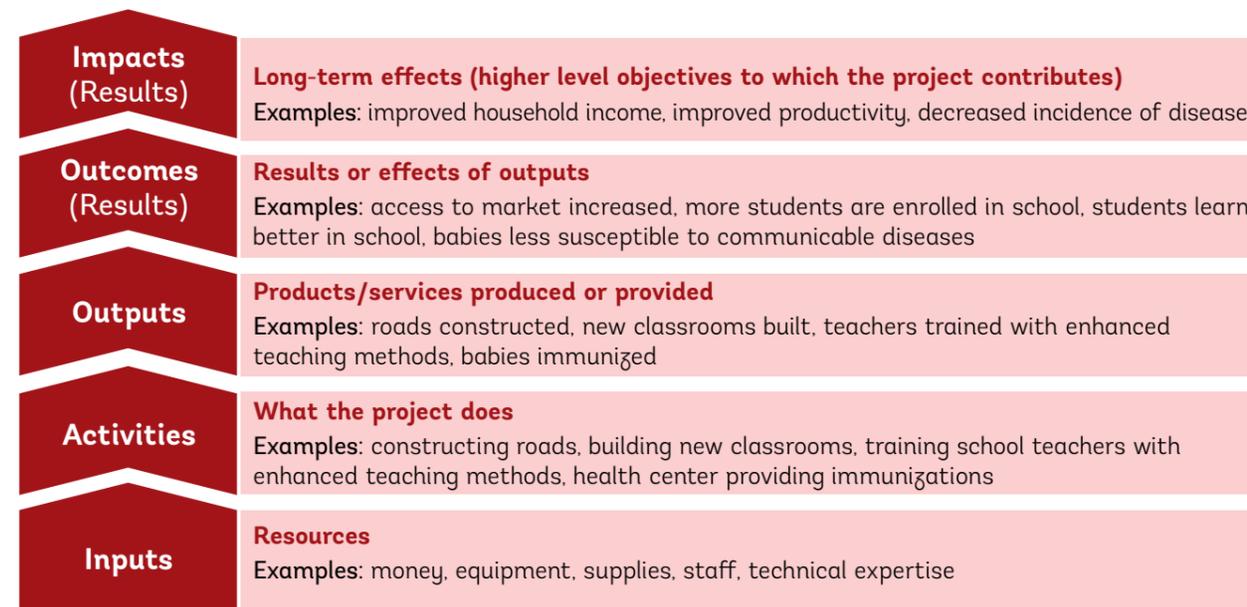
This note focuses on descriptive and normative evaluations, and not impact evaluation, since the authorities may be in the better position than local actors to conduct impact evaluation. Descriptive evaluation describes what has happened before, during, and after a project, and normative evaluation compares actual results against expected/target results. Impact evaluation goes a step further and examines the causal relationship between an intervention and the measured results. This is usually done via experimental designs, which measure and compare results in both a treatment group (where the project has taken place) and a control group (where the project has not taken place). Impact evaluation is highly technical and is often very costly. It might not be affordable nor is a priority for many communities. It is usually conducted on a selective basis, and mainly on pilot projects, in order to examine the effectiveness of new types of interventions. Communities proposing

innovative interventions might be able to seek support from the competent authority in funding and conducting impact evaluation.

IV. Good Practices

1. Construction of a project results chain with the community involvement

An M&E plan is needed to allow project managers and involved stakeholders to systematically track a project's progress, demonstrate results on the ground, and assess whether changes to the project design are needed. The design of an M&E plan starts from the project's conception, and possibly even earlier, from the identification of community needs and priorities. Project formulation usually begins by identifying priority community needs (see the Diagnostic Questionnaire for Community Needs Assessment) and defining interventions or activities to address them (see the Table of Potential Place-Based Intervention Options). This process considers the following questions: What are the objectives of the project? What results are sought? What immediate outputs are needed to produce the intended results? What activities are required to generate these outputs? What inputs do these activities require? This thought process is generally referred to as the results chain (see example below).



For example, a project could aim to reduce unemployment among youth in a certain area by providing them with vocational training. The training is expected to make them more competitive in the job search and unemployment among the beneficiaries should go down. The project's inputs include financing to construct a community center building where training will take place; trainers; and the project implementation team in charge of administering the program. The activities are the construction of the center and the provision of training courses. The outputs are the newly constructed center and the number of training courses offered. The outcome is the number of youth that complete and pass the course's final exam. The impact is the beneficiaries' rate of unemployment after the completing the course.

A good M&E framework focuses on outcomes (results), not only on outputs. Roma-focused objectives should aim to improve their actual status or outcomes (results) beyond simply improving services or providing infrastructure. For instance, the goal should be to increase Roma's skills or health status, not just to build schools or clinics. Outcomes (results) could be to increase the utilization of preschool/early childhood education services by Roma, rather than to simply augment the number of available preschools. Such outcome/result-focused orientation will facilitate the formulation of project activities that are driven by objectives, not vice-versa.

Constructing the results chain together with the community can help manage their expectations and identify what can be reasonably achieved with the existing resources. In addition, it might help identify additional impediments that need to be resolved to achieve the intended project impacts. Good Practice Note 1: Engaging Local Communities explains how community members can be involved in the project identification and development processes. Even when the community members cannot be directly involved in its development, a proposed results chain can be shared and discussed with the community to validate its reasoning and feasibility.

2. Development of SMART indicators

Once the results chain has been developed, the next step in the preparation of the M&E plan is to define the indicators for monitoring project progress and evaluating achievement of results. As previously explained, it is important to clearly distinguish inputs, activities, outputs, and outcomes. While projects should focus on achieving outcomes, monitoring inputs and outputs is still necessary to assess the implementation progress and the efficient use of resources.

Indicators need to be carefully formulated, using the SMART principles—specific, measurable, attributable, relevant/realistic, and time-bound. It is important that the data needed to monitor the indicators are readily available at realistic costs, and that sufficient funds are allocated to periodically compile and process them. Relevant indicators used by the World Bank that could serve as monitoring indicators (mostly at input, output, and outcome/results levels) include (adjusted to the Roma context):

Sample Indicators

Access to urban services and housing for the poor

- people (Roma) provided with access to improved water sources under the project (number)
- people (Roma) provided with access to improved sanitation under the project (number)
- people (Roma) provided with access to all-season roads within a 500 meter range under the project (number)
- people (Roma) provided with access to regular solid waste collection under the project (number)
- people (Roma) provided with access to electricity under the project by household connections (number)

Education

- (Roma) preschool attendance rate
- (Roma) primary school completion rate
- number of additional qualified primary teachers resulting from project interventions (serving Roma communities; who received cultural competency training)
- number of additional classrooms built or rehabilitated at the primary level resulting from project interventions (serving Roma neighborhoods)
- system for learning assessment at the primary level (rating scale)

Health

- people (Roma) with access to a basic package of health, nutrition, or reproductive health services (number)
- health personnel (serving in Roma communities) receiving (cultural competency) training (number)
- health facilities constructed, renovated, and/or equipped (in Roma neighborhoods) (number)
- (Roma) children immunized (number)
- pregnant (Roma) women receiving antenatal care during a visit to a health provider (number)

(Roma) births (deliveries) attended by skilled health personnel (number)
 pregnant/lactating (Roma) women, adolescent girls, and/or children under age five reached by basic nutrition services (number)

Civil documents

target population (Roma) with property use or ownership rights recorded (number)
 land parcels with (Roma) use or ownership rights recorded (number)
 target land area with (Roma) use or ownership rights recorded (ha)
 number of new personal identification documents issued (to Roma)

Participation and civic engagement

(Roma) participants in consultation activities during project implementation (number)
 intended (Roma) beneficiaries that are aware of project information and project-supported investments (percentage)
 grievances (by Roma) registered related to delivery of project benefits that are actually addressed (percentage)
 (Roma) community contributions to the total project cost (percentage)
 (Roma-focused) subprojects or investments for which arrangements for community engagement in post-project sustainability and/or operations and maintenance are established (percentage)
 (Roma) beneficiaries that feel project investments reflected their needs (percentage)

Depending on the context of the programs or CFPs, local actors might be required to track certain common indicators established by national-level authorities.

The M&E plan should also indicate (1) who will be responsible for gathering information; (2) the sources of information; (3) the format in which the information will be presented; (4) the periodicity of information gathering; (5) who in the community will be informed of the progress; (6) the budget for the M&E; and (7) which funding source will be used to finance the information gathering (if necessary). Determining the timing of monitoring is important, since outcomes and impacts often do not occur until sometime after project completion.

A participatory M&E plan needs to be defined through community involvement. Since a sizable part of the M&E activities will be in charge of the community, their input is key for a successful process.

3. Participatory monitoring

Participatory M&E is a system of collecting, recording, measuring, and analyzing information in a participatory way—and then communicating it and acting on it—to improve performance at the community level. It offers many advantages, including holding community leaders and government institutions accountable; providing ongoing feedback; sharing control of M&E activities; encouraging corrective actions; and facilitating dialogue between citizens and project authorities.

Participatory monitoring (PM) activities, when used effectively, can act as a valuable project management mechanism and can also have a significant impact on results tracking and improving local governance. PM should be viewed as a process whereby primary beneficiaries and stakeholders take the lead in tracking progress toward, and the achievement of, self-selected results. Thus, it is distinct from consultative M&E, which generates information to be used by external actors. PM allows for continuous joint learning and reflection on goals and results.

Key steps for conducting PM include:

1. Call a general meeting to ask who would be interested in participating in the monitoring exercise. It is important to check if community members actually have the time for this activity.
2. Once the community decides who wishes to join, the facilitator meets with the group at a time convenient to them.
3. The facilitator builds consensus on the purpose of the exercise, clarifies his/her role, expectations, and reviews the schedule.
4. Community members then identify the M&E questions they want answered related to the project activity. Questions come solely from the community; there are no predetermined questions or forms from the facilitators. The group then brainstorms ways to collect the data and who should be responsible for data collection.
5. Once the data is gathered, the group meets again to analyze it and reach consensus on findings, conclusions, and recommendations.
6. The group then reports to the larger community and together they prepare a plan of action to improve performance if needed.

Source: Wong, Susan. 2004. "Indonesia Kecamatan Development Program: Building a Monitoring and Evaluation System for a Large-Scale Community-Driven Development Program." World Bank, Washington, DC.

PM should be conducted at each stage of the project cycle. The key is to have straightforward forms and mechanisms and reports that are regularly updated and easy for the community to understand (an example of a streamlined monitoring form is provided below).

Form for Participatory Monitoring

Results Chain	Indicators	Status Now	Target for the Period
Goal (impact):			
Results (outcome):			
Outputs:			
Activities:			

Primary responsibility at the community level rests with the project managers and/or neighborhood community groups that are involved in project implementation. It may not always be possible, or desirable, for everyone at the community level to maintain records and analyze data. In this case, community members should select a person or a small group to take on this responsibility. However, all beneficiaries should have access to monitoring information, which should be shared periodically so that community members are fully informed when decisions regarding project implementation are made. This can be done during regular meetings. Progress for the past period, such as the previous month, is discussed and decisions are made for the subsequent time period. While community volunteers associated with the project can run these regular meetings, a project staff member should also be present. Such a process ensures active involvement of all concerned in the review and planning processes.

The periodicity of information gathering should be determined based on the characteristics of the project and planned activities. Given that monitoring information is an accountability tool for the project, it is good practice to create transparent mechanisms (for example, use of information and communication technology [ICT] and social media) to gather information. For example, community members can monitor progress or status by sending digital photographs taken with cellular or smart phones to a designated monitoring system, using a special application (program). The photos taken by these devices are usually stamped with georeference and time data, and help the project implementers analyze, verify, and respond to implementation issues quickly. When such devices are not readily available to community members, the project can engage local civil society organizations (CSOs) and community social workers who are equipped with the devices to collect and report information on behalf of and in close interaction with the community. In addition, to help people without access to computers, smartphones, or the Internet provide feedback, the platform could be complemented by other forms of feedback, such as a telephone-based interface. Additional information about the use of ICT is found in Good Practice Note 1: Engaging Local Communities, and **Case Study 3** from Brazil.

4. Participatory evaluation

Participatory evaluation refers to the evaluation process in which community members and project staff are involved. Instead of having a team of outsiders visit the project to conduct the evaluation, the project partners themselves conduct it. If outsiders are involved, their role is limited to facilitation and technical resource.

In participatory evaluation, key decisions are made by the community members and project staff. These include timing (when to conduct the evaluation); processes (indicators and analysis); and sharing, reporting, and using the findings. Participatory evaluations are by nature more flexible than conventional ones. Conventional evaluations are externally determined and are usually designed on the basis of information available in project documents. During a participatory evaluation, it is possible to go beyond the objectives stated in the project document and to include issues and indicators from people's experience with the project. Sometimes there are issues that were not anticipated prior to project implementation. These can be determined during a participatory evaluation.

Participatory evaluation is most effective when the project design and implementation have also been conducted in a participatory manner. Participatory design implies that community members jointly decided the project scope and activities and share the same vision regarding the project's objectives and expected results. This ensures that community members have been involved from the beginning in deciding the indicators on which the project will be monitored and evaluated. Likewise, when it is time for the evaluation, community members should be clear about why and how the evaluation will be conducted.

Very few projects, however, follow a complete participatory process. While it is possible to conduct a participatory evaluation even when project design and implementation have not followed a participatory process, this requires more time and must be planned differently. The process starts with a discussion among participating community and project staff about designing such an evaluation process. Participatory evaluation is the logical culmination of a participatory process. Just as involving communities was critical for designing an appropriate project, their involvement is critical for understanding the project's effectiveness once it ends. This means not just involvement in terms of answering questions posed by outside evaluators, but involvement in designing the evaluation, including what questions to ask, and of whom.

Key steps of a participatory evaluation include:

Planning a participatory evaluation

Good planning is central to the success of a participatory evaluation. The planning process begins with discussions among the project partners about when to conduct the participatory evaluation; how to conduct it; who will participate in the process, and how; how the data will be analyzed; and how this analysis will be shared and used by project partners. Among other things, partners need to decide whether the indicators selected for the baseline will suffice for conducting the evaluation or whether additional indicators are necessary to capture the complete picture.

Implementing a participatory evaluation—once project partners have decided what to evaluate, they must decide how to collect information. Some possible methods include using the monitoring data, repeating the baseline survey, or conducting focus groups discussions with participants and project staff.

Sharing information and findings

With the general community and key stakeholders.

V. Additional Resources

For further guidance and specific tools for monitoring and evaluation—including participatory M&E—more information can be found in the following literature:

Kaul Shah, Meera, Xoli M.V. Mahlalela, Sarah Degnan Kambou, and Melissa K. Adams. 2006. "Participatory Monitoring and Evaluation of Community- and Faith-Based Programs: A step-by-step guide for people who want to make HIV and AIDS services and activities more effective in their community." CORE Initiative. http://pdf.usaid.gov/pdf_docs/PNADB439.pdf

World Bank. 2014. "Community Driven Development (CDD) Toolkit: Governance and Accountability Dimensions." World Bank, Washington, DC. <http://www.worldbank.org/en/topic/communitydrivendevelopment/publication/community-driven-development-toolkit-governance-and-accountability-dimensions>

Good Practice Note 4: Formalizing Real Property Rights

KEY MESSAGES

- ▶ Lack of formal tenure rights could impede Roma's socioeconomic inclusion by not only denying their access to basic infrastructure, social services, credits, and political participation but also by generating uncertainties regarding the future of their assets and restraining economic opportunities.
- ▶ It is essential to gather comprehensive information about the community's real property rights as part of the project preparation process.
- ▶ There are various alternatives to issuing full ownership rights. Depending on the context of the settlement, other forms of real property rights might be more appropriate, including possession certificates, administrative authorization, and leases.
- ▶ By identifying vulnerable individuals who might face additional challenges in formalizing their real property rights (and what these challenges are), specific measures could be included in the project to assist the formalization of their real property rights.
- ▶ Settlements and real property rights' formalization are two distinct but complementary measures.

I. Purpose

The purpose of this note is to help local planners involved in the preparation of projects to understand the importance of and ways to formalize Roma settlements and the real property rights of their inhabitants. Real property includes lands, housing structure, and other physical improvements made to the lands.

II. Context

A large share of Europe's Roma population lives in informal settlements. By definition, their rights over land, housing structures, and other physical improvements made in these settlements are not formally recognized by law. Such informality contributes to and perpetuates marginalization, because it may deny access to basic

infrastructure, social services, and credits, generate uncertainties about the future of their assets, and restrain economic opportunities. There are two main types of informal households: (1) those in informal structures that do not meet building codes and cannot be considered dwellings regardless of land ownership; and (2) those in formal dwellings but without formal permission to be there (such as in cases in which there is no rental agreement—in some communities, Roma live in huge apartment buildings but are not legal tenants of these publicly owned apartments). The two types of informality create three main disadvantages for the residents. One disadvantage of both types of informality is the possibility of eviction. Both types also create difficulties for registering residency. It also creates difficulties for accessing social protection benefits in many member states, as these are accessed by place of legal residency. A third disadvantage that is more relevant to households in informal infrastructure is that utilities will not provide services to such structures or to informal settlements outside urban boundaries. Even when basic infrastructure (for example, water and sanitation, electricity) and social services (education and health care) are extended and improved to serve marginalized Roma neighborhoods, if they do not have formal property rights, they might not be able to access these services. Moreover, the lack of a formal residential address, which often stems from informality, could also deny their access to voting rights (eligibility to voting registration). Therefore, formalization of real property rights is a critical intervention required for ensuring marginalized Roma's socioeconomic inclusion.

III. Applicability

Project planners should apply the good practices presented in this note when developing a project in an informal settlement. Informal settlements refer to "areas where groups of housing units have been constructed on land that the occupants have no legal claim to, or occupy illegally; [or] unplanned settlements and areas where housing is not in compliance with current planning and building regulations (unauthorized housing)."

IV. Good Practices

1. Gather comprehensive information about the community's real property rights

As part of the project preparation process, planners gather and analyze a range of information about the target community, including its initial living conditions, priority needs, challenges, capacity, and opportunities. In this process, it is good practice to also collect information about the status of real property rights in the community, in order to incorporate appropriate property rights formalization measures in the project design and processes. Key information to be collected includes:

Status of the real properties in the community

Who owns, uses, rents, or possesses them, whether the owners and possessors have legal (ownership or possession) rights over them, and whether these rights are accurately registered and updated.

Needs for formalization of real properties

Whether the informal properties need to be formalized. For example, when families occupy an area that is unsuitable for residential use for safety or environmental reasons, their occupation should not be supported by formalizing it. In such cases, resettlement of the occupants, rather than formalization of their property rights, may be considered (for more information on how to plan resettlement, please refer to Good Practice Note 2: Planning Resettlement).

2. Consider whether granting a full ownership right is the best option

Formalizing real property rights does not necessarily mean converting informal rights into full ownership rights. A large body of literature shows that the issuance of such rights is often neither feasible nor desirable. For

instance, families may have settled on state land that cannot be fully privatized and/or families cannot afford to purchase it. Also, some scholars believe that the allocation of full ownership rights drives gentrification. Therefore, planners and implementing bodies should be aware of the various options available and identify with the communities and the legal owners which ones are the most appropriate. The range of available options may differ across member states, depending on their legislations. Common alternatives to full ownership include:

Possession certificates

Many countries have legal provisions to formalize uninterrupted and uncontested possession. Usually, possession can be converted into full ownership rights after a certain period of time, usually five to ten years.

Administrative authorizations

These authorizations are granted by public authorities to the occupants of their land. These are usually issued administratively, which tends to be faster and cheaper than via judicial process.

Leases

Leases usually do not confer real property rights. However, if they are granted for a sufficient period of time, they can contribute to a greater sense of security.

As a general rule, these rights “need to have a horizon long enough to provide investment incentives and be defined in a way that makes them easy to observe, enforce, and exchange.”

3. Identify vulnerable individuals and adopt specific measures to assist them

The inhabitants of informal settlements do not constitute a homogenous group. Significant socioeconomic differences can often be observed between and within communities. Certain individuals such as women, widows, and orphans are more at risk of not having their rights formalized. Tenants can also be adversely impacted by the increase in real property values triggered by formalization policies. To mitigate these risks, it is essential to identify vulnerable individuals and the specific challenges they might face in formalizing their properties, and define measures to assist them in the formalization process through community engagement. Some possible measures include registering property rights under the name of both spouses; providing free legal assistance to low-income families; and exempting poor households from real property rights registration fees.

4. Settlements and real property rights' formalization are two distinct but complementary measures

Many Roma settlements are not formally recognized in local land use plans and other planning documents. Local governments have a key role to play in the formalization of these settlements because they are generally the ones that can decide to include them in the local land use plans and adopt specific land use and subdivision regulations. While the formalization of settlements consists of acknowledging their existence as a whole, the formalization of the real property rights of their inhabitants is the operation that aims to ensure these rights are registered in the formal land registration system. In practice, settlement formalization is often a prerequisite for real property rights formalization.

V. Additional Resources

More detailed information about tenure rights formalization good practices can be found in the following literature:

Organization for Security and Co-operation in Europe. 2013. “Best Practices for Roma Integration: Regional Report on Housing Legalization, Settlement Upgrading and Social Housing for Roma in the Western Balkans.” Office for Democratic Institutions and Human Rights (ODIHR), OSCE, Warsaw.
<http://www.osce.org/odihr/115737?download=true>

World Bank. 2003. “Land Policies for Growth and Poverty Reduction: A World Bank Policy Research Report.” Oxford University Press and the World Bank, Washington, DC. <http://info.worldbank.org/etools/docs/library/34919/landpoliciesexecsummary.pdf>



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ABBREVIATIONS

ANCPI	National Agency for Cadastre and Property Registration
CAF	Comunidad Andina del Fomento
CESAR	Complementing EU Support for Agricultural Restructuring
CIG	common interest group
COPEL	Companhia Paranaense de Energia
CPTED	Crime Prevention through Environmental Design
CRABI	Regional Commission of Affected People
EU	European Union
FHIS	Honduran Social Investment Fund
GIS	Geographic Information System
HUD	U.S. Department of Housing and Urban Development
ICBSP	Inner Cities Basic Services Project
IG	initiative group
INFOTP	Instituto Nacional de Fomracion Tecnica Profesional
IPP	Instituto Pereira Passos
IUP	Integrated Urban Project
JSIF	Jamaican Social Investment Fund
KfW	German Development Bank
KRUS	Kasa Rolniczego Ubezpieczen ia Spolecznego
LMU	local monitoring unit
M&E	monitoring and evaluation
MA	management agent
MIS	Management Information System
MSG	multidisciplinary study group
MTO	Moving to Opportunity
NGO	nongovernmental organization
NHF	National Health Fund
O&M	operation and maintenance
PARSP	Post-Accession Rural Support Project
PAT	project assistance team
PHA	public housing agency
PIP	Priority Intervention Program

PIU	project implementation unit
RAC	Resettlement Advisory Council
RGD	Registrar General's Department
RSDF	Romanian Social Development Fund
SDF	social development fund
SIP	Social Inclusion Project
TDC	technical design company
TRN	taxpayer registration number
TVET	technical and vocational education and training
UPP	Pacifying Police Unit
VPUU	Violence Prevention and Urban Upgrading

INTRODUCTION

Disadvantaged Roma communities are heterogeneous, face different impediments, and have diverse needs. A specific need can be attributed to different causes or impediments, depending on the challenges faced by communities. For instance, Roma adults can find it difficult to get a job because they do not have the right skill mix; because they do not have physical access to nearby job markets; or, in some cases, because they experience discrimination. Different needs and impediments usually interfere with each other and mutually reinforce a community's disadvantages, and require interventions to address them holistically. This means that interventions need to be integrated and customized to the context of each community. For example, simply moving a Roma family into better housing, with better infrastructure and connectivity to services, does not automatically improve their socioeconomic condition. Failing to take this into account can lead to unsustainable situations in which families start lagging behind in utility payments or cutting back on housing maintenance. Understanding the specific needs and the root causes of Roma exclusion is therefore essential if interventions are to be effective and sustainable.

In an attempt to help communities assess their needs and apply an effective combination of interventions that address those needs, the Handbook for Improving the Living Conditions of Roma through European Structural and Investment Funds (hereafter referred to as the Handbook) provides a Diagnostic Questionnaire for Community Needs Assessment and a Table of Potential Place-Based Intervention Options, found in Module 3. While the Diagnostic Questionnaire facilitates the inventory of community needs, classified by categories, the Table presents corresponding intervention options for each category.

This compilation of global case studies aims to offer examples of some of these intervention options. The 17 case studies illustrate innovative approaches to improving the living conditions of marginalized groups, and also provide examples of good practices and measures for increasing the effectiveness and sustainability of these interventions as presented in the Handbook. Not all projects included in the case studies were entirely successful; the case studies focus on highlighting the key approaches, activities, and practices that can be drawn from the projects. Since the Handbook is focused on local-level, location-based interventions, which will be planned and implemented at the community level rather than at regional or national levels, interventions presented in the Handbook and this supplement are also limited to those location-based at the local level. Some of the case studies also provide examples of how managing authorities can design calls for proposals or facilitate the development and implementation of projects by local actors.

The cases are organized by the categories of needs they address as classified by the Table in the Handbook: five types of physical/spatial needs and five types of nonphysical/immaterial needs that affect the four crucial areas of Roma inclusion, namely housing, employment, education, and healthcare.¹ It is important to keep in mind, however, that all projects presented here are integrated and involve multisectoral approaches to address different but often interrelated challenges. Therefore, although the case studies are organized by the most prominent need each one addresses, each case study illustrates good practices and approaches in more than one area. The colored boxes at the top of each case study indicate the types of needs addressed by the interventions presented. Table 1 at the end of this introduction maps the relevant needs and interventions addressed by each case study. The table also lists other good practices suggested in the Handbook that are illustrated by the case studies. Just as with the interventions highlighted here, the good practice examples are not exhaustive; there may be other possible good practices not mentioned in the Handbook. It is also important to note that the interventions presented in the case studies should by no means be considered as panacea, or readily transferrable; relevant elements of these interventions need to be customized and integrated into the context of local communities.

¹These four crucial areas of Roma integration are identified in the EU Framework for National Roma Integration Strategies up to 2020.

The following are highlights of the 17 case studies, classified by the ten categories of needs.

Interventions responding to physical/spatial needs

ACCESS TO BASIC COMMUNITY SERVICES

Second Rural Investment Project (AžRIP-2), Azerbaijan

Basic community services include the community infrastructure to ensure provision of accessible and reliable supply of water, electricity, sanitation, and waste collection. The **Second Rural Investment Project (AžRIP-2)** in **Azerbaijan** is a good example of an intervention for improving and accessing rural infrastructure. The participatory approach allowed communities to designate priority needs, such as roads, water supply, irrigation, and health and childcare centers, in addition to some income-generating activities.

Juan Bobo Resettlement Project, Colombia

The **Juan Bobo Resettlement Project** in Medellín, **Colombia**, is an example of an integral intervention that combines improvement of basic services, infrastructure for the development of public spaces, and provision of housing for resettled households. It involved urban infrastructure upgrading, employment generation activities, and environmental remediation, in addition to providing adequate housing solutions for households that had to be resettled from risk areas. It pursued the development of harmonic and enjoyable public spaces to raise the neighborhood's living conditions. This project has been internationally recognized for its participatory and integrated approach. The alternative densification approach of this intervention could be applicable in similar contexts where space for resettlement is limited.

UPP Social, Brazil

The **UPP Social** project in **Brazil** aims to fully integrate slum neighborhoods into the city by promoting urban, social, and economic development, as well as local citizenship in the targeted communities. It increases the coverage and quality of public services on a demand-driven basis. Social workers are posted in the communities to interact with the community members and collect direct feedback and ground-level information from the neighborhood. A geographic information system (GIS) technology is used to map out infrastructure, points of services, and community needs. Disadvantaged communities can benefit from a similar on-the-ground presence of project liaisons (experts, social workers, and so on) who can constantly monitor needs and issues in the community to coordinate the provision of necessary public services.

SAFE LOCATION

Violence Prevention and Urban Upgrading, South Africa

Barrio Ciudad Urban Project, Honduras

PROCAV II Stream Canalization Program, Brazil

Poor and disadvantaged communities are often exposed to violent environments, natural disasters of manmade hazards, and/or do not have clean and safe public spaces that can be enjoyed by all community members. Two cases—one from **Honduras** and one from **South Africa**—highlight the use of participatory approaches and inclusive urban design to improve public safety, while also upgrading public spaces and infrastructure. They illustrate how an integrated approach to infrastructure upgrading can help communities overcome extreme poverty and debilitating social problems, including crime and violence. **The Violence Prevention and Urban Upgrading** project in **South Africa** did this by creating a network of safe public spaces, which also served as community centers. The case study is an example of improving economic opportunities through urban upgrading in marginalized and violent neighborhoods. It demonstrates that inclusive urban design with community participation can transform a blighted and violent neighborhood into a vibrant one. **The Barrio Ciudad Urban Project** in **Honduras** integrated urban upgrading with public safety measures, such as participatory creation of insecurity maps with communities; mobilization of community

members, especially the youth, around violence prevention activities; and improvement of selected public spaces associated with crime and violence. This project also brought basic urban infrastructure such as access roads, lighting, and water supply to marginalized settlements using Crime Prevention through Environmental Design (CPTED) principles. These types of interventions could be applicable to the Roma context when dealing with poor and vulnerable communities, where the risks of crime and violence induced by marginalization, unemployment, and youth idleness are high.

When communities are located in areas prone to natural disasters or environmental or manmade risks, they need to be relocated to safer sites. Resettlement, however, is a delicate intervention, and if not carried out properly can disrupt livelihoods and place new burdens on the community. The **PROCAV II Stream Canalization Program** project in **Brazil**, which involved the resettlement of high-risk communities from floods and mudslides, demonstrates the value of extensive socioeconomic considerations and community consultations in customizing the resettlement actions to meet the needs of vulnerable people. Through a highly consultative process involving the communities, multiple housing options were offered to affected households, based on their socioeconomic needs and preferences. Involvement of community representatives played a key role in coordinating and monitoring processes to ensure that the expectations of the affected people were managed. These approaches can be used to minimize the negative impacts of resettlement, in case a Roma community or neighborhood needs to be resettled to another location.

ACCESSIBLE AND WELL-CONNECTED COMMUNITIES

Integrated Urban Project in Medellín, Colombia

Priority Intervention Project in Bora, Romania

Accessible roads, reliable public transportation, and school and healthcare facilities are necessary to connect the community to jobs, social services, markets, and other opportunities. The **Integrated Urban Project** in Medellín, **Colombia**, illustrates how a participatory approach to infrastructure upgrading was used to help communities overcome exclusion. The project included interventions across a range of sectors: housing, environment, mobility and connectivity, education, health and nutrition, job training and employment, and governance and justice. The results showed improved overall quality of life in the community. This type of intervention could be applicable when dealing with marginalized communities, including those that have been spatially segregated.

The **Priority Intervention Project** in Bora, **Romania** sought to provide community-based social services to a marginalized Roma community, including school integration for children and social, cultural, and educational counseling activities for adults. The intervention emphasized active community involvement throughout the project cycle, showcasing the importance of instilling a sense of ownership for project success and sustainability.

SPATIAL INTEGRATION

Moving to Opportunity for Fair Housing, United States

The physical isolation of poor or marginalized communities is often a reality that can reinforce poverty and exclusion. **Moving to Opportunity for Fair Housing**, an experimental program in the **United States**, examined the impact of resettling disadvantaged families from poor neighborhoods to more affluent ones. It used a voucher system to subsidize rental costs for families so they could move from high-poverty to low-poverty neighborhoods. The results of the action research indicate that merely moving disadvantaged families to low-poverty neighborhoods is not enough to improve their living conditions. It makes a compelling case for integrated approaches that combine housing with other targeted interventions.

ADEQUATE HOUSING

Quinta Monroy, Chile

Flood Protection Program, Argentina

Access to a safe housing structure that provides sufficient space, safety, hygiene, and protection from the elements is critical for children to grow and develop, and for people to stay healthy, fit, and productive. **Chile's Quinta Monroy** project is a successful example of incremental housing where the design took into account the community's social and economic context. The main innovation of this project is to provide basic housing structures at low cost, allowing households to customize and incrementally improve their dwellings at their own expense and according to their preferences. The project's design also helped preserve the community's social fabric. This type of intervention can be applicable to Roma communities living in dilapidated housing with poor access to services.

Another good model for improving housing conditions is the **Flood Protection Program** in **Argentina**. Centered on a community-based approach, the program leveraged local social capital and community resources to build new housing units at a low cost. The self-construction approach, which used community labor, also increased employability, fostered self-esteem, and bolstered neighborhood solidarity among affected residents. This case is applicable to the improvement of housing conditions for poor Roma households that do not have sufficient resources to pay for the construction or rehabilitation of their houses. It is also applicable when a marginalized neighborhood needs to be resettled from a hazardous or disaster-prone area.

Interventions responding to nonphysical/immateral needs

TENURE SECURITY

CESAR Project, Romania

Land is a source of food and shelter, the basis for social, cultural, and religious practices, and a central factor in economic growth. The livelihoods of many, particularly the poor, are based on secure and equitable access to land and resources. Residential address is often a requirement for accessing social services and voters' registration. Formalization of land and property rights is also a basic requirement of access to credit. The **CESAR Project** in **Romania** facilitated the regularization of property rights for vulnerable groups through (i) vulnerability mapping; (ii) local awareness campaigns; (iii) community meetings; (iv) social monitoring; and (v) introduction of flexible registration instruments, such as certificates of possession. Although the project did not guarantee an immediate or full regularization of the identified informal Roma settlements, it provided an opportunity for the inhabitants to claim their due property rights and initiate regularization negotiations. These approaches and techniques are applicable to informal Roma settlements, where their access to services and opportunities are hampered by the lack of formal property rights.

CIVIL DOCUMENTS

Inner City Basic Services Project, Jamaica

Documents such as birth certificates and identification cards are often required to verify eligibility for accessing public and social services. Missing documentation thus becomes a barrier to improving livelihoods. The **Inner City Basic Services Project** in **Jamaica** is an example of a successful initiative that included a civil registration activity. Selected communities were provided with assistance in obtaining documents required for accessing available social and public services.

CAPACITY OF SOCIAL SERVICE PROVIDERS

Post-Accession Rural Support Project (PARSP), Poland

Social service providers often lack suitable training to work effectively with people of disadvantaged backgrounds such as the Roma. Poland's **Post-Accession Rural Support Project (PARSP)** is a good example of mobilizing and enhancing the capacity of local stakeholders for improving the quality and types of social services in the community. This case study can be applicable to Roma communities living in rural or isolated areas where local authority and community members have limited capacity to plan and implement projects. Technical assistance and capacity building of local civil society organizations and local authorities can be carried out in a similar fashion, bringing in outside experts while working within the community.

SKILLS, INFORMATION, AWARENESS, AND CAPACITY OF COMMUNITY MEMBERS

Juventud y Empleo, Dominican Republic Salto Caxias Hydropower Project, Brazil

Individuals in marginalized communities often cannot exit a cycle of poverty and exclusion because they lack the skills and information needed to participate in the labor market or to access social services and opportunities. Building technical and life skills can thus make a significant positive difference in people's lives, as the **Juventud y Empleo** case study from the **Dominican Republic** shows. The model of the intervention—combining life skills and job training with an internship for real-life experience in the labor market—could be adapted to meet the skills needed in a community.

Another intervention—the resettlement program carried out under the **Salto Caxias Hydropower Project** in **Brazil**—involved a comprehensive set of services aimed at increased productivity and business opportunities for the beneficiary communities. The project activities included market research to identify business opportunities, capacity training of community members, and formation of cooperatives. These techniques can be applied to improving the livelihood opportunities of Roma communities with limited chances for income generation.

INCOME

Patrimonio Hoy, Mexico

People with limited resources are often denied access to credits and loans, preventing them from improving housing, starting a business, accessing education, or receiving healthcare. The **Patrimonio Hoy** project in **Mexico** illustrates an innovative model of noncollateralized microfinancing. It consists of a membership system in which participants pay a small weekly sum and receive technical expertise in addition to financing for building or improving their own housing units. It not only made credits available to low-income households, but also provided expertise and services to keep the cost of housing improvement low. In addition, the project enhanced the skills of participants (for example, construction, accounting) and increased their employability. This intervention can be replicated in low-income communities with no access to suitable financing mechanisms.

TABLE 1. CASE STUDIES AND RELEVANT GOOD PRACTICES

Highlighted Area of Need Addressed	Intervention Options	Case Study	Types of Needs Addressed							Relevant Good Practices Presented in the Handbook								
			Physical			Nonphysical				Community engagement	Planning resettlement	Participatory monitoring	Formalizing property rights					
			Housing	Basic services	Safe location	Access and connectivity	Spatial integration	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity of community members	Income						
Physical/Spatial Needs	Basic services	1. Second Rural Investment Project, Azerbaijan		●	●				●	●	●	●						
		2. Juan Bobo Resettlement Project, Colombia	●	●	●		●		●	●	●	●	●					
		3. UPP Social, Brazil	●	●	●	●			●	●	●	●	●	●	●	●		
	Safe location	Public safety programs	4. Barrio Ciudad, Honduras	●	●	●				●	●	●						
			5. Violence Prevention, South Africa		●	●				●	●		●					
		Resettlement and livelihood restoration	6. PROCAV II, Brazil	●	●	●	●	●				●	●	●	●	●	●	
	Access and connectivity	Improving neighborhood connectivity	7. Integrated Urban Project, Colombia	●	●	●	●	●			●	●	●	●	●	●		
		Social infrastructure upgrading	8. Priority Intervention Project, Romania		●	●				●	●	●	●		●	●		
	Spatial integration	Desegregation	9. Moving to Opportunity, U.S.	●			●											
	Housing	Housing improvements	10. Quinta Monroy, Chile	●	●	●								●	●			
Additional housing		11. Flood Protection Program, Argentina	●	●			●			●	●	●	●	●	●	●		
Nonphysical/Immaterial Needs	Civil documents	Civil registration							●	●	●							
	Tenure security	Land regularization						●	●	●	●			●	●	●		
	Capacity of service providers	Service providers' training	14. Post-Accession Rural Support Project, Poland															
		Mediators program		●	●			●	●	●								
		Education support																
		Public employment																
	Awareness and capacity of community members	Training schemes	15. Juventud y Empleo, Dominican Republic									●						
Employment services																		
	Parents' involvement promotion	16. Salto Caxias Hydropower Project, Brazil																
	Awareness raising and life skills education		●	●	●	●				●	●	●	●	●	●	●		
Income	Microfinancing	17. Patrimonio Hoy, Mexico	●								●	●						

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 1

Second Rural Investment Project (A_zRIP-2), Azerbaijan²

Supporting rural communities to develop and implement investment projects

In the past decade, Azerbaijan has experienced deteriorating infrastructure (roads, water, energy), especially in rural areas. This has in turn led to poor service provision and lack of development, impeding the fight against poverty in many of those rural regions. A significant inequality gap has emerged between rural and urban dwellers in terms of access to and quality of public utilities, income levels, and rates of healthcare access and educational attainment. Closing the gap requires increasing incomes from agricultural labor and diversifying the non-farm rural economy. Rural infrastructure is a key component of this effort, as road accessibility, irrigation and drainage systems, and public utilities are necessary for efficient economic activities and livelihood improvements.

Municipal and local government agencies have been working to reduce disparities between rural and urban regions, but they were in need of capacity development and strengthening. The Second Rural Investment Project (A_zRIP-2) mobilizes the targeted communities to work closely with local institutions. A_zRIP-2 is a repeater project, building upon and expanding on the design and lessons of the existing A_zRIP, first implemented in 2005. Through assessments and input from participating communities, it was determined that A_zRIP-2 would pay special attention to sustainability and maintenance issues, and focus on social and gender inclusion. Its design addresses priority needs indicated by the beneficiaries, predominantly rural infrastructure access projects (such as roads, water supply, irrigation) and livelihood and income-generating activities.



QUICK FACTS

Country: Azerbaijan

Execution period: 2012 to 2017

Total project cost: US\$53.6 million

Total number of beneficiaries: 600 communities (1.5 million individuals) under Component A; 150,200 individuals under Component B

Financed by: The World Bank and the Republic of Azerbaijan

Executor: State Agency for Agricultural Credits (SAAC)

Project development objective: To improve access to and use of community-driven rural infrastructure and to expand economic activities for rural households

Key feature: Regional PATs and TDCs support the targeted communities in developing and implementing projects by providing training, community mobilization, and technical assistance

Applicability: This case study could be applicable to EU member states where disadvantaged communities lack local institutional capacity to prepare and implement projects. Managing authorities could set up similar units for providing technical assistance for local actors to develop and implement projects

PROJECT DESIGN

A_zRIP-2 comprises three main components. Component A, Rural Community Infrastructure, provides financing for micro-projects in 56 rayons across the country. Main beneficiaries are communities of between 1,000 and 10,000 inhabitants, which meet set criteria and have high rates of poverty. Typical priority projects as identified by the communities include potable water, irrigation, sanitation systems, secondary roads, health and childcare centers, and parks.

Component B, Technical Assistance for Rural Infrastructure, enhances the capacity of local stakeholders and provides technical assistance to six pilot livelihood support initiatives. These focus on improving socioeconomic conditions through mobilization and organization of common interest groups (CIGs) and identification of income-generating activities. They will benefit about 1,200 people in six communities, chosen from among those that have successfully implemented micro-projects under the first A_zRIP. CIGs within the targeted groups will be trained in business management and eligible to submit community-approved micro-project proposals for financing under Component A. The livelihood services pilot is a direct example of responsiveness to community needs, as the demand for income-generating activities came from the beneficiaries. Component C, Project Management and Results Monitoring, funds the administrative and operational costs of project evaluation and assessments of indicators, data, and physical verification of subproject implementation.

A key institutional feature of A_zRIP-2 within Component B is the formation of regional project assistance teams (PATs) and technical design companies (TDCs), which play a key role in helping local communities design and implement projects. PATs have outreach, social mobilization and facilitation functions—they provide “hand holding” support for local communities to through (i) sensitization—community outreach, program marketing and advocacy, socially inclusive mobilization, and awareness raising; (ii) local initiative identification—selecting the top 4–5 priority needs and local development action plans, fostered through participatory methods; (iii) community mobilization—facilitation of the organization and rapid capacity enhancement of local project committees—community members that represent the interest of the community throughout the project management cycle; (iv) planning and designing of investment projects—assistance in preparing a project proposal and applying for A_zRIP funding, based on the technical design of the project to be prepared by a TDC; and (v) implementation—provision of training to local project committees on project management (financial literacy, public consultations, grievance mechanisms, monitoring & evaluation, and so on), implementation support (procurement, supervision), knowledge brokering services, and facilitation (decision making on procurement, operation and maintenance (O&M) arrangements, financial management, and so on) throughout subproject implementation.

TDCs are responsible for providing technical expertise and helping with the preliminary project designs, comparing technical and costing feasibility of alternatives, preparing technical documentation packages, environmental standards, as well as implementation monitoring and sustainability plans. Each community must also designate a community engineer to collaborate with the TDC and PAT units. The combination of demand-driven projects within communities and the integration of highly trained PATs and TDCs on the ground enhance the effectiveness of interventions.

RESULTS AND LESSONS

Impact evaluations from the first A_zRIP have shown significant improvements in rural communities’ mobility, access to infrastructure services, and increased farmers’ incomes. Moreover, a focus on sustainability, maintenance, and accountability resulted in 90 percent of rehabilitated infrastructure being functional.

A strong positive result is the enhanced involvement and capacity of community members and local authorities in developing and implementing projects that are relevant and appropriate to their needs, capacity, and other contexts. Replicating the TDC and PAT model in other marginalized, impoverished communities, such as those with Roma populations, would ensure that targeted groups benefit from these teams’ expertise in capacity-building, training, and project conception and implementation.

² Schlossar and Owen, 2012.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 2

Juan Bobo Resettlement Project, Colombia³

Managing risk through resettlement and densification



This case study presents an alternative approach to resettling low-income households based on densification (increasing the density of population in a given area). Under this approach, households located in risk areas are resettled nearby in multistory buildings. This case study also involved environmental remediation, income-generating activities, and urban infrastructure (parks, public space, and so on) upgrades. This model, which used integral and participatory approaches, can also be applicable for communities that need to be resettled due to infrastructure projects.

The project's area of intervention is in the northeast districts of the city of Medellín. This settlement—as can be seen in the photo on the right—was located in a high-risk area near the Juan Bobo River. Most of the area was occupied following informal processes. Prior to the intervention, 80 percent of dwellings had functional or structural dysfunctions and 94 percent of the households were not the legal owners of the land they occupied. Access to basic services was also precarious, with around 50 percent of households having informal water supply, 35 percent having informal electricity supply, and 100 percent having informal waste water disposal (mostly going to the river). It was estimated that 90 percent of the water flow in the Juan Bobo River came from disposal of waste water. In addition, there was an overall lack of public space in the area, with a density ratio of only 0.5m²/hab.

This resettlement project started in 2004, when the local government decided to pilot an in situ resettlement using integral and participatory techniques. This resettlement project is part of the Neighborhood Improvement Program lead by the Medellín Municipality that seeks to improve the living conditions of marginalized settlements, which are predominantly informal.

It is an integral intervention that combines infrastructure for the development of public spaces, improvement of basic services, and provision of housing for resettled households. One of the main innovations of the project is that households—which were in the risk areas near the river—were resettled nearby in apartment buildings that were built for this purpose through social housing programs. As a result, 4,000 new dwellings were constructed in multistory buildings.

QUICK FACTS

Country: Colombia

Execution period: 2004 to 2007

Total project cost: about US\$3 million

Total number of beneficiaries: around 1,240 inhabitants

Financed by: National, state and local government

Key feature: To resettle (nearby) households living in risk areas through densification using integral and participatory approaches. Apart from providing adequate housing solutions, the project involved environmental remediation, employment generation activities, and upgrading of urban infrastructure

Applicability: This model can be applicable to Roma communities living in high-risk areas or communities that need to be resettled due to infrastructure projects

PROJECT DESIGN

This pilot project was designed to have high levels of community participation. For instance, prior to the project's design, the community was involved in a participatory diagnostic that allowed the municipality to delimit the area of action and identify the 300 households that needed to be resettled. In addition, an Urban Pact was signed between the government secretary, the culture secretary, and other groups that had control over the area of intervention. Its purpose was to allow a harmonic development of the project in the area.

The project combined environmental remediation of the Juan Bobo River with resettlement and disaster risk management. It also pursued the development of harmonic and enjoyable public spaces to raise the living conditions of the neighborhood and provide either titles or housing solutions using existing social housing programs. The integral character of the project required the intervention of a large number of agencies at the municipal, state, and national level, which increased the complexity of institutional coordination.

The Urban Development Company, which was the main implementing agency, promoted different income-generating activities by providing technical training and supporting communal entrepreneurship. Women in particular were trained in handling food, clothes, and shoes confection and entrepreneurship. Other activities undertaken to leverage the community were the use of labor force for constructing infrastructure and housing improvements; training on accessing housing subsidies and maintaining houses; cleaning the river; and environmental workshops.



RESULTS AND LESSONS

As a result of the project, beneficiary families legally own their dwellings, and the construction of multistory buildings benefited 108 households from the area. The project also improved access to basic services. Today most families have access to water supply, sewerage, and garbage collection. In addition, the public spaces generated by the project allowed the average area available per inhabitant to be raised from 0.5m² to 3.2m².

This pilot project has been recognized by a number of international organizations such as the Comunidad Andina del Fomento (CAF) and UN-Habitat. It received the Best Practices Dubai International Award in 2008. The project showed it was possible to mobilize the community to generate urban transformations. In this case, it was possible to manage the risk of flash floods using environmental and technical criteria while resettling households nearby.

In order to manage informal settlements, it is recommended joining institutional efforts to adapt formal response systems in the housing sector. For example, providing housing subsidies and covering the full cost of housing requires coordination between all levels of government (national, regional, local) in Colombia. Joining forces to act in specific territories allows projects to benefit from synergies between components and generating urban transformations.

Some lessons learned from this pilot project served to adjust the methodology of Integrated Urban Projects in Colombia.

Some Roma settlements are located in areas at high risk for natural disasters, which makes them unsuitable for in situ upgrading. However, resettlement can disrupt social safety nets, generate income shocks, and affect households' livelihoods. When dealing with marginalized and poor communities like the Roma, these shocks can have severe and lasting consequences on their human development. The alternative densification approach of this intervention could be applicable to similar contexts.

³ de Medellín, 2011.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 3

UPP Social, Brazil⁴

Social integration in marginalized communities

The city of Rio de Janeiro comprises many favelas—urban slums plagued by poverty and social exclusion. Many favelas have been controlled by violent gangs and drug lords, who terrorize the community and create functionally lawless areas in the midst of the city. The residents of these communities are marginalized and experience inadequate and fractured provision of essential public goods and social services.

To restore order to these isolated pockets, the municipal Rio government launched the Pacifying Police Units (UPP) program in 2008. The goal of the UPP was to take back the favelas by expelling and disarming the criminal elements, provide police protection to the citizens, and restore peace. The UPP Social program is meant to supplement the pacifying process by fully integrating the pacified communities into social fabric. Executed by city hall and UN-Habitat, and coordinated by the Instituto Pereira Passos, it consolidates the gains of the UPP by supplementing them with integrated actions at the local level that would promote urban, economic, and social development.

Initial priority needs in each community vary and are assessed by UPP Social teams immediately after the implementation of a UPP force. The format of the consultation is an official forum open to community leaders, NGOs, local institutions, and representatives of the UPP and government. This encourages an open dialogue about the needs, expectations, and preliminary plans of action on immediate and future concerns.

QUICK FACTS

- Country:** Brazil
- Execution period:** 2010–present
- Total project cost:** N/A
- Total number of beneficiaries:** 27 pacified areas
- Financed by:** Municipal government of Rio de Janeiro
- Executor:** City Hall of Rio de Janeiro and UN-Habitat, coordinated by the Instituto Pereira Passos
- Project development objective:** 1) promote local citizenship in targeted communities; 2) promote urban, social, and economic development; and 3) achieve full integration of these areas into the city
- Key features:** Territorial management teams are deployed in the communities, which enabled (i) increased daily interaction with the community, (ii) ground-level data collection, and (iii) direct feedback from the community. A Geographic Information System (GIS) technology is used to map out infrastructure, points of services, and needs in the community
- Applicability:** Disadvantaged communities can benefit from the similar on-the-ground presence of project liaisons (experts, social workers, etc.), who can constantly monitor community needs and issues and coordinate the provision of necessary public services

PROGRAM DESIGN

The UPP Social program has a coordinating function; it does not directly provide any services. It is designed to be transitional and meant to disappear once full integration of the targeted communities into the city is achieved. UPP Social benefits from the resources of the municipality and the expertise of the Instituto Pereira Passos (IPP), an organization of the Rio government. IPP manages the city’s georeferencing system and is responsible for strategic urban planning. The IPP’s Directorate of Special Projects is dedicated to the development of programs and projects for social integration, and provides support to various departments and agencies of the municipality in the formulation, coordination, and management of intersectoral actions. On the ground, the program utilizes a community-driven approach in interacting with the beneficiaries directly to identify needed interventions, impediments, and to collect information. Ultimately, the standard of services provision that UPP Social seeks to achieve is the level of coverage typical for the rest of the city.

An example of UPP Social’s contribution is its role in planning and implementing new logistics of garbage collection in the beneficiary communities, by mobilizing residents to define points of collection, and by starting recycling programs. Other interventions include initiatives for managing traffic, identifying families eligible for social benefits, and recovering public spaces.

The UPP Social is organized into three teams that function together. The Territorial Management teams are on the ground, and their purpose is to interact daily with the community and its representatives to collect georeferenced data and feedback on implemented actions. This creates an open channel of communication with the community, making it easier to identify needs, while also gathering the most current information on existing infrastructure, conditions, and capacities within the community. Information Management teams analyze qualitative and quantitative data and evaluate the issue areas identified by the interactions with beneficiaries and the services offered in response. Institutional Management teams decide on which priorities and programs will be addressed and implemented by the municipal government. They agree with representatives of the communities on enforceable commitments and benchmarks to be achieved in the interventions, and identify and mobilize the relevant responsible agencies.

An exemplary feature to be noted in the project’s design is the composition of the Territorial Management teams. There are about 90 community workers who make up the teams, and more than half of them come from the communities they serve. This ensures they are particularly knowledgeable about the priorities to be addressed. Moreover, they have all undergone required training and have an advanced degree in a field relevant to their work (a minimum of a master’s degree in sociology, anthropology, law, and so on).

RESULTS AND LESSONS

The UPP Social is an ongoing program, and comprehensive results are expected in the future. There are about 20 specific indicators being developed to measure outcomes that will look at factors such as health and education levels.

One of the program’s features that can be replicated in other social inclusion interventions is the direct involvement of people from the targeted community in the work of the project, upon completion of relevant training. This would create a sense of ownership and a commitment to the intervention’s success. Continued and direct communication with all members of the community, including local NGOs and government representatives, is also essential to keep track of priorities and results.

A noteworthy innovation of the project is the use of GIS technology to map the communities—it offers an accurate, current view of streets and sites. The public database created as a result of georeferencing technology allows residents to access real-time information online, complete with maps, satellite images of communities, and information about ongoing projects. This promotes the transparency and accountability of social programming interventions.

Roma communities in urban slums or informal settlements can benefit from the similar on-the-ground presence of project liaisons (experts, social workers, and so on), who can constantly monitor needs and issues in the community and coordinate the provision of necessary public services.

⁴ UPP Social, n.d.a.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 4

Barrio Ciudad Urban Project, Honduras

Improving basic urban infrastructure and mainstreaming public safety principles

The Barrio Ciudad Urban Project merges urban upgrading with public safety activities using a participatory approach at the community level. This case study provides some examples mainstreaming public safety principles through urban design.

Honduras is among the countries with the highest per capita homicide rates in the world, with 86 homicides for every 100,000 inhabitants (in 2011). Gang violence is common, with youth and poor representing a disproportionate number of victims. In destitute conditions, gang membership often provided a sense of belonging and was an easy way for youth to make a living. At the time of preparation of the Barrio Ciudad project, Honduras was experiencing one of the highest urbanization rates in Latin America, and homicide rates doubled between 2005 and 2010. In combining urban infrastructure and public safety activities, the project addressed the government's desire to solve the challenges of urban development with an integrated approach.



QUICK FACTS

- Country:** Honduras
- Execution period:** 2005 to 2013
- Total project cost:** US\$16.5 million
- Total number of beneficiaries:** 55,891 direct and over 925,000 indirect beneficiaries
- Financed by:** The World Bank and Honduran government
- Executor:** FHIS
- Project development objective:** Improve the quality of life for the urban poor and to enable their municipal governments to continue and sustain such improvements
- Key feature:** Merging urban upgrading and public safety activities using a participatory approach at the community level. The project is being complemented with a temporary employment generation program
- Applicability:** This type of intervention could be applicable to the Roma context when dealing with poor and vulnerable communities with very low access to basic services and urban infrastructure. It also provides an example of how to mainstream crime and violence prevention through urban design

PROJECT DESIGN

The Honduran Social Investment Fund (FHIS) was the implementing agency for this project, which covered three windows: Neighborhood Upgrading, Crime and Violence Prevention, and Technical Assistance. Target areas included medium cities and urban municipalities with populations greater than 15,000, excluding Tegucigalpa and San Pedro Sula. The following municipalities were selected: Choloma, El Progreso, Siguatepeque, Puerto Cortes, Comayagua, Danli, Villanueva, and Santa Rosa de Copan.

The project was cofinanced by the World Bank (US\$15 million) and the government of Honduras (US\$1.5 million). In addition, participating municipalities had to provide between 15 and 20 percent of the total cost of subprojects.

A set of eligibility criteria was defined for each window. The Neighborhood Upgrading window targeted areas where at least 75 percent of the households were poor and had high crime and violence rates. Some examples of investments developed under the Neighborhood Upgrading window include: (i) building/rehabilitation of basic infrastructure, such as stairs, sidewalks, roads, and public lighting; (ii) improvement of access to basic services such as electricity and water supply and sanitation; (iii) improvement/creation of public spaces such as parks and sports facilities. Each specific investment to be financed was identified—at an earlier stage—in an Integrated Neighborhood Improvement Plan.

Subproject designs had to incorporate CPTED principles, and involved the community in the prioritization of investments. Examples of activities developed under the Crime and Violence Prevention window include: (i) participatory creation of insecurity maps with communities to inform project design; (ii) mobilizing communities, especially the youth, around violence prevention activities; and (iii) improvement of selected public spaces associated with crime and violence.

Under the capacity-building component, the project included activities such as vocational training, environmental management, community development, and specific training to key community actors (teachers, leaders, policemen) to prevent crime and violence. Teachers and community leaders were trained in conflict resolution and prevention. This was complemented by a temporary employment generation program financed by the Japan Social Development Fund.

Prior to approval, a set of key development indicators and progress indicators were defined, and FHIS was responsible for collecting information. An impact evaluation of some subprojects is currently underway.

RESULTS AND LESSONS

Under the project, 15 neighborhoods in 8 municipalities were improved; 600 community leaders were trained in community development issues; 80 neighborhood cleaning campaigns were conducted; and 600 persons (officials, youth, and so on) were trained in environmental management and crime and violence prevention.

Initial results are very promising. In the first community, where all infrastructure works and social interventions have been delivered, 85 percent of community residents reported feeling safe in their neighborhoods and 76 percent feel safe in their own homes (compared to 51 percent before). Results from the impact evaluation are expected to provide more evidence on the project's causal effects.

The following lessons may be drawn from this project:

- Participatory approaches were incorporated into the design throughout the project cycle (diagnostic, design, construction, maintenance), and were key to the project's success. Working with partners (government, civil society, private sector) to strengthen leadership at community level contributed to improving community-police relations and building citizens' confidence in the authorities.
- Experiences from Latin America, and globally, show that successful and sustained reductions in levels of crime and violence have mostly been achieved through integrated and participatory approaches at the municipal level (Bogotá, São Paulo, New York). This is because violence is caused by multiple issues and requires not just enforcement of laws, but also prevention. Violence is often linked to frustrated youth, unemployment, and marginalization; therefore, social integration—participatory approaches—is one of the key elements for violence reduction. In the Barrio Ciudad project, the participatory approach included financial contributions by the communities involved, hiring community members to provide labor in subprojects, and municipal and neighborhood initiatives to educate and involve people in the planning, implementation, and oversight of activities. This approach yielded stronger social cohesion and trust, a sense of ownership of the projects, and a communal desire for the interventions to succeed.

This type of intervention could be applicable to the Roma context when dealing with poor and vulnerable communities with very low access to basic services and urban infrastructure.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 5

Violence Prevention and Urban Upgrading, South Africa⁶

Improving economic opportunities through urban upgrading in marginalized and violent settlements



The Violence Prevention and Urban Upgrading (VPUU) project in South Africa provides an interesting and relevant model to reshape neighborhoods by linking economic opportunity and urban design. In this project, community members take an active role in the project design and implementation, and the project itself has created economic opportunities (in the form of jobs) for the community. The VPUU project demonstrated that inclusive urban design through community consultation can reshape a blighted and violent neighborhood.

South Africa has among the highest violent crime rates in the world, with crime often concentrated in informal and semi-formal economically depressed neighborhoods. The City of Cape Town, along with support from a number of international donors, developed an innovative approach to this intractable problem by linking local economic development and urban design. The result of this approach was the VPUU project. The project targets residents of the Khayelitsha Township, which experienced some of the highest rates of violence in South Africa.

QUICK FACTS

Country: South Africa

Execution period: 2005 to 2014

Total project cost: US\$55.6 million

Total number of beneficiaries: 200,000 residents of Khayelitsha Township

Financed by: KfW and various other sources

Executor: City of Cape Town

Project development objective: The project aimed to address public safety problems by linking economic development with community participation and urban design

Key feature: This project provides an example of improving economic opportunities through urban upgrading in marginalized and violent neighborhoods. The project has demonstrated that inclusive urban design with community participation can transform a blighted and violent neighborhood

Applicability: This type of intervention can be applicable to Roma communities living in segregated areas disconnected from economic, social, cultural, and institutional opportunities, where lack of opportunities could lead to crimes and violence

PROJECT DESIGN

Khayelitsha is a dormitory township of 200,000 inhabitants about 28 km from the city center. It was characterized by increasing crime rates, poverty, high unemployment, and high HIV rates. Since 1994, significant infrastructure investment made electricity and asphalted roads widely available and waste collection efficient. However, Khayelitsha still lacked social, cultural, institutional, and economic opportunities for residents.

VPUU addressed the crime issue by constructing interlinking public spaces. The neighborhood was split into specific "Safe Node Commercial Areas" which provide a safe overall environment for small business owners moving through the neighborhood. To date, four Safe Nodes have been identified through community consultation, business surveys, crime mapping, and household surveys. Throughout the nodes are "Community Active Boxes," which are small community centers staffed 24 hours a day by volunteer community residents and a caretaker who lives on the premises. Each box provides a variety of recreational and community activities. These areas became important parts of the community space and are well used by a variety of residents.

A social development fund (SDF) was added in 2007 to fund projects initiated by community members within each Safe Node. The SDF targets small investments (€500 to €5,000) in community infrastructure, which make safety, general, or environmental improvements. The SDF also targets requests for capacity building for income generation. Beneficiaries make a 10 percent contribution to the projects, which enhances community ownership. To date, funded projects include 13 child care centers and several youth art and drama festivals.

Financing was provided by a variety of local and international organizations. The majority of the funding came from the German Development Bank (KfW). Other funders include the Development Bank of South Africa, the City of Cape Town, the Carnegie Corporation, and FIFA (Football for Hope center). Project implementation included the efforts of 28 NGOs, several design firms, the local government, and resident volunteers. These groups coordinate all of the activities and trainings included in the project.

RESULTS AND LESSONS

VPUU demonstrated that inclusive urban design through community consultation could reshape a blighted neighborhood. Between 2007 and 2009 the crime rate decreased by 20 percent. New business have opened and residents report feeling safer. As a result, the City of Cape Town hopes to expand the program. The participatory process in the different stages of the project generated significant resident ownership. The project's success hinged on eliciting the needs of the community to help reduce crime rather than imposing designs and programs from outside.

This project demonstrates an impressive coalition of actors. However, maintenance of the improvements in the long term may prove challenging without significant financial commitment from the local community and municipal government. Thus, future investments may need to consider long-term financial planning as part of their initial planning efforts.

Many Roma live in segregated areas disconnected from job markets where the social, cultural, and institutional opportunities required for social inclusion is limited. An intervention like this one, linking urban design with the creation of economic opportunities, could be successful in transforming Roma settlements.



⁶ Open Architecture Network, 2012.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 6

PROCAV II Stream Canalization Program, Brazil⁷

Providing resettlement options through extensive socioeconomic considerations and community consultations



The population in the city of São Paulo, the largest city in Brazil, grew from approximately 6.5 million to 11 million in the last 40 years. The population growth was accompanied by a rapid expansion of favelas (slum areas), which grew from about 1 to 13 percent of the city's population during the same period. Many favela settlements are located in risky areas, such as on slopes and on the banks of streams that are prone to flooding. Settlement dwellings are built of unsuitable materials, and most of the inhabitants do not have deeds for their properties.

As part of a flood control program, the Municipal Secretariat of Urban Infrastructure of São Paulo organized a number of interventions, including stream canalization and slum upgrading of the favelas, which comprised construction of eight dams, over 60 km of canals and roads, and resettlement of over 7,500 households that were either living in flood-prone zones or in areas where the construction took place. The second stage of this program, supported under PROCAV II, involved resettling about 5,000 of these households between 1995 and 2007.

Specific objectives of PROCAV II were to reduce risks of frequent floods, mudslides caused by unstable constructions, and to improve sanitary and housing conditions of vulnerable families living in high-risk areas. The project also improved connectivity of low areas with the construction of new roads alongside the canal.

This case study demonstrates an example of mixed options used to resolve the resettlement of low-income families to higher quality houses through extensive socioeconomic considerations and community consultations. Offering a combination of options within the same community was key to the success of this project, since the population in the community itself could be as diverse as the general population—facing different socioeconomic challenges and unequal capacities to address them.

QUICK FACTS

- Country:** Brazil
- Execution period:** 1995 to 2007
- Total project cost:** US\$54.9 million
- Total number of beneficiaries:** 5,137
- Financed by:** Inter-American Development Bank and the Municipality of São Paulo
- Executor:** PROCAV Management Unit reporting to the São Paulo Municipal Secretariat of Urban Infrastructure
- Project development objective:** Reduce environmental risks through resettlement and improving housing construction, connectivity, and service provision
- Key feature:** Socioeconomic considerations and community consultations provided more favorable options for families who had to be resettled from hazardous areas. Involvement of community representatives played a key role in coordinating and monitoring processes to ensure that the expectations of the affected people are managed
- Applicability:** The approaches from this case study can be used to minimize the negative impacts of resettlement, in case a Roma community or neighborhood needs to be resettled to another location

PROJECT DESIGN

The following four options were given to the favela residents who had to be resettled for the purpose of the project:

THE FIRST OPTION—resettlement to new housing complexes—was offered only to families whose monthly income was at least 10 times greater than the value of the monthly mortgage payment. (Families had to pay part of the value of housing, with a subsidized loan of 20 years.) About 3,800 families moved to the new complexes under PROCAV II. The locations of the new housing complexes, as well as the distribution of resettled population, were determined so as to minimize disruptions to community's social ties. Social amenities and commercial space were built into these developments to allow the resettled residents to resume economic activities, since many were engaged in small businesses (such as mini-grocery stores) in their original homes. The average unit cost of each apartment was US\$9,725.

THE SECOND OPTION—resettlement to improved houses within the same favelas—was made available in areas that were not at risk of recurrent flooding. Upgrading was undertaken of both the housing and the underlying infrastructure. Upon resettlement, residents were given the deeds to their new homes—average unit cost of each house built under this option was US\$4,372. Over 600 families were resettled under this option.

THE THIRD OPTION—resettlement to other houses within the same favela—served families who could not afford the subsidized mortgage payments or who did not want to leave the favela. In practice, they were all given the “right” to move to the new housing complexes, which was transferrable to other residents in the nonrisk areas of favela who did not have to move. About 600 households moved under this option.

THE LAST OPTION—cash compensation—was offered to families who had the deed to their house and could manage to relocate on their own. The compensation amount included transaction costs required in purchasing and moving to a new house. About 1,000 families received compensation.

RESULTS AND LESSONS

PROCAV II improved the living and health conditions of over 5,000 families⁸ that were living in high disaster-risk areas, while also enhancing flood control and environmental protection. Making the option of staying in the same favela available to the affected families was considered a great success, since it allowed them to keep their social and economic capital in the new improved neighborhood.

Key to the success of the resettlement intervention was a socioeconomic survey conducted prior to project implementation. Information gathered through this survey enabled the project to determine adequate types and size of resettlement needs and the demand for associate social services, including schools and health facilities. There was, however, room for improvement with regard to the timing and quality of socioeconomic surveys, as the population density increased between the surveys and relocation, generating mistrust concerning resettlement, and making the project more difficult.

The establishment of the Resettlement Advisory Council (RAC), which included community representatives, played a key role in coordinating and monitoring processes to ensure that the expectations of the affected people were in line with the institutional, legal, and financial circumstances of the project. The RAC organized activities and involved local leaders and representatives of civil society organizations active in the area in the consultation and monitoring process.

This intervention can be applied in circumstances where resettling a community, or an upgrade in living conditions, is needed due to hazardous or irregular housing conditions. With this approach, customization of solutions and preservation of community ties are prioritized.



⁸ The number only corresponds to the families included in PROCAV II. Families involved in PROCAV I also benefited similarly

⁷ Marques and Scombatti, 2011.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 7

Integrated Urban Project, Medellín, Colombia⁹

Bringing equal opportunities to spatially segregated communities

Integrated Urban Projects (IUPs) are truly integrated projects with high levels of community participation across the project cycle—from preparation to implementation. They combine actions from a wide variety of sectors (basic infrastructure, health, education, employment, and so on) responding to specific needs and adapting infrastructure to the existing urban fabric.

IUPs were introduced in 2004 with the objective of providing equal opportunities to the residents of marginalized settlements in the city of Medellín. Prior to the IUPs, the Medellín Municipality had implemented a program called PRIMED, which sought to improve the living conditions of marginalized settlements using an integrated approach. However, projects lacked a sense of ownership, and the titling program—which was PRIMED’s main focus—did not achieve expected results.

The first IUP aimed to provide equal regional opportunities through integrated interventions in the city, and to positively change the population’s sociocultural behavior. So far, four IUPs have been implemented or are in the process of being implemented, covering 51 neighborhoods and more than 800,000 inhabitants, in areas of the city with the poorest quality of life.



QUICK FACTS

- Country:** Colombia
- Execution period:** 2004 to present
- Total project cost:** US\$6.446 million
- Total number of beneficiaries:** More than 800,000
- Financed by:** Municipality of Medellín and local, departmental, and national government
- Executor:** Municipality of Medellín
- Project development objective:** IUPs seek to provide equal opportunities to marginalized settlement through integrated interventions. They combine actions from a wide variety of sectors and have high levels of community participation
- Key features:** Early involvement of the community increased project ownership. The use of modern architecture generated the residents’ sense of belonging. The on-site upgrading and adaptation of physical infrastructure minimized overall costs
- Applicability:** This type of intervention could be applicable when dealing with marginalized communities that have been historically spatially segregated

PROJECT DESIGN

IUP is a planning instrument for integrated interventions in areas characterized by high levels of marginalization, segregation, poverty, and violence. IUPs have three fundamental interconnected components: (i) institutional; (ii) community participation and public communication; and (iii) physical. The first seeks to coordinate the different policies and services from the mayor’s office. The second seeks to provide opportunities for community participation in the projects’ design, construction, and appropriation. The third is the one through which physical transformations are generated.

IUPs seek to improve the living conditions of communities in a specific territory and generally include the following sectors:

- Environment—e.g., construction of linear parks
- Mobility and connectivity—e.g., development of integrated transportation systems
- Housing —e.g., relocation of families at risk of natural disasters and project-affected households
- Education, recreation, and sports—e.g., rehabilitation of sport units, libraries, schools, and cultural centers
- Training and employment—e.g., creation of Enterprise Development Centers and technical training
- Health and nutrition—e.g., rehabilitation or construction of new health centers
- Government and justice—e.g., installation of Immediate Attention Centers and houses of justice

Housing and transportation projects are generally financed by all three administrative levels (local, departmental, and national), while the Medellín Municipality largely finances interventions to improve public space and educational entities. One of the main features of IUPs is the intensive involvement of the beneficiary community, from design through implementation. For instance, employment of local labor force for the construction of infrastructure, when feasible, is given a priority. The mayor’s office works with the Urban Development Enterprise to ensure overall coordination and implementation, but each secretary is responsible for developing the projects that fall under their sectoral purview. For instance, the education secretary is in charge of schools and kindergartens.

The photos show some subprojects financed under IUP. These include the Biblioteca España, the aerial cable car connected to the Metro, and electrical escalators installed in District 13.

RESULTS AND LESSONS

After the implementation of the first IUP in the northeastern part of the city, there was a significant improvement in the Quality of Life Indicator suggesting a convergence with the rest of the city. Lessons learned to date include:

- Involvement of the community early on during the project design phase is essential for ownership and sustainability of investments.
- The use of modern architecture has served to generate a sense of belonging and has boosted the city’s tourism potential.
- The on-site upgrading and adaptation of physical infrastructure has minimized the number of project-affected households, and hence overall costs of these projects.
- Building upon existing government programs expands already existing programs and improves sustainability in the long term.



IUPs can be applicable to the Roma context when dealing with communities that have been historically spatially segregated. IUPs are a valuable example for inclusion projects aiming to improve communities’ overall living conditions by increasing connectivity, enhancing access to social services, and improving skills and employment opportunities.

⁹This case study is adapted from de Medellín, 2011; Betancur, 2007; Echeverri Restrepo and Orsini, 2010; EDU, 2010; and Restrepo Cadavid, 2011.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 8

Priority Intervention Project, Romania

Integrated services for children and adults in a marginalized urban Roma community

This project is one of 133 projects of the wider Priority Intervention Program (PIP) implemented throughout the country by the Romanian Social Development Fund (RSDF) under a broader Social Inclusion Project (SIP). The key particularity of PIP is its focus on Roma communities. The projects financed through it tackle various aspects of Roma social exclusion, such as low access to education, health, social protection and different types of infrastructure (such as road construction).

Bora is a neighborhood in Slobozia, capital city of Ialomita County. Approximately 1,700 Roma live in the neighborhood, 214 of whom are beneficiaries of the project, being the most poor and marginalized. They live in an environment characterized by multiple deprivations: general poverty, with unemployment up to 85 percent (some individuals have irregular day work, but generally the families are beneficiaries of social welfare); high rates of school absenteeism and abandonment, particularly among girls who get married early; and limited access to utilities. Half of the households do not have convenient access to drinking water or connection to electricity. From a total of 129 children, 69 are of school age (6 to 18 years old) but 23 have not been registered in school. The school abandonment rate is 70 percent. The community is on the outskirts of the city, in proximity to the garbage dump.

Besides the physical aspects of deprivation, there is also lack of knowledge and capacity to address both basic necessities (such as healthy lifestyle) and more complex needs (such as access to legal or social advice). To address the diversity of challenges, the project proposed to build a multifunctional social center—as a key infrastructure component—and to develop a series of school, formal, and non-formal education and counseling activities—as a social services component.

QUICK FACTS

- Country:** Romania
- Execution period:** December 2011 to December 2013
- Total project cost:** €133,000 (US\$173,000) out of which €93,000 went to build the center (infrastructure costs) and 10% of total is local contribution
- Total number of beneficiaries:** 214, of which 129 are children
- Financed by:** RSDF (through a World Bank loan to the Romanian government)
- Executor:** City Hall of Slobozia City
- Project development objective:** Achieve social inclusion of the Roma population of the Bora neighborhood through school integration of Roma children, increased awareness of school importance among parents, raise awareness in relation to Roma traditions and professional counseling for adults about social, cultural, educational, and legal assistance services
- Key feature:** Local community involvement in project design, based on needs assessment and partnership between public authorities and civil society organizations representing vulnerable people
- Applicability:** This intervention could be replicated in communities with marginalized populations, facing social exclusion in various spheres of life, such as health, education, and community involvement

PROJECT DESIGN

The project has 2 key components: (i) infrastructure—the building of the multifunctional social center on land offered by City Hall and (ii) community-based social services—including educational, school and afterschool activities, leisure and traditional cultural activities, social and legal counseling for adults, health-related education and information, and environment sensitization. The project aims at reducing the difference in the living conditions between the Roma community and the neighboring environment, and creating the premises for the community's future development. This is mainly tackled through empowering the inhabitants to identify and deal with a variety of issues and offering an opportunity to genuinely experience exchange with other similar communities.

The project is implemented by a combination of working bodies: (i) an initiative group (IG), made up of more than 30 community members, is in charge of identifying problems, proposing local solutions, and facilitating the dialogue between project managers and the community; (ii) a management agent (MA), comprised of voluntary staff from City Hall, is in charge of legal procedures; (iii) a local monitoring unit (LMU) of three to five people, including IG and MA persons, is in charge of ongoing monitoring and reporting activities to RSDF; (iv) a community facilitator (RSDF staff—a total of 30 persons at country level) provides technical assistance to the community at all stages of the project cycle; and (v) a supervisor and a monitoring staff from RSDF are in charge of the overall supervision of activities, with particular focus on financial aspects (fulfillment of public spending rules).

Notably, the IG community representatives have committed to being more involved and signed a common document guaranteeing their involvement at the project inception phase and establishing their responsibility and accountability toward the achievement of its objectives. In addition to being gender-balanced (16 women in IG staff), the program establishes additional eligibility criteria prior to project selection for financing. In this particular case, the IG is legally registered at City Hall, all members live in the vulnerable and marginalized area, and their three representatives to the LMU were elected by at least 75 percent of IG members.

RESULTS AND LESSONS

The key achieved outputs of the projects are: (i) 154 inhabitants attended regular counseling sessions in order to discuss and increase civic accountability (participation in decision making and concrete involvement in community-based activities—preservation of cleanliness, observance of safety, and so on); (ii) 20 (30 in the second year) Roma children benefited from school and afterschool activities, including meal provisions; (iii) 214 Roma parents are involved in networking and counseling activities among themselves as a means to ensure better participation of their children in school and to raise awareness about school importance; (iv) school absenteeism and abandonment decreased by 20 percent; (v) 20 school teachers attend Roma culture and history sessions, and intercultural and inclusion-based education training; and (vi) 12 boys and girls are part of an artistic group at the multifunctional social center and 4 young Roma are members of a local Taraf (Roma music band).

A key strength of the project is that it involved the community from its very design stages. This guarantees the relevance of activities and inspires a sense of ownership and, consequently, a respect for the project achievements (often, in the communities where no prior consultation took place, some of the material results of the project, including housing, are subject to neglect and even destruction). The following elements could be replicated in other interventions:

- Activities by facilitators throughout the project cycle, including: support organizing and implementing participatory monitoring and evaluation activities; informing the communities and the local stakeholders of the technical assistance needed to access local development funds; supporting the dialogue between community and local authorities; data collection and analysis for project conception; and implementation and impact evaluation of the program.
- Knowledge exchanges with other Roma communities and development of cooperative relationships among communities, with a particular focus on ensuring local commitment and project sustainability.
- Technical assistance to beneficiaries on accessing other grants.
- Training beneficiaries and professionals in the area of quality assurance of project implementation.
- Monitoring and evaluation on the ground and with community involvement.
- Constant supervision.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 9

Moving to Opportunity for Fair Housing, United States¹⁰

A rental voucher program that allowed scientific impact evaluation

The Moving to Opportunity for Fair Housing Demonstration Program (MTO), sponsored by the U.S. Department of Housing and Urban Development (HUD), is one of the most significant research efforts to study the effect of neighborhood conditions on the lives of very low-income families. It was launched in 1994 to test whether offering housing vouchers to families living in public housing projects in high-poverty neighborhoods of large inner cities could improve their lives by helping them move to lower poverty neighborhoods.

The program provided housing vouchers to selected low-income families from high-poverty neighborhoods to allow them to move to mixed-income neighborhoods. Participants are able to find their own housing in single-family homes, townhouses, and apartments; housing is not limited to units in subsidized housing projects. The participant is free to choose any housing that meets the program requirements and where the property owner agrees to lease under the program. Housing choice vouchers are administered locally by public housing agencies (PHAs). The PHAs receive federal funds from HUD to administer the voucher program. Rental units must meet minimum standards of health and safety, as determined by the PHA. A housing subsidy is paid to the landlord directly by the PHA on behalf of the participating family. The family then pays the difference between the actual rent charged by the landlord and the amount subsidized by the program.

The most important feature of the MTO program was the possibility to scientifically study the effects of neighborhood conditions on a variety of outcomes thought to influence the life chances of adults and children. Through an experimental research design, the program examined the effect of neighborhood conditions on mobility, housing, social networks; mental and physical health; economic self-sufficiency; risky and criminal behavior; and educational achievement.

QUICK FACTS

Country: United States

Execution period: 1994 to 2011

Total project cost: N/A

Total number of beneficiaries:
4,600 low-income families

Financed by: HUD

Executor: HUD

Project development objective: Evaluate the impact of neighborhood conditions on a variety of outcomes thought to influence the life chances of adults and children, including mobility, housing, neighborhoods, and social networks; mental and physical health; economic self-sufficiency; risky and criminal behavior; and educational achievement

Key feature: The action research examined the impact of housing vouchers on the life outcomes of disadvantaged families living in poor neighborhoods

Applicability: Desegregation of Roma communities can benefit from the findings of the action research. They indicate that merely moving families from marginalized neighborhoods to more affluent ones is not enough to improve their living conditions

EXPERIMENT DESIGN

Five PHAs (Baltimore, Boston, Chicago, Los Angeles, and New York City) administered HUD contracts under a 10-year demonstration project. They recruited approximately 4,600 very low-income families living in distressed public housing to enroll in MTO from 1994 through 1998. Most participating families were from minority populations and headed by single mothers; approximately 75 percent received welfare. Families were randomly assigned to one of the following three groups: (i) an experimental group receiving housing choice rental vouchers with a restriction requiring them to move to neighborhoods with poverty rates below 10 percent; (ii) another experimental group receiving vouchers with no restrictions placed on relocation neighborhoods; and (iii) a control group living in public or project-based housing that did not receive mobility vouchers.

The study followed individual families for approximately 10 to 15 years, enabling the researchers to examine the short- and long-term outcomes of all three groups through qualitative and quantitative methods.

THE INTERVENTION

The treatment group received rental assistance certificates or vouchers that they could use only in neighborhoods with 1990 poverty rates below 10 percent. In each city, a nonprofit organization under contract with the PHA provided mobility counseling to help low-poverty group families locate and lease suitable housing in a low-poverty area. Families were required to contribute 30 percent of their adjusted income toward rent. There were prohibitions on rental assistance to households engaging in certain types of criminal activity.

RESULTS AND LESSONS

The findings of MTO highlight the complexity of issues facing the urban poor and the positive role housing mobility programs can play in expanding access to low-poverty neighborhoods. Although MTO did not improve outcomes across all indicators presented in the final report, it did provide expanded access to neighborhoods where residents felt safer, experienced higher levels of neighborhood satisfaction, and thought housing conditions were better. The benefit of living in these neighborhoods was observed in positive health outcomes for females relative to the control group.

Moving to a lower poverty neighborhood, however, did not lead to more positive employment outcomes for adults and grown children, nor did it improve education outcomes for youth. These findings indicate that barriers to employment (at least for this population) may be based on other factors, such as skill development and education rather than proximity to employment opportunities, and that moving to less poor neighborhoods does not necessarily equate to increased access to higher quality schools or improvements in educational achievement.

This type of program is relevant for Roma communities living in segregated neighborhoods with high poverty rates. The results suggest that to have a meaningful impact on community well-being, providing better housing or simply moving disadvantaged families to more affluent areas is not enough to improve families' socioeconomic conditions. Integrated approaches that combine housing with other targeted interventions are needed to stop the intergenerational transmission of poverty.

¹⁰ Sanbonmatsu et al., 2011; US Department of Housing and Urban Development, n.d.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 10

Quinta Monroy, Chile¹¹

Customized solutions to improve housing conditions

In 2001, the government of Chile was looking to address the housing problem facing low-income households and began working on a program called “Chile Barrio” (Chile Neighborhood). The government asked a for-profit company, Elemental (affiliated with the Universidad Católica), to design a solution for in situ resettlement for Quinta Monroy. Quinta Monroy started as an illegal settlement in the 1960s in Iquique city, which grew to house around 100 families. Although located in precarious conditions, the settlement was in a prime area near commercial activity and good transportation connections. Prior to this project, the residents had been offered a package to resettle to another neighborhood, which they declined.

The challenge presented was considerable: in order to avoid burdening households with debt, Elemental had to design and propose low-cost housing for the 97 families living in Quinta Monroy on an area of 5,000 m², at about US\$7,500 per family. The final design of the intervention, piloted at Quinta Monroy, is based on the provision of basic housing structures that allow households to customize and incrementally improve their houses.



QUICK FACTS

- Country:** Chile
- Execution period:** 2003 to 2004
- Total project cost:** US\$7,500 per household
- Total number of beneficiaries:** about 100 families
- Financed by:** Government of Chile
- Executor:** Elemental (a for-profit company) in partnership with other institutions
- Project development objective:** Provide low-cost housing units for in situ resettlement of an entire community
- Key feature:** The main innovation of this project is to provide basic housing structures at low cost, allowing households to customize and incrementally improve their dwellings at their own expense and according to their preferences
- Applicability:** This type of intervention can be applicable to Roma communities living in dilapidated housing with poor access to services. This case study also provides some insights on how housing solutions can be shaped to take into account households’ livelihoods

PROJECT DESIGN

The proposal that Elemental made was high-density housing without overcrowding. It regrouped the resident households into four smaller communities, each arranged around a public space. A basic housing structure was proposed for each household, which could gradually be expanded and improved over time.

One of the main innovations of this project was the way in which housing was designed. Elemental proposed a variation of the traditional row house: each unit had an empty space of equal size on the side, to allow for future expansion of the dwelling. The initial space provided was 30m² with a potential for expansion to 72m². In addition, each unit was equipped with the basic minimum infrastructure. For example, it had plumbing but no fitting for the kitchen and bathroom, and households were expected to finish and customize their spaces at their own pace, depending on their preferences and what they could afford. The project also encouraged the development of common public spaces—instead of internal roads—to foster social interaction.

For the implementation of the project, households were organized in neighborhood committees. Households were consulted on how they wished to customize their future dwellings and their preferences for location (upper or lower floors). During the construction period, households were moved to transit camps, which were dismantled when the construction ended. In order to assure quality of construction, in particular the aspect of seismic resistance, a construction advisor provided technical guidance to households on how they should carry out their planned internal and external renovations.

RESULTS AND LESSONS

As a result of the project, 100 families were resettled in situ and received basic units that they could expand according to their preferences and budget. Although the project was completed in 2004, households continue to improve their houses incrementally by adding rooms, setting up shops in lower floors, and so on. Some households are renting out the extra space and earning additional income.

The Quinta Monroy project benefited not only from innovations in architecture and incremental housing but also from partnerships between the government, academia, beneficiary communities, the private sector (Elemental) and nongovernmental organizations (NGOs). The partnership facilitated transformation of ideas from academia into practical solutions in the real world. Households’ preferences were also considered in the solutions.

The project has been recognized internationally as a best practice and proved to be a very viable solution for social housing. Since this project, the Elemental group has constructed well over 1,000 expandable units in Latin America and another 1,000 are under construction. While the initial project involved in situ resettlement of an informal neighborhood, this approach had been replicated in other countries for social housing provision.

Many Roma families live in dilapidated housing with poor access to services and low energy efficiency. The traditional approach to providing housing to low-income households in many Eastern European countries has been through social housing schemes. These schemes generally rely on the provision of standardized housing solutions in multifamily buildings, which sometimes do not match households’ preferences and are incompatible with their livelihoods. This case study presents an alternative approach to improving housing conditions of low-income households that can be relevant to Roma communities living in dilapidated housing.



¹¹Elemental, 2008; Elemental, n.d.; Museum of Modern Art, 2010; OpenBuildings, n.d.; The Incremental House, 2008.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 11

Flood Protection Program, Argentina¹²

Relocation through assisted self-construction

Argentina is prone to recurrent flood disasters, especially in poor urban informal neighborhoods. The Flood Protection Program was developed to protect the livelihoods of about 5.5 million people living in flood-disaster-prone areas via construction of flood protection structures and strengthening institutional mechanisms to manage prevention and response measures. As part of the program, 5,636 new houses were constructed for people who had to be relocated to safer areas, in addition to 99 shelters that were built for people affected by floods.

The program was targeted to very poor, vulnerable populations in the flood disaster areas by applying a strict set of eligibility criteria, which included: (i) living in the flood-affected area; (ii) owning the damaged house, in which they lived for at least three years, and which was their only house; (iii) having too low an income to repair or build the house; and (iv) committing to contributing labor. All beneficiary households were living under the poverty line (85 percent in extreme poverty) and none had a legal title to their house. With an average family size of five, the majority of beneficiary households lived in a house with only one room. More than half of the houses had dirt floors, and over 80 percent were not connected to water supply.

This program demonstrates a cost-effective approach that could be applied to providing housing to a poor, vulnerable population that imparts a strong sense of ownership and sustainability.



QUICK FACTS

Country: Argentina

Execution period: 1997 to 2006

Total project cost: US\$224.2 million (housing component: US\$ 29.2 million)

Total number of beneficiaries: 5,636 households

Financed by: The World Bank and provincial governments of Argentina

Executor: Central Emergency Coordination Sub-Unit (SUCCE) of the Ministry of Federal Planning, Public Investment and Services

Project development objective: Provide a cost-effective solution, using a self-construction approach, to housing in flood-risk areas inhabited by poor populations

Key feature: The assisted self-construction approach reduced the cost of housing construction and increased quality of life. The acquisition of construction skills increased participants' employability and self-esteem. The grouping of participants fostered a sense of neighborhood solidarity

Applicability: This case is applicable to the improvement of housing conditions for poor Roma households that do not have sufficient resources to pay for the construction or rehabilitation of their houses. It is also applicable when a marginalized neighborhood needs to be resettled

¹²Pérez and Zelmeister, 2011.

PROGRAM DESIGN

The program applied the assisted self-construction approach to building houses, which was intended to lower construction costs, increase employment skills, and promote community cohesion and cooperation, without generating a sense of entitlement or charity.

Under the program, participants were led to form groups of 20 families (approximately 100 people). Each group worked as a team to build 20 houses in mutual assistance. They often did not have any experience with construction, but with the help of the program's provincial subunits, which consisted of architects and social workers, received the necessary training and skills to build the houses. Those who could not participate in the actual construction contributed through other tasks. Construction materials were provided free of charge by the program, through vouchers, which were given in tranches as the work progressed, and up to US\$6,200 in value per household. These vouchers could only be used for the purchase of materials at each stage, and were not transferrable. They were managed under strict supervision with serial numbers and detailed records of quantities, amounts, and recipients.

The houses were built on lots provided to the participants free of cost by the local government and prepared by the housing institute in line with the urban development plan. After the lots were proposed to the participants, they were given the choice to accept or reject the location. They could participate in the program only after they accepted in writing that the new location would not weaken their livelihood or social networks. In addition, they were informed of the level of urban development, the housing model, and the assisted self-construction modality, which they also had to accept in order to participate. The agreements ensured that the relocation would not harm the participants' livelihood and social networks, and that the design and location of the new house would be compatible with their preferences. The participants were given the deeds to their houses at no cost, provided that they would move in immediately and not sell them for at least five years.

In addition, local governments provided basic infrastructure, including streets, electricity, and water to the new urban development.

RESULTS AND LESSONS

The self-construction scheme enabled the provision of houses at a lower cost, culminating in the construction of 5,636 houses. As a result of self-construction, 92 percent of participants with no prior construction experience acquired new skills, and income has increased for 41 percent of them who now have construction-related jobs. About two-thirds of participants reported that the training and experience increased their chances of finding employment. Over 90 percent of participants also reported improved quality of family life with more living space and privacy, as well as a greater sense of security and opportunities.

The self-construction in groups also resulted in boosting the beneficiaries' self-esteem, sense of belonging to the community, neighborhood solidarity, and spirit of cooperation.

The robust management of the voucher program and the adequacy of the training activities were important aspects of the program that ensured its transparency and success.

This case is applicable to the improvement of housing conditions for poor Roma households that lack sufficient resources to pay for the construction or rehabilitation of their houses. It is also applicable when a marginalized neighborhood needs to be resettled from a hazardous or disaster-prone area. The practices presented in this case (i) improve the housing conditions in a cost-effective manner; (ii) increase participants' employability and self-esteem by developing their construction skills; and (iii) foster a sense of neighborhood solidarity by forming groups that work together for common goals.



Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 12

Inner City Basic Services Project, Jamaica¹³

Civil registration for improved access to social services

The Jamaica Inner Cities Basic Services Project (ICBSP) intended to holistically address the dimensions of human, social, economic, and environmental development of inner city communities. The project included a civil registration activity that aimed to enhance citizens' access to basic services in 12 prioritized communities through provision of personal identification documents. In Jamaica, birth certificates are often a prerequisite to obtaining other national registration documents (such as national identification, a taxpayer registration number (TRNs), and national health insurance), and are also often needed to access social services in the areas of health, education, and employment.¹⁴ Thus, lacking registration documents keeps people from accessing available public services, and reinforces existing cycles of poverty and exclusion. The civil registration component arose as a response to this reality.

QUICK FACTS

- Country:** Jamaica
- Execution period:** March 29, 2006—December 31, 2013 (civil registration activity: 2008 and 2012)
- Total project cost:** US\$32.8 million (civil registration activity: US\$6.4 million)
- Total number of beneficiaries:** 61,953 individuals (civil)
- Registration activity:** 4,675 individuals
- Financed by:** Government of Jamaica, with loans from the World Bank
- Executor:** JSIF and the RDG, with technical assistance from the World Bank
- Project development objective:** Improve quality of life in 12 inner city areas and poor urban informal settlements through improved access to basic urban infrastructure, financial services, land tenure regularization, enhanced community capacity, and improvements in public safety
- Key feature:** The civil registration activity provided subsidized registration services in highly impoverished and vulnerable communities
- Applicability:** The intervention could be applied to the act of providing registration documents to facilitate vulnerable communities' access or use of social services and programs, while also generating a heightened sense of inclusion

PROJECT DESIGN

As part of the ICBSP project, the Jamaican Social Investment Fund (JSIF) and the Registrar General's Department (RGD)¹⁵ hosted one-day outreach fairs at each of the 12 targeted communities—sometimes holding multiple fairs to accommodate higher density areas to provide one-stop shops for community members to apply for and receive expedited registration certifications.¹⁶ Participants could apply for birth certificates, TRNs, and other civil registration documents—all provided either at subsidized or no cost. Participants who received birth certificates also received help accessing other services, including TRN, National Health Fund (NHF) cards,¹⁷ and their national IDs. Delegates from JSIF, RDG and Community Liaisons staffed each fair.

RESULTS AND LESSONS

As a result of the civil registration activities, close to 4,675 persons from 12 inner city communities received registration documents at a cost of J\$5.16 million. Beneficiaries ranged from newborns to elderly community members. Communities reported a heightened awareness of services accessible to them. The certification fairs also helped the city capture vital statistical data to assist the national planning process.

During the first phase, the implementing agency observed that although the fair took place within the community, access issues prevented people from attending (including mobility issues due to age, disability, or gang-related barriers). To address this issue, during the second phase, the project implementation unit (PIU) conducted a door-to-door community survey to assess existing needs and issues with mobility. Outreach fair coordinators could then send teams to houses where tenants were determined to have a mobility issue.

A particularly successful aspect of the operation was the hiring and training of community liaisons, who were compensated with a modest stipend. They were known and trusted community members whose function was to support the application process, community mobilization, and the distribution of newly issued birth certificates. Their participation was extremely important in overcoming issues of trust, fear of sharing personal information, and demystifying barriers to service.

The project's other components asked for a small "symbolic" donation from community members. This was useful in making the community value the services. The amount collected in donations was then returned to the respective community's leadership to fund community services (such as school supplies, waste management services, and community surveillance).

Phase 1 of the civil registration activities did not establish sufficiently strong links with other social and technical services available to the community. During its second phase, this was addressed by mapping community demand for birth certificates prior to the community fairs. For example, if a parent tried to register their child in an afterschool program and the child did not have a birth certificate, the program community liaisons would take down the child's information and ensure he or she was prioritized during the certification fair. This type of cooperation provided both a way to (i) establish and meet the existing need in the community before the certificate fair, and also (ii) prevent people from being barred from the services.

Outreach fairs were widely advertised a month in advance, both through community-based organizations and door-to-door surveys. This included sensitizing people to available services, and often convincing people who were part of the "informal sector" of the importance of being officially registered and availability of the "free public services" accessible to them upon registration.¹⁸

¹⁵ The RGD is the only organization that provides certification services in Jamaica.

¹⁶ Documents were processed within seven days of the application date.

¹⁷ The NHF card provides subsidies to beneficiaries of all ages to treat 15 chronic illnesses. Every person living in Jamaica diagnosed with any of the 15 chronic illnesses covered is eligible for coverage.

¹⁸ Community behavioral change strategy must be devised in a way that is sensitive to the local context and underpins why people are not registering in the first place.

¹³ Jamaica Social Investment Fund, n.d.a; Jamaica Social Investment Fund, n.d.b; Braham, 2014; Jamaica Information Service, 2014; Jamaica Observer, 2013; World Bank, 2013.

¹⁴ Until 2007 it was not required for women to register their children after giving birth, which resulted in many unregistered births. In 2008 Jamaica approved the Bedside Registration Law that allowed for birth registrations to be carried out at hospitals.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 13

CESAR Project, Romania

Registering Roma's land rights

While Romanian Roma do not constitute a homogeneous socioeconomic group, many live in informal settlements; that is, in unplanned areas where construction is generally not in compliance with zoning and building regulations, and real property rights are informal. Real property rights informality is a source of uncertainty, which discourages investments and reduces economic opportunities. Therefore, real property rights formalization is important for improving the living conditions of Roma families.

The formalization of Roma real property rights became a subject of increasing attention under the Complementing EU Support for Agricultural Restructuring (CESAR) Project. The project began in 2007 and includes a systematic registration pilot in 50 communes. During the project it became apparent that special attention was needed to formalize the real property rights of vulnerable groups, including Roma. The CESAR experience revealed the presence of 16,000 Roma families in the pilot communities, many of whom had been bypassed by the restitution program during the initial years of transition to the market economy. Many live in old settlements that are very similar to those of most poor rural communities. Their inhabitants often lack legal documentation, in general, and legal property rights, in particular. The CESAR pilot provides the National Agency for Cadastre and Property Registration (ANCPI) and local authorities with a unique opportunity to promote the inclusion of these Roma families through the formalization of their real property rights. Systematic land registration is being piloted in 50 communes. The approach is based on the experience gained from a smaller pilot executed between 1998 and 2006. At that time, the progress with cadastral and land registration services were slowed down by coordination issues. However, with the CESAR project, systematic registration is being coordinated by the ANCPI.



QUICK FACTS

Country: Romania

Execution period: 2006 to present

Total project cost: €47.7 million

Total number of beneficiaries: 230,649 (of which approximately 16,000 are Roma)

Financed by: The World Bank

Executor: ANCPI

Project development objective: Facilitate market-based farm restructuring through enhancing the ability of farmers, farm family members, and farm workers to manage their assets and income

Key feature: Regularization of property rights was facilitated for vulnerable groups through (i) vulnerability mapping; (ii) local awareness campaigns; (iii) community meetings; (iv) social monitoring; and (v) introduction of flexible registration instruments, such as certificates of possession

Applicability: The approach and techniques are applicable to informal Roma settlements, where their access to services and social and economic opportunities are hampered by the lack of formal property rights

PROJECT DESIGN

As part of the systematic registration campaign, the ANCPI executes a local environment analysis in the target communes. This analysis is also called "vulnerability mapping" because one of its main objectives is to identify vulnerable groups, assess their property rights, and ensure their rights will be duly taken into account in the course of the land registration process. Specific attention is paid to Roma settlements. When vulnerable individuals or groups are identified, the ANCPI alerts the local registration offices and local authorities to ensure that the vulnerable groups are fully included in the process and provided with adequate assistance.

Once the vulnerability mapping is completed, the mapping and registration fieldwork is carried out by a private company in collaboration with the local mayor's office and registration office. Roma representatives are consulted in the process, and a local awareness campaign is carried out with posters and announcements over the radio, television, and in local newspapers. Once Roma communities have been identified, special meetings are organized, followed by the land boundary demarcation and collection of legal evidence, which for Roma is often incomplete.

The registration of Roma property rights is facilitated in the process in various ways. If Roma families have deeds, the ANCPI monitors the registration process for adequate assistance. When families have no legal basis for the formalization of their rights, the project then becomes a starting point for negotiations with the local government. Those who reside on public land may be offered to lease or purchase the land. Also, the registration law was amended in July 2012 to allow registration of possessions, which can be converted into ownership rights if no claim is made against the possession within five years. Those who are on private land are assisted to find an arrangement with the legal landowner. Each case is specific and must be addressed as such.

The results of the systematic registration campaign are verified by communities in a public display. Complaints are recorded. Complaints are resolved when possible; otherwise they may be transferred to the court. Real property records are corrected and rights are registered in the new Land Book system. In parallel, a consultant undertakes social monitoring to evaluate the participation of vulnerable groups.

RESULTS AND LESSONS

Many rural Roma settlements are established and permanent in nature, but often they have less secure property rights than their neighbors. Approximately 16,000 Roma people are expected to benefit from the property rights regularization activities financed through the CESAR project. Some will receive full property rights, others certificates of possession or land leases.

The CESAR project does not guarantee an immediate or full regularization of the identified informal Roma settlements, but it provides transparency and facilitates an opportunity for rural Roma inhabitants to claim their due rights and initiate regularization negotiations with the state, municipality, or other legal landowner(s).

The approach piloted in the CESAR project on how to regularize informal Roma settlements is promising. However, it remains an ad hoc response to addressing Roma land tenure issues within the framework of a broader systematic registration project executed in a limited number of communes.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 14

Post-Accession Rural Support Project (PARSP), Poland¹⁹

Increasing social inclusion through capacity building at the local level



Poland's 1989 transition to a market economy resulted in several waves of strong economic growth, though these did not benefit all of society equally. Economic liberalization exposed structural poverty and long-term unemployment, which contributed to a self-perpetuating cycle of social exclusion, especially in rural and underdeveloped gminas (local districts). Other factors, such as deficiencies in human capital and social skills, and even physical disability and substance abuse (and the stigma associated with them) worsened marginalization in many communities. It was evident from the intergenerational perpetuation of poverty and long-term unemployment that achieving high economic growth was not enough in the struggle against social exclusion. Active policies to encourage inclusion at the local community level were needed.

The PARSP initiative was designed to actively engage local government actors and civil society organizations at the municipal level in the development and implementation of social programs that directly addressed the causes of exclusion. PARSP supported local actors in planning and implementing services for marginalized groups in the 500 poorest gminas selected for the project. Special attention was paid to particularly vulnerable individuals, as identified by the communities, such as youth, children, the disabled, and the elderly. Initial priority needs that were identified included better access to healthcare, education, and communications services. The PARSP project aimed to build capacity among local authorities and to enhance the effectiveness of the farmers' social insurance agency, Kasa Rolniczego Ubezpieczeni ia Społecznego (KRUS).

QUICK FACTS

Country: Poland

Execution period: 2006 to 2011

Total project cost: US\$92.34 million

Total number of beneficiaries: 580,000 direct and 1,260,000 indirect beneficiaries in 500 gminas (local districts)

Financed by: The World Bank and the government of Poland

Executor: Ministry of Labor and Social Policy and KRUS

Project development objective: Increase social inclusion in rural underdeveloped gminas by enhancing the capacity of local governments to identify, plan, and execute social inclusion strategies through a Social Inclusion Fund (SIF)

Key feature: Encourages social inclusion initiatives for poor and marginalized groups by building capacity at the local community level. External consultants were deployed to provide expertise and ideas to local communities, and worked as a link between local authorities and civil society organizations

Applicability: This case study can be applicable to Roma communities living in rural or isolated areas that would benefit from targeted social inclusion actions on the ground, focusing on especially vulnerable groups

PROJECT DESIGN

The project comprised three components. Component 1 focused on KRUS administrative reform. Component 2, social inclusion, aimed to (i) finance technical assistance for the development of social inclusion strategies, and (ii) provide social services to the poorest and most disadvantaged groups in the participating gminas through a Social Inclusion Program (SIP). Component 3, national awareness, supported the objectives of the other components by raising public awareness through publications, conferences, and campaigns.

One good practice of the project was the creation of a Management Information System (MIS), which regularly collected data on the implementation of the SIP (such as information on the profiles of beneficiaries, capacity-building activities, types of social inclusion activities, and financial flows). It informed implementation quarterly, enhancing the targeting of activities and identifying and addressing challenges. Another notable feature of the SIP was the inclusion of 27 regional consultants who were recruited to provide expertise, advice, and linkage between local government authorities and other stakeholders in the projects. The dynamism and innovative ideas they provided enhanced the work and strengthened the capacity of the other actors, contributing to the success of the SIP.

One example of a successful subproject was the initiative of a resident of the village of Byszow to organize, for the first time ever, sporting competitions for disabled children. As a consequence, they could pursue an activity no one had organized for them before, while feeling a sense of self-worth and of belonging in their community. Another project in a different rural community financed the establishment of a kindergarten for local children. With support from the mayor, local civil society organizations, and input from residents, a plan was made, an unused building was utilized for space, and educational materials were purchased. While providing a safe place for children, this project also succeeded in socializing the mothers, who were then free to look for jobs and contribute to their community's development.

PARSP's overall positive impact is reflected in the active participation of gminas, strong prospects for sustainability of the projects, and strengthened capacity to implement initiatives and absorb funds. From 500 gminas that developed social inclusion strategies, 492 adopted these strategies, and 740 new civil society organizations were formed. Additionally, 40 percent of excluded groups in the gminas accessed at least one social inclusion service (as of April 2011), compared to 11.3 percent in January 2006. More than 10,500 contracts were signed with local providers for services such as education, integration activities (including labor activation programs for disabled groups), culture and arts, housing policy assistance, health care information (including family planning and help with addiction), and so on.

RESULTS AND LESSONS

Initial results of PARSP are very positive. Gminas' capacity to access and absorb similar social inclusion-focused funds, such as the EU Cohesion Funds, increased significantly. The number of gminas that received external funds increased from 90 to 391 between 2006 and 2010.

The 27 regional consultants proved to be an essential part of the success of the SIP, and show that qualified external people can provide a "spark" to motivate local officials and provide fresh perspectives.

Sustainability depends on continued engagement of local authorities and organizations that benefited from capacity building and community mobilization during the project's lifetime.

This case study can be applicable to Roma communities living in rural or isolated areas where the capacity of local authority and community members to plan and implement projects are limited. Technical assistance and capacity building of local civil society organizations and local authorities can be carried out in a similar fashion, bringing in outside experts, while working within the community.

¹⁹ World Bank, 2009; World Bank, 2012a; World Bank, 2012b.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 15

Juventud y Empleo Program, Dominican Republic²⁰

Building life and technical skills to increase the employability of disadvantaged youth

Juventud y Empleo is an innovative youth training and labor market insertion program, providing life and technical skills combined with private sector internships. The objective of the program was to improve the employability of young, low-income Dominicans at risk of social exclusion through theoretical and practical job training in classrooms, and by providing them with some work experience through internships in private sector firms.

QUICK FACTS

Country: Poland

Execution period: 2006 to 2011

Total project cost: US\$92.34 million

Total number of beneficiaries: 580,000 direct and 1,260,000 indirect beneficiaries in 500 gminas (local districts)

Financed by: The World Bank and the government of Poland

Executor: Ministry of Labor and Social Policy and KRUS

Project development objective: Increase social inclusion in rural underdeveloped gminas by enhancing the capacity of local governments to identify, plan, and execute social inclusion strategies through a Social Inclusion Fund (SIF)

Key feature: Encourages social inclusion initiatives for poor and marginalized groups by building capacity at the local community level. External consultants were deployed to provide expertise and ideas to local communities, and worked as a link between local authorities and civil society organizations

Applicability: This case study can be applicable to Roma communities living in rural or isolated areas that would benefit from targeted social inclusion actions on the ground, focusing on especially vulnerable groups.

PROJECT DESIGN

The program comprised two components: (i) a three-month course on life and technical skills in competitively selected qualified training institutions; and (ii) a two-month internship or on-the-job training experience in a private firm. Technical and vocational education and training (TVET) courses covered several professions (such as hairdresser, waiter, network technician, data entry staff, bank clerk). The life skills curriculum included modules on motivation (self-esteem, interpersonal relations, life fulfillment), life at work, social skills, and job search. Beneficiaries received a stipend to cover basic expenses (approximately US\$2 a day, later raised to US\$3).

The Ministry of Labor incubated and first implemented the program, and then recently outsourced the provision

of training services to private training institutions regulated by the Instituto Nacional de Formación Técnica Profesional (INFOTEP). The latter is now responsible for launching the bidding process, performing the technical evaluation of the proposals from training institutions and supervising the training courses. Participants of the program had to meet the following criteria:

- be Dominican citizens with identity cards;
- be aged 16 to 29;
- be outside of the formal education system without completing secondary education;
- be unemployed or inactive;
- reside in an impoverished area;
- accept program regulations and be prepared to meet course requirements.

RESULTS AND LESSONS

Juventud y Empleo was one of the first programs in Latin America to incorporate a randomized design that allowed for the implementation of rigorous impact evaluations of both the effect of traditional TVET and life skills training separately. The first impact evaluation demonstrated limited impacts on employment and wages, which led to program changes that focused on components employers identified as essential (closer collaboration with the private sector, a stronger life skills component, and so on).

The second evaluation—which focused on a cohort of trainees that participated in a version of the program modified as a result of the first evaluation—continued to show no impact on employment overall, but demonstrated positive impacts on earnings and the quality of employment for males. On outcomes related to youth behavior, expectations, and noncognitive skills, the results from this evaluation were positive: the program proved to be effective in reducing teen pregnancy, in line with an overall increase in youth expectations about the future. The program also had a positive impact on noncognitive skills as measured by three different scales, which were identified by employers as the most valuable component of the project in its first phase.

The considerable employment gap observed in marginalized Roma communities appears to be in large part driven by the skills gap between Roma and non-Roma. To address this, employment interventions should incorporate skills enhancement programs (cognitive and noncognitive) so as to improve the employability of participants. Lessons learned from Juventud y Empleo could be adapted to the context of Roma inclusion, with the following general remarks:

- It is important to underline the critical role of enhancing noncognitive skills and the program's overall impact on life prospects, as several prospective program participants may come from communities where unemployment has continued for multiple generations.
- The program should be able to accommodate high school dropouts as well as those who graduated but are unable to find a job. The program's age range could be broadened to this effect.
- The program should be flexible enough to adapt to the specific challenges faced by marginalized Roma communities; for example, discrimination, language use, and the role of gender and social norms within the communities.
- The program should carefully select the professions for technical vocational training courses, keeping in mind local demand (such as what types of jobs are needed in the region of the community), sustainability (whether these are cyclical or seasonal jobs, or if they provide long-term employment prospects), and participants' skill level (if there are both low-skilled and high-skilled professions in the portfolio).
- The program could be leveraged toward combating negative stereotypes through promoting jobs that require regular interactions and close collaboration between Roma and non-Roma, thereby facilitating mutual understanding and respect.
- Life skills training can also accommodate illiterate segments of the population (for example, in Romania, illiteracy has been demonstrated to affect a considerable share of Roma).

²⁰ Youth Employment Inventory, n.d.; Ministerio de Trabajo, 2011; Martin Moreno, 2014; Ibarraran et al., 2012; World Bank, 2014.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 16

Salto Caxias Hydropower Project, Brazil²¹

Restoring livelihoods

The development of a new hydropower plant in Parana, Brazil, involved construction of a dam and creation of a reservoir covering 180 km², which required the displacement of approximately 1,200 rural families. About 600 families were compensated with cash and relocated independently, and comprehensive resettlement assistance was provided to the remaining 626 families of small farmers, rural workers with no tenure, and landless workers. The objective of the assistance was to, at a minimum, maintain quality of life through adequate and sustainable access to job opportunities and basic social services.

Many of the affected families were farmers with limited education who had had been working on agricultural lands owned by large landholders. They generally lacked the capacity to identify possible business and market opportunities; hence, their livelihood in the new settlement depended on the availability of adequate natural resources for agriculture and accessibility to the market. A solution was needed to create new jobs and businesses, especially in the village of Foz do Chopim, where the economy was predominantly dependent on 40 jobs at an existing power plant that were going to be lost due to the Salto Caxias Hydropower Development Project.

PROJECT DESIGN

The 626 families were relocated to 10 farms constituting 19 associations (comprised of approximately 50 families each), formed in a nearby region on a total area of 40,000 acres acquired by the Salto Caxias Hydropower Development Project. Besides providing agricultural land, a brick house with 3–4 bedrooms and a barn was given to each family relocated through the resettlement program. In addition, basic infrastructure, including roads, water supply, electricity, telephone lines, schools, and health centers were developed. The program provided education to youth and adults for personal and community development, agricultural and social assistance, training to practice

QUICK FACTS

Country: Brazil

Execution period: 1996 to 1998

Total resettlement cost: US\$100 million for 1,200 families, of which US\$56 million for the resettlement program

Total number of project-affected people: 1,200 families (626 families under the resettlement program)

Executor: COPEL

Project development objective: Achieve resettlement of a community with minimal disruption while ensuring access to basic social services and employment

Key features: Peoples' livelihoods were improved by (i) conducting a multidisciplinary study to assess their conditions and capacity; (ii) securing their participation in the planning and decision-making process through representative committees; and (iii) facilitating the development of new business opportunities through market research, capacity training, and formation of cooperatives

Applicability: These techniques are applicable to any livelihood improvement intervention, with or without resettlement

sustainable agriculture, and health care with an emphasis on preventive medicine.

The program had a strong emphasis on improving the livelihoods of affected people. In order to ensure that affected people found a solid opportunity to restore and improve their income-generating resources, the program, through support of a governmental organization (SEBRAE) that facilitates small business development, undertook assessment of affected people's capacity and the availability of local resources to identify and develop business opportunities. Based on the assessment, farmers were trained in organic agriculture and now sell organically certified products. The assessment also led to the provision of sewing machines and the construction of a warehouse, where a cooperative works with a clothing company in São Paulo to supply quality clothing.

The following are other key features of the institutional arrangements that led to the program's positive results:

- Social commitment. The social commitment made by the Project Executor (Companhia Paranaense de Energia, COPEL) guaranteed the participation of affected people in the program's decision making and implementation. COPEL guaranteed, among other things, a fair solution to affected people who lacked land titles; no land acquisition without the consent of affected people; consideration of interneighbor relationships; quality and fertility of new lands (at least more fertile than those expropriated); and provision of complete basic infrastructure.
- A multidisciplinary study group (MSG). The MSG served as a democratic forum that ensured adequate social and environmental considerations. Over 140 entities, including academic institutions, rural cooperatives, and representatives from local public authorities participated in the MSG, set up and administered by COPEL, to review and discuss a range of issues related to social, economic, traditional, and environmental aspects of resettlement. The studies collected data and information on the common agricultural practices and capacities of affected people, regional climate, soil type, terrain, agricultural suitability, and water resources to facilitate identification and selection of suitable land for resettlement. MSG meetings were held in local areas and meetings were open to everyone.
- Regional Commission of Affected People (CRABI). CRABI represented the interests of affected families and facilitated the communication between affected people and the project executor. For example, it effectively facilitated the collection of data on affected people and properties to inform the discussions and decisions of COPEL and MSG. It was also instrumental in the dissemination of more sustainable methods of agriculture promoted by COPEL to the resettled farmers through facilitation of extension and trial activities.
- Cooperatives of rural producers. Cooperatives were formed to facilitate business development and market access. The resettled population was trained on special skills related to new business opportunities, cooperative work, rural sociology, and interpersonal skills.

RESULTS AND LESSONS

Almost 100 new jobs were created within 6 months of support by SEBRAE. SEBRAE's support was also successful in assessing the socioeconomic conditions and identifying business opportunities for affected people in other areas. However, financing the new businesses was a challenge. To overcome this, a Municipal Development Fund was created to finance the most promising businesses selected by a local commission, and by the year 2000, the fund had helped create over 50 new businesses, directly generating over 300 jobs, and close to 1,000 jobs indirectly.

It is also worth noting that with the support of a local university, CRABI and COPEL organized an annual cultural festival that provides an opportunity for the resettled people to share their cultural and social heritage and fosters intercultural understanding and respect.

These good practices can be replicated when improving the livelihood of Roma who may be having difficulty identifying possible business and market opportunities in existing or new neighborhoods they inhabit.

²¹Sustainable Hydropower, n.d.; New Energy Foundation, 2006.

Physical needs	Housing	Basic services	Safe location	Access and connectivity	Spatial integration
Nonphysical needs	Tenure security	Civil documents	Capacity of social service providers	Awareness and capacity	Income

Case Study 17

Patrimonio Hoy, Mexico²²

Technical and financial assistance to improve or expand housing

The Patrimonio Hoy²³ model provides an interesting and relevant model because it addresses several barriers to the efficient improvement or expansion of housing that vulnerable low-income groups commonly face. The intervention was started in Mexico by CEMEX, one of the largest building supply companies in the world. The company realized that low-income people in need of housing were a large part of the population, and designed a model to reach them.

QUICK FACTS

- Country:** Mexico
- Execution period:** 1998 to present
- Total amount of microloans:** US\$135 million
- Total number of beneficiaries:** More than 1,000,000 people and more than 350,000 households received assistance in building or improving their homes
- Financed by:** CEMEX
- Executor:** CEMEX
- Project development objective:** To provide low-income families living in urban and semi-urban areas with access to building materials such as cement, concrete blocks, and steel at average market prices. Provide microfinancing, technical advice, and logistical support to help participants build their own homes
- Key features:** The Patrimonio Hoy initiative provides accessible housing solutions to low-income groups, such as design services for better room/house layouts, cost savings, locked-in material prices, material storage and delivery, and financing
- Applicability:** This intervention can be replicated in low-income communities with no access to suitable financing mechanisms or technical know-how regarding construction

PROJECT DESIGN

The project targets people with immediate needs for housing and home expansion, low-income households, single mothers, young adults, and inexperienced builders. It provides: (i) collateral-free microfinancing through a membership system based on small monthly fees; (ii) engineering and architectural expertise to customers undertaking construction as part of the membership benefits package; and (iii) space to store construction materials, as a lack of storage had been a major obstacle for families trying to improve their houses at their own pace. In addition, it serves as an intermediary for distributors of building materials—by bundling together the requirements of several families, it ensures good quality materials at cheaper prices to its members. The table below illustrates the solutions offered by Patrimonio Hoy to the numerous problems faced by lower income groups in accessing decent housing.

A small membership fee is paid by the members to cover Patrimonio Hoy's costs, including consulting and architectural

²²Adapted from Business Today, 2011; and London and Kotek, 2006.

²³"Patrimonio Hoy" means to create wealth or property ("patrimony") for future generations and to improve their lives today ("hoy").

services, interest on financing materials (at a 12 percent annual rate), guaranteed fixed prices for the materials, and the operating costs of local branch offices. Payments must be made weekly. If a borrower leaves the program, they receive their savings in the form of building materials.

Problems	Solutions
Lack of savings	<ul style="list-style-type: none"> ● No financial collateral required; draw on social capital created in groups ● Access to microfinancing
Limited access to financing	<ul style="list-style-type: none"> ● Ability to make installment payments ● Microlending/microfinance program via CEMEX ● Letters of recommendation for credit purposes
Limited knowledge of building technology and lack of planning skills related to home building	<ul style="list-style-type: none"> ● Assistance by architects as part of the membership package ● Masonry training program
Lack of access to quality building materials	<ul style="list-style-type: none"> ● CEMEX negotiations with distributors and development of quality controls
Inability to store materials	<ul style="list-style-type: none"> ● Unlimited, free storage of materials ● Regular deliveries of materials

RESULTS AND LESSONS²⁴

This initiative received the UN-Habitat Business Award in the category of accessible housing solutions. Benefits from the Patrimonio Hoy initiative include access to design services for better room/house layouts, cost savings, locked-in material prices, material storage and delivery, and financing.

- Participants are able to build their homes or additions three times faster and at a third of the average cost of building a home in Mexico.
- Participants gain access to the credit markets. Borrowers who successfully complete the program are eligible to receive a letter of recommendation from Patrimonio Hoy confirming they have made regular payments over the course of the program, which can be presented to other vendors to help establish the borrower's credit record.
- Since inception, Patrimonio Hoy has advanced more than US\$135 million in microcredit, and most participants say they would not have been able to build their house without the program.
- The market value of homes built through Patrimonio Hoy is approximately 20 percent higher as a result of the higher quality and functionality of the structures.
- The program allows members/borrowers with some prior masonry skills to receive professional certification, thus creating job possibilities for many with no previous working experience.
- Approximately one-third of the participants use their homes, or extra rooms that they have built through their participation in Patrimonio Hoy, to build their own businesses.

This intervention can be replicated in communities that lack quality housing. Many Roma are unable to improve or expand their current housing, and this is often directly related to their economic situation, together with the absence of suitable financing mechanisms and a lack of technical know-how regarding construction.

²⁴CEMEX, n.d.

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Project Briefs:

Reviews of 36 Projects Improving Roma Living Conditions in Bulgaria, Czech Republic, France, Hungary, Italy, Romania, Slovak Republic, Spain, and the United Kingdom

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Synthesis Summary

I. Background

Roma households face exclusion in multiple and interconnected areas of life.

Housing quality and security, spatial isolation, level of education, health, and employment opportunities are just a few of the many interrelated dimensions of exclusion that affect Roma in European Union member states. Prior experience shows that failure to comprehensively address key aspects of exclusion results in unsustainable programs. For example, social and spatial isolation reduce chances for gainful employment, which makes it less likely for a household to be able to maintain a secure dwelling, regularly pay rent and utilities, and properly upkeep a home.

In this context, European Structural and Investment Funds (ESI Funds) encourage comprehensive interventions to Roma communities.

In May 2010, Article 7 of the European Regional Development Fund (ERDF) regulation for the 2007–2013 programming cycle was amended to allow housing interventions for marginalized groups, expand eligibility of such interventions to rural areas, ensure projects do not lead to further segregation and isolation, and encourage constituencies in member states to prepare integrated programs. This promoted the EU member states and their constituencies to devise projects consisting of both “hard” (physical) interventions and “soft” (social) interventions involving housing, employment, education, and health services. To this end, during the 2007–2013 EU Programming Cycle, some member states introduced requirements for their municipalities to develop integrated strategies before applying for EU funds for Roma inclusion. For example, municipalities in the Czech Republic were expected to create Integrated Urban Development Plans (IUDPs) to access Integrated Operational Programs (IOPs), while municipalities in the Slovak Republic had to develop Local Strategies of Complex Approach.

A team of World Bank researchers conducted field work between March 2013 and April 2014 to assess best practices and common challenges in the preparation, approval, and implementation of 36 integrated projects in 9 member states.

The fieldwork involved (1) 23 process reviews of projects funded by European Structural Funds (ERDF/ESF); and (2) 13 in-depth reviews of noteworthy projects supported by local governments and/or nongovernmental organizations (NGOs) to address Roma living conditions in Europe. While process reviews focused on the institutional and procedural challenges, good practices, and lessons learned pertaining to European Structural Funds, the in-depth reviews focused on the integrated projects’ design. The 36 projects were selected from an inventory of over 200 projects addressing Roma living conditions that was compiled by the World Bank in 2013. The 36 projects were selected on the basis of their (1) level of integration; (2) implementation status; (3) reported quality; and (4) availability of information.

Not all projects included in the briefs were entirely successful; the notes focus on highlighting the key innovations and lessons that can be drawn from the projects.

Assessments were based on key informant interviews with country-level managing authorities (MAs) of EU funds, local governments, Roma and non-Roma communities, NGOs, and private sector companies involved in

the design or preparation of projects. The assessment was primarily concerned with the following project and program aspects: general processing; design of an integrated approach; technical design aspects; institutional arrangements; and capacity.

BOX 3 ELEMENTS OF THE PROCESS REVIEW

General processing

- Ease of fitting needed or desired project activities into the rules of existing operational programs (OPs)
- Key incentives and constraints encountered during project preparation
- Factors that facilitated and/or obstructed project approval

Integrated approach

- Country definition and understanding of key actors of an “integrated approach”
- Managing funding sources for integrated activities
- Integration of programs into local development plans and strategies

Technical design (operational practice)

- Engagement of local communities and nongovernmental actors at any stage of the program
- Required contributions by local communities
- Monitoring arrangements
- Innovative features of project design that capture the essence of an “integrated approach”

Institutional arrangements and capacity

- Division of roles and responsibilities in implementing integrated programs
- Capacity needs and assistance available to implementing institutions

II. Findings

The context and motivation for preparing an integrated program to address Roma living conditions in each of the case study locations are similar.

The programs are generally motivated by the existence of a segregated Roma community within the municipality. Most of the Roma settlements are on the outskirts of the city or in its center. Most feature dire housing conditions, a lack of access to basic services, and high unemployment in the Roma community, as well as among the general population. In some cases, projects have been specifically motivated by the problem of rents not being paid by social housing tenants (such as in **Project Brief 5**, Czech Republic). In other cases, projects were driven by the insufficient capacity of existing housing units to accommodate growing Roma populations, or by a long-term mission of a local NGO to support inclusion of disadvantaged and/or segregated Roma in their community.

A. GENERAL PROCESSING

Good practices and factors for success

The three strongest factors that emerge as facilitating the preparation and approval of integrated projects are:

(1) Presence of a champion body or institution at the national level

Proposal processing and approval was smoothest in the case of projects prepared with strong encouragement from national authorities. The presence of a champion institution at the national level, such as the Social Inclusion Agency in the Czech Republic and the National Development Agency (NDA) in Hungary, provided high-level advocacy for integrated programs. In Hungary, during the 2007–2013 programming cycle, NDA instituted relevant amendments in the call for proposals to focus projects specifically on marginalized and segregated communities, which provided realistic deadlines for proposals. In the case of **Project Brief 6** (Czech Republic), an NGO-initiated and implemented project gained approval due to national support, in spite of strong opposition by a municipality.

(2) Continuity of leadership both in managing authorities and local government

Leadership continuity has been essential for the approval of integrated programs for Roma. Projects prepared under the strong encouragement of national authorities, while important, are nevertheless vulnerable to changes in leadership, such as among MAs. The experience of **Project Brief 31** (Slovak Republic) is one example of a project prepared under strong guidance by a former prime minister that was reduced significantly in scope and funding by subsequent MAs. Political changes at the local level can also lead to a substantial reduction of funds and realignment of priorities, which was the experience of **Project Brief 8** (Czech Republic). Such cases demonstrate the need to institute a more robust project preparation mechanism to maintain minimum consistency in project design under political transition.

(3) Experience and capacity in project preparation and management

A clear advantage in the processing of projects in **Project Brief 25** (Romania) and the Grazia Deledda program in **Project Brief 22** (Italy) was the capacity and experience in the relevant government and NGO administrations to prepare proposals for and manage EU-funded projects. The chance of preparing a strong integrated program is higher when, in addition to local government experience with infrastructure operations, there is one or more NGO that has knowledge and experience obtaining ESI Funds.¹ Continuous interaction and assistance by national institutions (MAs) or support by external or private partners in preparing proposals for EU funding has been welcome in the case of municipalities that have less experience with proposal writing. However, such help, especially from the private sector, comes at a cost and needs to be reflected in budget preparations. **Project Brief 2** (Bulgaria) is a good example of local government receiving useful, cost-effective trainings from the Consortium “Dominus” financed by the Ministry of Regional Development and Public Works. However, a private company contracted by the municipality prepared the project in the case of **Project Brief 31** (Slovak Republic), and thus costs were incurred.

Obstacles and common challenges

Some of the common obstacles in the preparation and approval of integrated projects include:

(1) Strong political pressure at the local level against Roma-targeted programs, and the redistribution of funds to non-Roma

Public resistance against programs targeting Roma beneficiaries is common in EU member

states. The resistance stems from notions that Roma are “newcomers” to a community or are “undeserving” of public support. There are even fears among non-Roma populations that programs that successfully assist Roma may draw even more of them to the settlement than the municipality can support. Given these perceptions, the presence of a strong champion institution at the national level, combined with grassroots advocacy and the involvement of local NGOs, has been crucial for focusing activities and funds on Roma neighborhoods. In cases where such champions were absent or weak, priorities and funds were often redirected to non-Roma settlements. In the case of **Project Brief 6** (Czech Republic), for example, the project advanced despite explicit opposition from a municipality. In Bulgaria, local authorities in each of the municipalities reviewed have avoided an explicit focus on Roma, targeting instead a very broad spectrum of socially excluded groups. Local conflicts have erupted in Hungary in relation to the ERDF-financed Complex Rehabilitation Program, especially where there have been plans for desegregation, which involves moving Roma into non-Roma communities. Apart from being an obstacle to project preparation and processing, weakened political will poses risks to the successful implementation and sustainability of programs.

(2) Changes in local government leadership, and at the level of national ministries and MAs, which can result in fluctuating priorities, changing eligibility regulations, and a reduction in funding for specific proposals

In the case of **Project Brief 31** (Slovak Republic), the original program had to be reduced both in funding and scope. Newly appointed staff of the MA suggested dividing the project into three phases. The local government responded by focusing the first phase on a component that had a limited impact on the Roma community. It is currently uncertain when and whether the second and third phases of the program will be funded. In the case of **Project Brief 8** (Czech Republic), political pressures led to a reduction of funding for the refurbishment of the Roma neighborhood. Nevertheless, after negotiations between the city and the MA, some funds were reverted back to their original purpose, resulting in one of the Czech Republic’s largest interventions in the area of housing for Roma.

(3) Hidden or direct bias against smaller municipalities

Smaller municipalities in general have lower administrative capacity to compete for funding, which is an implicit disadvantage in the process. This was mentioned explicitly in the case of **Project Brief 31** (Slovak Republic) and in the case of Hungary’s Complex Rehabilitation Program. In the case of **Project Brief 31**, the application for funding under the Slovak Local Strategy for Complex Approach funding scheme was rejected due to the alleged poor quality of its “complex approach,” although the municipality attests otherwise. In the Czech Republic, small municipalities with fewer than 20,000 people, like in the case of **Project Brief 7**, are not even eligible to apply for funding under the country’s Integrated Urban Development Program funding scheme. In Hungary, the intermediary organization (ESZA) involved in processing proposals and managing funds concluded that local consortia in small settlements and segregated neighborhoods do not have the capacity to prepare and run relatively complex integrated projects, which involve, for example, public procurement for infrastructure activities. To address this, a mentoring system for local authorities was devised in Hungary. However, the system was not active at the time during which municipalities needed to respond to calls for proposals for integrated projects.

(4) Limitations or incoherence in national regulations vis-à-vis rules that guide the use of EU funds

Incoherence between EU funding rules and national regulations is sometimes cited as an impediment to the processing and approval of proposals. For example, employment activation activities in **Project Brief 4** (Bulgaria) could not include fisheries because this sector was considered ineligible under national regulations. This was despite the fact that local partners considered it very well suited to the Roma project and target population. Similarly, local authorities in **Project Brief 25** (Romania) received mixed messages regarding purchasing a vehicle for an employment facilitation program. The vehicle purchase was encouraged by EU funding authorities, but prohibited under national regulations. In the case of **Project Brief 7** (Czech Republic), energy efficiency requirements under national law for social housing projects financed from national

¹Most NGOs involved in the EU-funded integrated projects reviewed here had experience applying for support from ESF (versus ERDF). ESF supports social activities usually run by these NGOs.

sources were perceived to be too restrictive for social housing. These complications delayed or complicated the implementation of projects to improve Roma living conditions.

(5) Delays in project approval, as well as uncoordinated approval and timing of “hard” infrastructure and “soft” social activities

Delays in the approval of funding were cited in both Bulgaria (**Project Brief 4**) and Italy (**Project Brief 22**), as were obstacles to timely implementation. These delays are particularly disruptive when authorities are trying to implement infrastructure and social activities in synergy. In the case of **Project Brief 22**, social activities were already taking place, even though the spaces in which they were supposed to happen had not yet been renovated.

(6) Lack of interest by contractors due to small budgets

In the case of Bulgaria, another project constraint was a lack of interest by contractors, who needed to be hired for infrastructure development. A municipality (**Project Brief 2**) submitted a request to the Ministry of Finance for an additional lev 3.7 million (approximately €1.9 million), given that the original sum was reportedly too low to attract contractors to build social housing.

BOX 2 RECOMMENDATIONS: GENERAL PROCESSING

The conclusions from the review of the preparation and approval stage of integrated programs reveal several lessons learned. Some of the key challenges, such as political pressure against devoting funds to Roma at the local level, stem from issues beyond the immediate control of European Commission (EC) desk officers and national and local authorities. Nevertheless, the following steps would facilitate the preparation of integrated interventions:

- Establish or designate a permanent national body or institution with a strong mandate to champion integrated projects for Roma.
- Ensure appropriate wording in calls for proposals and realistic deadlines; influence project selection based on objective criteria; ensure that a core set of activities and the targeted population are not removed in the event of political change at the local level.
- Provide mentoring or additional funding and training for the preparation of proposals by smaller municipalities.

B. INTEGRATED APPROACH

The majority of key informants interviewed in the course of the process review have a good understanding of the principles behind an integrated approach to improving Roma living conditions.

Local-level experts and NGO leaders demonstrated a good understanding of the value of comprehensive activities for Roma inclusion. The most successful integrated projects were developed with NGOs’ strong participation. However, they were less aware of the specific funding regulations besides those explicitly set forth by MAs in the respective OPs. Both governmental and nongovernmental stakeholders recognized the need for more practical guidance in preparing and implementing integrated programs.

There has been no country-specific definition of an integrated approach beyond overall policies and documents issued by the EC.

The Article 7 amendment led to certain national legislative changes in eligibility requirements for funding under ERDF. (For example, this was the case with regards to using funds for social housing.) A number of countries created dedicated funding mechanisms to support integrated measures, such as the Comprehensive Rehabilitation Program in Hungary, the IUDPs in the Czech Republic, the INTEGRA scheme in Bulgaria, and the Local Strategy for Complex Approach program in the Slovak Republic, to which 13 operational programs contributed. The most common challenges with these schemes had to do with, on the one hand, the actual use of such funds for Roma communities, given the political

pressures previously described (in other words, a number of the integrated programs did not in fact target Roma), and on the other hand, the absence of the right skills and capacity at the local level to realize activities in an integrated manner. “Hard” infrastructural and “soft” social activities were ideally designed to be implemented side-by-side with some overlap in time and in the pool of targeted beneficiaries. In some cases, programs were only “integrated” or only targeted Roma communities on paper, while in reality funds were used for infrastructure development that benefitted middle-class and non-Roma populations.

Good practices and factors for success

The two common factors that have driven the preparation of integrated programs across the case studies are (1) financial incentives and dedicated funding mechanisms; and (2) the presence of NGOs. :

(1) Financial incentives and dedicated funding mechanisms

In Bulgaria, the Czech Republic, the Slovak Republic, and Hungary, a good practice to encourage the use of funds in a dedicated manner has been to establish dedicated funding schemes or linked funding mechanisms. In the Czech Republic, a 10 percent bonus is allocated to projects prepared under municipalities’ IUDPs. In Bulgaria, a funding scheme under ERDF and ESF, respectively, was earmarked for integrated programs targeting marginalized groups.² In early 2006 in the Slovak Republic, the Local Strategy for Complex Approach was introduced to pool funds for comprehensive programs for marginalized groups. In Hungary, building on the Roma Settlement Integration Program started in 2005, a call for proposals was launched for Complex Settlement Rehabilitation (initially for ESF funding only, and later for ERDF funding to complement the latter activities). While there have been various setbacks in the ability of these schemes to encourage strong integrated programs, the intention to create dedicated funding mechanisms has been an impetus for combining hard and soft integrated projects.

(2) NGO involvement

Perhaps the strongest factor in planning truly integrated programs for marginalized communities was the active involvement of local NGOs that have a long history of experience in the target communities. Given that the integrated approach aims to address the multidimensional nature of poverty, vulnerability, and poor living conditions, it has been essential to know the specific needs and obstacles faced by the target beneficiaries. Programs designed by or in collaboration with local NGOs generally consulted with and included beneficiaries in project preparation. They also tended to devise more elaborate, creative proposals for combining soft activities with infrastructure and housing improvements. Moreover, they are more flexible with starting and carrying on “soft” inclusion activities regardless of possible procurement setbacks with infrastructure investments. The reverse is also true. When NGOs are the main drivers of the project— such as in **Project Brief 22** (Italy) or **Project Brief 6** (Czech Republic)—they report more difficulties handling infrastructure investments, given that NGOs that specialize in social inclusion often lack the technical and financial management capacity to implement big construction or renovation projects. The visited NGOs also considered the sustainability requirements to be a serious financial risk, as the requested future operation depended on the future funding decisions of public authorities. In these instances, public-private partnerships with NGO participation or strong government and NGO partnerships offer the best chances for a truly integrated approach.

(3) Links with territorial and local development plans

The requirement for funding applications to be linked to local development strategies has been an incentive to think about long-term and sustainable interventions. The majority of case studies that have been conceived in this manner were indeed aligned with long-term strategies or plans. In the case of **Project Brief 25** (Romania), for example, the city’s integrated urban plan provided a long-term vision, and the city was able to attract various donor funds (UNDP, ESF, ERDF) to support programming for vulnerable communities. Such requirements, however, should be sensitive to existing priorities and strategic documents, just as they should

²Operation INTEGRA under OP Human Resource development (ESF) and scheme BG 161PO001/1.2-02/2011 under OP Regional Development (ERDF).

discourage the duplication of planning documents, which are often created simply to compete in a certain call for proposals. Moreover, MAs should employ greater flexibility and provide necessary technical assistance, especially to smaller municipalities. In countries like Bulgaria and Romania, all municipalities are required to produce local Roma inclusion strategies, although without explicit link to the funding schemes for integrated inclusion programs. This results in high administrative burden and marginal impact.

Obstacles and common challenges

The most common pitfalls in following an integrated approach are related to logistical challenges that arise from fragmented sources of guidance, no clear definition or support at the national level for planning comprehensive activities, and failure to involve adequate partners at the local level. There are also issues with assigning responsibilities and an overall mandate for each aspect of the comprehensive approach. In addition, as noted in the above section, proposals designed in response to national-level “integrated approach” programs often are not designed specifically to benefit Roma communities. In such cases, Roma benefit only marginally, if at all, from program activities. This is due to their distinct living conditions and circumstances of exclusion, especially in the case of segregated communities.

(1) Fragmented funding sources

Interlinked but nevertheless separate funding schemes can provide the right incentives for thinking about an integrated approach. However, they can also result in an administrative overload or unnecessary delays in timing for one or another set of hard and soft activities. When local authorities are required to apply to two OPs, the burden of monitoring compliance with financial and procurement procedures is likely to occupy most local-government capacity. It is also likely to result in a disproportionate focus on the infrastructure activities, which entail larger responsibility for monitoring procurement and finance. Timing is another challenge that arises from fragmented funding sources. If activities are sequenced with a particular logic, but their implementation is not guaranteed in the sequence, the program’s overall success can be at risk. In the case of Bulgaria’s pilot projects, municipalities have not commenced soft activities when infrastructure works have not begun. In the case of **Project Brief 22** (Italy), ERDF funding was expected to provide space for a community center, from which the project’s social services would be provided. However, the funding was significantly delayed. The municipality was able to fill the funding gap with other budget and private resources; however, this is not possible in all municipalities. Disproportionate funding needs for infrastructure and housing relative to socioeconomic programs is also a potential challenge in coordinating funding. Case in point, in Hungary, 40 projects were awarded ESF-funded grants for social inclusion, but due to funding constraints, only 8–10 will be selected for infrastructure (social housing) investments to complement the soft activities, as other social activities go unfunded.

(2) Lack of detailed guidance at the national and local levels on the meaning of an “integrated approach”

As mentioned above, the presence of strong NGOs or social service workers with knowledge of the target community is crucial to bringing meaning and substance to integrated activities. Not all municipalities, however, have a large array of experienced NGOs to work with; or, in some cases, local governments have been unwilling to use NGO networks. In some places, this is due to a lack of precedent or tradition for local government to work closely with community organizations. For some of these reasons, there tends to be an almost exclusive reliance on guiding documents issued by national MAs. In the absence of strong grassroots involvement, and more detailed guidance on the substance of activities, some programs (for example, all pilot projects in Bulgaria) have proposed a long, standardized list of activities that are not tailored to the needs of the target beneficiaries. (Other programs have successfully tailored their activities to local needs.) In the Slovak Republic, some of the reviewed case studies focused almost exclusively on

repairing water and sanitation infrastructure with minimal or no impact on Roma communities. Technical assistance was provided by private developers that lack the skills or motivation to promote complementary socioeconomic activities for marginalized Roma communities. In Hungary, the Türr István Training and Research Institute was contracted to provide intermediary mentoring services to municipalities to help them create equal opportunity strategies. (Unfortunately, the training did not occur in time to support the first round of applications for Complex Rehabilitation Programs). Such a mentoring approach could be a helpful initiative to translate guidance from highly technical OP documents to the local reality and proposed activities of each municipality.

BOX 3 RECOMMENDATIONS: INTEGRATED APPROACH

Lessons learned for facilitating an integrated approach include:

- Streamline or consolidate application and reporting requirements across different funding sources (e.g., under the same national OP and managing institution).
- Encourage the involvement of NGOs and community organizations in the planning process, ideally as official partners with a clear mandate and responsibilities.
- Provide mentoring and practical guidance on the meaning and substance of an “integrated approach,” while helping applicants tailor proposals to local needs.
- Monitor the principle of explicit but not exclusive targeting of Roma in project activities to ensure they are designed to meet Roma needs throughout all stages of the project, from design to implementation.
- Avoid overly standardizing activities that do not necessarily serve the needs of all targeted communities.

C. TECHNICAL DESIGN (Operational Practice)

Good practices and factors for success

One of the key criteria reviewed under the technical design of projects is their success in providing a comprehensive set of services to Roma and vulnerable groups. This is why some of the good practices noted in the analysis of an “integrated approach” above are valid here as well. The best practices found in the review mostly refer to ways of engaging beneficiaries and the broader community throughout the project. This has resulted in better tailored activities, less delays, and potentially greater sustainability of the programs. Similarly, the review finds that a large part of the risks’ noted by authorities can be mitigated with better consultations and engagement with beneficiaries.

(1) Involvement of NGOs as initiators or active partners in the project

The active involvement of NGOs has had a significant impact on the quality of project activities, as demonstrated in the examples of **Project Brief 6** (Czech Republic) and **Project Brief 22** (Italy). In these places, NGOs were not only involved in the project, but in fact championed it and were its main implementers. This is also evident in **Project Brief 25** (Romania), where a set of NGOs have provided continuous support to both EU and UNDP-funded projects. **Project Brief 5** (Czech Republic) brings a similarly positive example of strong capacity and involvement of social workers. Their familiarity with beneficiaries’ situation and needs has helped the project reach the targeted communities.

(2) Consultations and needs assessments

Some projects reviewed did not involve consultations with beneficiaries, nor did they closely investigate beneficiaries’ most pressing needs. In the cases with strong NGO participation, NGO knowledge and expertise was tapped to customize project activities to beneficiaries’ needs. In **Project Brief 25** (Romania), for example, two needs assessment studies were commissioned to collect data on specific priorities of the target population (which is why the social project focused on employment support).

(3) Involvement of beneficiaries with financial or in-kind contributions

Seeking contributions from beneficiaries has proven to be important not only to secure their participation and commitment to projects, but also to help counteract negative stereotypes and political pressure about government resources being channeled to beneficiaries perceived as “undeserving.” Such arrangements should be flexible in order to avoid generating overly strict and unaffordable conditions for eligibility. A particular good practice along these lines has been the facilitation of employment of beneficiaries with contractors or other employers in the community, as in the case of **Project Brief 6** (Czech Republic). The government-funded social housing program in the Czech Republic has a condition of labor contribution or the equivalent of 20 percent financial contribution by beneficiaries. Posing conditions for beneficiary involvement may be controversial and requires thoughtful planning and sequencing of activities. For example, Bulgaria’s pilot projects contain a condition for contractors to employ beneficiaries in project construction activities. To be effective, this condition needs to be accompanied by proper and timely training, as well as a matching of needs and services between contractors and prospective workers.

Obstacles and common challenges**(1) No consultations with or prior information provided to the community**

In some of the reviewed cases, the project design was not accompanied by consultations with target populations or the wider town/village community. (Other projects are to be commended for the way in which they involved beneficiary feedback.) In some cases, the lack of feedback was mitigated by the involvement of NGOs, which are more aware of the needs and attitudes of the target community, or by conducting a formal needs assessments, as described above. The value of consultations and information is that these take into account all issues and concerns, opening space for public debate prior to the program. In Bulgaria, in particular, local authorities in all pilot locations perceived a risk that beneficiaries may be opposed to in the project, or may not have an interest in project activities, and hence would not actively participate. These risks could be mitigated by continuous consultations and work through local NGOs to ensure that activities and services are adequately tailored to beneficiary needs. This is particularly important in cases where project activities will involve resettlement or the temporary resettlement of residents.

(2) No monitoring indicators and targeted outcomes included in the design

In all cases, with the exception of **Project Brief 22** (Italy), monitoring indicators that are related to better integration of target communities and/or improvement of living conditions are not explicitly included in the design. Monitoring is primarily performed for financial accountability and for the completion of infrastructure works. It is generally performed by an external agency (such as a private company, the national authorities, or an intermediary government agency) and does not build capacity in monitoring and evaluation (M&E) practices among local-level actors. In the case of **Project Brief 22** (Italy), performance and participation indicators for the program have been monitored with the involvement of the implementing organizations. This has allowed the program to demonstrate tangible results, such as evidencing the number of beneficiaries participating in each set of activities, the number of children enrolled in and attending school, and the number of Roma participating in social inclusion programs. Performance monitoring is especially useful, as most of the comprehensive service programs begin without a defined set of activities (see point 3 below) and sometimes even without a well-defined target group. M&E makes it possible to track real progress and respond to challenges for particular disadvantaged groups.

(3) Activities are only vaguely defined at the outset of the program

Even in cases where projects have been approved for funding, the project activities may not be clearly defined. This leads to multiple risks. Firstly, authorities may not have the capacity to implement an integrated program, as described in project proposals. Secondly, beneficiaries may oppose activities that were not discussed during project preparation. Thirdly, the project may not attract the right implementing partners, if they were not involved from the beginning. A strong correlation was found between a solid definition of activities and strong NGO participation. At the same time, where projects were prepared under extensive national-level guidance, the projects are generally weaker with regards to preparing concrete activities and creating stable local partnerships to implement them. Such is the case with the Bulgaria pilot projects, where formally the programs include a long list of standard activities across the pilots for a very broadly defined set of “excluded groups.” Yet no information is available on concrete programs for each of these groups. In Hungary, the National Development Association (the MA) has concluded that many local proposals contain weak or blurry activities that are limited to events rather than specific services.

(4) Failure to create strong local coalitions and to attract the “right” partners for implementing activities

A common weakness of program design has been the very centralized approach to preparing and managing activities at the local level. In Hungary, stakeholders in various localities have pointed out that the NGOs that have worked the most with the target groups were excluded from the project design. In some cases, funding was provided to NGOs with much less expertise in the target communities, which could result in confusing double efforts by different actors working with the same target group. In the case of **Project Brief 4** (Bulgaria), NGOs were identified for partnership, but seeing as their role is still undefined, they have not participated in project preparation activities. Infrastructure development projects in the Slovak Republic have largely overlooked aspects of social and economic integration of beneficiaries. The authorities and private actors implementing these programs do not possess the right skills to design and manage soft interventions. Failure to build the “right” local coalitions for sustainable projects is partly an issue of capacity. Even in Hungary, where the establishment of local coalitions has been mandatory under the requirement for local equal opportunity strategies, different settlements have various capacities to establish such partnerships. Another possible obstacle is the top-down process by which some programs were created, such as in the case of the Bulgaria pilot projects. In these, the preparation process consists primarily of negotiating content and funding with a national expert group, leaving behind grassroots consultations, attracting local partners, and defining specific activities as a secondary consideration in the process.

(5) Uncoordinated or conflicting policies at play

The case of **Project Brief 5** (Czech Republic) shows that the impact of some programs can be compromised by secondary or indirect impacts, such as the gentrification of renovated areas. Central city neighborhoods often house marginalized communities in buildings with deteriorating quality. Renovations increase the demand for such buildings, which in turn can lead to the gradual gentrification of the neighborhood and the pushing-out of the Roma community. A program aimed at sustainable housing solutions for disadvantaged groups would ideally foresee and manage such outcomes. Moreover, there could be a rigorous assessment of the affordability of housing provided and the efforts to support beneficiaries in renting or buying on the private housing market.

BOX 4 RECOMMENDATIONS: TECHNICAL DESIGN (Operational Practice)

Lessons learned from good practices and common constraints in the process review of integrated Roma living condition programs point to the following recommendations:

- Tailor project proposals to local needs through ongoing consultations and/or needs assessments.
- Define project activities and beneficiary groups in sufficient detail prior to project approval to allow for adequate planning and a realistic scope of the program.
- Form local-level partnerships at the project preparation phase, tapping into available local knowledge and resources (such as NGOs, the private sector, and so on).
- Secure beneficiaries' commitment and participation by requiring their time, labor, financial and/or other in-kind contributions.
- Assess project sustainability (including but not limited to affordability concerns) to plan for mitigating measures.

D. INSTITUTIONAL ARRANGEMENTS AND CAPACITY

Institutional arrangements are similar for the majority of case studies. Local government is the primary applicant for funds, and implements most projects through its various departments, depending on the nature of services (employment, education, housing, health, and so on). In the case of infrastructure improvements, the municipality usually hires private contractors. Where NGOs participate in program implementation, they are generally contracted by the municipality or are recipients of a separate ESF grant. An exception is the case of **Project Brief 6** (Czech Republic), where an NGO received funds and led a project with both infrastructure and socioeconomic activities.

Some of the common challenges with regards to institutional capacity are the high administrative burden and understaffing of local governments to handle applications for funding, manage procurement and finances, and coordinate activities and partners, especially when the program involves two separate funding sources (ERDF and ESF) under different OPs. A positive result from the Grazia Deledda project (**Project Brief 22**, Italy) was the establishment of a special unit within the municipality that built capacity for fundraising and project management for similar programs in the future. However, this approach is more challenging for smaller municipalities due to financial and capacity constraints.

In the case of project management handled by an NGO, as in the example of **Project Brief 6** (Czech Republic), capacity constraints are also accompanied by risks of assuming ownership and responsibility for newly built infrastructure. One lesson learned from this case is that NGOs can be encouraged to be proactive in initiating comprehensive programs by establishing risk-sharing mechanisms. These could include an agreement whereby the ownership of infrastructure or housing will be transferred to local government after a certain period of time. In addition, long-term contracts for NGOs and other social service providers, whenever possible, could help increase their capacity for long-term planning and staffing. Another lesson from the **Project Brief 6** (Czech Republic) case points to the value of public-private-NGO partnerships, which creates a flexible design for helping beneficiaries. (For example, such partnerships can provide links to private and public sector jobs.) Such partnerships also reduce risks for implementing NGOs.

Overall, all local authorities point to the need for technical assistance and training. While many have received training and support in the preparation of proposals and in the financial management of projects, they are less prepared with practical guidance on the content and coordination of integrated programs. The municipalities of Bulgaria (**Project Briefs 1, 2 and 4**), for example, point to the need for further guidance in the selection of beneficiaries, and in working with a mix of marginalized groups.

BOX 5 RECOMMENDATIONS: INSTITUTIONAL ARRANGEMENTS AND CAPACITY

Handling the administrative requirements for integrated programs involves the coordination of multiple actors. Sometimes the management of more than one source of funding poses a significant challenge for local government, especially for small municipalities. Similarly, NGOs face significant risks and capacity constraints in initiating and managing comprehensive programs, in particular related to infrastructure investments. Recommendations to strengthen administrative capacities include:

- Create long-term capacity within municipalities for the management of comprehensive programs, such as through regular trainings for local staff.
- Provide practical guidance in designing comprehensive initiatives (such as in the selection of beneficiaries, identifying and prioritizing needs and interventions, and in designing results monitoring indicators).
- Encouraging mechanisms for partnership and risk-sharing among public institutions, NGOs, and the private sector.

Summary Table of Factors for Success, Common Challenges, and Recommendations

Factors for Success and Good Practices	Obstacles and Common Challenges	Recommendations
GENERAL PROCESSING		
<ul style="list-style-type: none"> ● Presence of a champion body or institution at the national level ● Continuity of leadership both in managing authorities and local government ● Experience and capacity in project preparation and management 	<ul style="list-style-type: none"> ● Strong political pressure at the local level against Roma-targeted programs, and the redistribution of funds towards non-Roma ● Changes in leadership resulting in fluctuating priorities, changing eligibility regulations, and a reduction in funding for specific proposals ● Hidden or direct bias against smaller municipalities ● Limitations or incoherence in national regulations vis-à-vis rules that guide the use of EU funds ● Delays in project approval, as well as uncoordinated approval and timing of "hard" infrastructure and "soft" social activities ● Lack of interest by contractors due to small budgets 	<ul style="list-style-type: none"> ● Establish or designate a permanent national body or institution with a strong mandate to champion integrated projects for Roma ● Ensure appropriate wording in calls for proposals and realistic deadlines ● Influence project selection based on objective criteria ● Ensure that a core set of activities and the targeted population are not removed in the event of political change at the local level ● Provide mentoring or additional funding and training for the preparation of proposals by smaller municipalities

Summary Table of Factors for Success, Common Challenges, and Recommendations

Factors for Success and Good Practices	Obstacles and Common Challenges	Recommendations
INTEGRATED APPROACH		
<ul style="list-style-type: none"> ● Financial incentives and dedicated funding mechanisms ● NGO involvement ● Links with territorial and local development plans 	<ul style="list-style-type: none"> ● Fragmented funding sources ● Lack of detailed guidance at the national and local levels on the meaning of an “integrated approach” 	<ul style="list-style-type: none"> ● Streamline or consolidate application and reporting requirements across different funding sources ● Encourage the involvement of NGOs and community organizations in the planning process ● Provide mentoring and practical guidance on the meaning and substance of an “integrated approach,” while helping applicants tailor proposals to local needs ● Monitor the principle of explicit but not exclusive targeting of Roma in project activities ● Avoid overly standardizing activities that do not necessarily serve the needs of all targeted communities
OPERATIONAL PRACTICE		
<ul style="list-style-type: none"> ● Involvement of NGOs as initiators or active partners in the project ● Consultation and assessment of needs through participation of local actors ● Involvement of beneficiaries with financial or in-kind contributions, accompanied by proper and timely training, as well as matching needs and services between contractors and prospective workers 	<ul style="list-style-type: none"> ● No consultations with or prior information provided to the community ● No monitoring indicators and targeted outcomes included in the design ● Activities are only vaguely defined at the outset of the program ● Failure to create strong local coalitions and to attract the “right” partners for implementing activities ● Uncoordinated or conflicting policies at play 	<ul style="list-style-type: none"> ● Tailor project proposals to local needs through ongoing consultations and/or needs assessments ● Define project activities and beneficiary groups in sufficient detail prior to project approval ● Form local-level partnerships at the project preparation phase ● Secure beneficiaries’ commitment and participation by requiring their time, labor, financial, and/or other in-kind contributions ● Assess project sustainability (including but not limited to affordability concerns)

Factors for Success and Good Practices	Obstacles and Common Challenges	Recommendations
INSTITUTIONAL ARRANGEMENTS AND CAPACITY		
<ul style="list-style-type: none"> ● Establishment of a special unit within a municipality for fundraising and project management ● Public-private-NGO partnerships, including through agreements whereby the ownership of infrastructure or housing will be transferred to local government after a certain period of time ● Long-term contracts for NGOs and other social service providers, which increase their capacity for long-term planning and staffing 	<ul style="list-style-type: none"> ● High administrative burden and understaffing of local governments to handle applications for funding, manage procurement and finances, and coordinate activities and partners ● Future financial risks of assuming ownership and responsibility for newly built infrastructure 	<ul style="list-style-type: none"> ● Create long-term capacity within municipalities ● Provide practical guidance in designing comprehensive initiatives ● Encourage mechanisms for partnership and risk-sharing among public institutions, NGOs, and the private sector

Project Brief 1

Social Housing and Human Resource Development (HRD) Projects (A), Bulgaria

Project/s period:

2011 to present for the Social Housing project; 2012 to present for the Human Resources Development project (HRD)

Total project/s cost:

€718,934 for Social Housing; €876,887 for HRD

Total number of beneficiaries:

165 people for Social Housing; 900 people for HRD

Financed by:

ERDF through the OP Regional Development for Social Housing, and the ESF (85 percent) and state budget (15 percent) through the OP Human Resources Development for HRD

Implementing agencies:

Municipality of Devnya with four NGO partners—Association Forum-Civil Society; Association of Disabled People in Devnya; Association “Together for Devnya;” and Association of Young Psychologists in Bulgaria. Educational institutions also assisted with project implementation

Areas of intervention:

Renovated housing, health, employment, education, social inclusion, nondiscrimination, capacity building in designing and implementing local desegregation policies



CONTEXT AND RATIONALE

80 percent of Devnya’s underprivileged are from Roma communities. Roma are concentrated in the neighborhoods of Gubena mahala, Reka Devnya, Poveyanovo, and Devnya within the city limits. Residents include underage and single parents and those with disabilities and chronic illness. The majority of homes in these neighborhoods lack sufficient space, electricity, and sanitation. Most Roma do not own their homes, and their children do not attend school. Roma here have the highest rates of long-term unemployment of any group in the city. Traditionally, the municipality has lacked social housing and support programs to address these overlapping issues. All of these factors have created an acute need for social protection and housing for Roma and vulnerable groups in Devnya.

OBJECTIVES AND SCOPE

The key objective of Devnya’s interconnected Social Housing and Human Resources Development (HRD) projects is to improve the livelihoods of the town’s marginalized groups by providing new homes and access to education, health, and social services. To make this possible, the municipality and its NGO implementers have adopted an integrated approach to interconnect their activities. The social housing component specifically supports home reconstruction, while HRD supports training and soft measures, which together include:

- renovating and modernizing social housing (33 energy efficient apartments);
- courses for improving adult education and literacy rates;
- adult training in new vocational skills to increase employment rates;
- subsidized employment opportunities at town enterprises;
- initiatives to incentivize young Roma, particularly underage parents, who dropped out of school to return through afterschool tutoring and extracurricular activities;
- encouraging parent-teacher consultations to increase Roma ownership over their children’s education;
- provision of free meals by the municipal soup kitchen;
- establishment of a Complex for Social Services community center to meet health and social needs in underserved neighborhoods.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the integrated project in Devnya include: (i) a **municipality and NGO partnership** to implement the projects, which marries NGO expert knowledge and relationships with beneficiaries with the municipality’s resources and logistical support. This strategy has maximized impact; (ii) **soft and hard programs take place together**, which means there is no sequencing of housing and social assistance activities. Both unfold simultaneously thanks to a sizeable number of specialist NGOs assisting the municipality with the project. The advantage of simultaneous implementation is that beneficiaries stay committed to the soft programs, instead of avoiding them when organized after beneficiaries obtain social housing; (iii) **overlapping beneficiaries**; almost ¼ of beneficiaries overlap between the two projects, which means families accommodated in the renovated homes also take part in activities and programs for their human resource development; (iv) **establishment of a project coordination unit**, which involves a range of local stakeholders and NGOs to maximize community contributions to the project, from regular inputs to monthly reports on implemented projects; (v) **recognition of Roma diversity and a differentiated approach in working with each group**. Devnya’s diverse Rudari and Horohane Roma groups require different approaches to recruit them to participate in project activities. A local Roma NGO with good rapport with these two groups helped inform and involve targeted project beneficiaries; and (vi) **including other marginalized groups** in the larger HRD project helped avoid singling out one marginalized group at the perceived expense of others, which in turn improved social cohesion and made integration more possible for all peoples.

GOOD PRACTICES AND LESSONS LEARNED

The Social Housing and HRD projects in Devnya used the good practice of **gathering sufficient information about the targeted beneficiaries** early in project planning to understand how to best serve them. Working with local NGOs, including an established Roma nonprofit organization, helped identify target populations, build rapport with them, and understand their needs. In addition, based on this information, the municipality and NGOs together made a plan to conduct an **ongoing information campaign among the entire population and targeted communities to inform them of the projects** and the value of their participation. NGOs and municipality cooperation can ultimately ease the complex process of implementing two projects concurrently, while also build up support for them. Finally, the project sought to **interconnect Roma and other socially and economically marginalized groups through joint trainings** and help finding and maintaining formal employment.

Project implementers reported that the project faced the following challenges over the course of its project cycle: (i) **prolonged preparation processes** required to coordinate various funding sources and separately apply for multiple funds. This meant the information had to be continually updated to reflect both the situation on the ground and the changes in the administrative procedures and regulations; (ii) insufficient local **capacity to prepare and implement projects** for disadvantaged groups. Relevant staff members of the municipality office could benefit from receiving training and participating in knowledge exchange, in order to enhance their skills to plan and implement projects; and (iii) while the target group was provided with information and instructions for accessing the project benefits, their **participation at the project design and preparation stage was limited**.

Project Brief 2

“Home for Everyone” Project and Human Resources Development (HRD) Project, Bulgaria

Project/s period:
2012 to present (ongoing) for both projects

Total project/s cost:
€2,508,371 for “Home for Everyone;” €884,411 for the Human Resources Development project (HRD)

Total number of beneficiaries:
460 people (or 150 families) for “Home for Everyone;” 1,080 people for HRD

Financed by:
ERDF through OP Regional Development for “Home for Everyone;” ESF through OP Human Resources Development for HRD

Implementing agencies:
Municipality of Dupnitsa with two NGO partners—Association “Amala-Friends” for employment and educational outreach and Habitat for Humanity-Bulgaria for housing and desegregation measures

Areas of intervention:
Construction of houses, educational and vocational skills training, facilitated access to healthcare professionals, sustainable integration of marginalized communities



CONTEXT AND RATIONALE

The neighborhood of Gizdova mahala in Dupnitsa, Bulgaria (population 38,986) is an urban community of 1,655 residents of predominantly Roma background. Most live in inadequate housing with poor sanitation and only partial or illegal connection to public utilities, such as running water and electricity. Residents include underage and single parents with large families of more than three children. Some children have disabilities or are in poor health. Other inhabitants face long-term unemployment, limited education, low literacy rates, and outdated skills. They are at risk of increased poverty and social exclusion, especially as smaller communities struggle to recover after the country’s recent economic crisis.

OBJECTIVES AND SCOPE

The key objective of these interconnected projects is to improve the well-being and sustainable integration of the town’s marginalized groups by providing new houses and access to public utilities and services. This includes opportunities for educational and vocational training, employment, and access to healthcare. To make this possible, the municipality and its two NGO implementers have adopted an integrated approach to interconnect their activities. “Home for Everyone” specifically supports construction activities, while HRD supports training and soft measures, which together include:

- construction of 150 social houses in 15 single-family and multi-family residential buildings;
- courses for improving adult literacy rates;
- adult vocational training for professional qualifications and key competencies;
- assistance with job searches and in securing employment in local enterprises;
- instruction on the educational system and its requirements for children and their parents, along with general

parenting courses;

- mediation between the Roma community and local human services and medical providers, to improve access to facilities and care.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the integrated project in Dupnitsa include: (i) **municipality and NGO partnership** in implementing the projects marries NGO technical expertise in building homes and running educational trainings with the resources and logistical support of the city; (ii) **overlapping beneficiaries with clear recipient requirements** between the two projects means that families accommodated in the newly built homes are required to participate in activities and programs for their human resource development. All tenants must pay their rent and utilities, and children attend school regularly; (iii) **sanctions** are enforced for violating an established home rental contract; recipients can even risk eviction. The project’s managing authorities are involved in monitoring and enforcing these requirements; (iv) **including other disadvantaged groups** in the larger HRD project helped avoid singling out one group (such as Roma) for new housing at the perceived expense of another social group (Karakachani ethnic minority), which improved social cohesion and made integration more possible for all peoples.

GOOD PRACTICES AND LESSONS LEARNED

The “Home for Everyone” and HRD projects in Dupnitsa employed the good practice of **providing information on eligibility and instructions for joining the new housing and human development activities as an early step to raise awareness about the project**. The municipality and NGO partnership helped make this possible, as the former relied on the latter for the information campaign and consultations with disadvantaged groups. The NGOs already were well known for their proven effectiveness in working with the Roma community in town. They became even more efficient as they tapped into municipal support for the construction of homes and running activities that required links to educational and social service institutions.

The project sought to overcome segregation and marginalization by connecting Roma communities to urban housing, human services, and employment opportunities in the wider Dupnitsa community. It worked with Roma families that were open to **creating cross-cultural connections through training and workshops**, as well as with those with an eagerness to manage tasks and housing requirements.

Some of lessons learned on the project design included (i) the importance of including mentoring support for disadvantaged people to adjust to lifestyle changes associated with the transition to new social housing; and (ii) a need for a robust criteria and a process for selecting tenants for social housing, to ensure that the most disadvantaged and qualified people are targeted.

Project Brief 3

ADRA Project, Bulgaria

Project period:
2002 to present (ongoing)

Total project cost:
€262,000

Total number of beneficiaries:
42 households

Financed by:
ADRA–Bulgaria, ADRA–Austria, and the municipality of Vienna, Austria

Implementing agencies:
ADRA–Bulgaria Foundation in partnership with ADRA–Austria Foundation and the municipality of Kyustendil, Bulgaria

Areas of intervention:
Construction of houses, training and apprenticeships in construction work, home economics training, construction of a medical center, visits by healthcare providers



CONTEXT AND RATIONALE

The Roma neighborhood of Iztok (“east”) in Kyustendil, Bulgaria, is a community of approximately 12,000 inhabitants. Living conditions in the neighborhood are characterized by dilapidated houses, many illegally built and overcrowded with tenants, along with a lack of running water, indoor bathrooms, or functioning ventilation systems. Many of the families in the Iztok community are unemployed parents with limited formal education and with young children living in a single-room home without proper sanitation.

OBJECTIVES AND SCOPE

The key objective of the ADRA Project is to improve Roma integration by providing affordable housing, in combination with creating favorable conditions for Roma children to access education and experience healthy lifestyles to escape a cycle of poverty and exclusion. To address the situation in Iztok, ADRA adopted an integrated approach consisting of several activities, including:

- constructing a community medical center with a full-time general practitioner, a part-time visiting gynecologist, and a dentist;
- constructing houses (42 families have relocated to new homes);
- training sessions and apprenticeships in construction work;
- home economics training;
- employment skills training;
- life skills training with a specific focus on education for Roma mothers to support their children.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the integrated project in Iztok include: (i) **municipality support** in providing land for house construction and in connecting the houses to municipal water and electricity sources; (ii) **residency requirements** for children to attend school and for adults to demonstrate active job searching or enrollment in employment training workshops. This specific combination of requirements helps ensure families benefit not only from housing, but also education and employment interventions. Most residents are generally conforming to these obligations; (iii) **affordable rent** of €5 per month (excluding electricity and water costs), which helped keep Roma in the housing complex. Rent in the community is collected by a “housekeeper” who is elected by the tenants, which ensures the majority of tenants pay regularly; (iv) **participation of the Roma target group** in all project phases, including in the final selection of eligible families to move into the newly constructed houses and in the subsequent monitoring of the agreed code of conduct for new residents; and (v) a **“fieldworker” representative** hired by ADRA to live in the community and answer questions regarding project activities, as well as to assist tenants with meeting educational, employment, and job training requirements to live in the complex.

GOOD PRACTICES AND LESSONS LEARNED

The ADRA Project in Iztok used the good practice of **building trust with the local Roma community**; an “essential condition” to implement the project. A functioning partnership with the local municipality, even a nonformalized one as in the case in Iztok, was vital for the success of the project’s housing component. Depending on relations with the municipality, project activities can either proceed smoothly or be prevented due to a lack of political will. The **inclusion of Roma beneficiaries in all stages of the project** was also important, as was securing early agreement from Roma community members about the code of conduct expected for future residents. Mechanisms for **Roma ownership over housing construction and maintenance** and the management of residential facilities created a strong sense of responsibility in the community.

The project did not explicitly address segregation or discrimination, as the new housing was constructed in an already segregated space where the Roma community had been living for some time outside of town. ADRA representatives highlighted that this context is important to observe. The Roma community in Iztok was unwilling to move from the area and indicated that if the medical center would not be built within the community, they would not feel comfortable visiting an alternative center in town in Kyustendil. Efforts of spatial desegregation while constructing new homes would have been more feasible in other towns with already mixed Roma and non-Roma urban populations, which is not the case in Kyustendil.

Some of the project’s other key challenges as reported by the project managers include: (i) the sustainability of financial resources, as the activities continue to depend on external support; and (ii) selection of beneficiaries (tenants of social housing), since renovated housing was not available for everyone in the community. The project managers also indicated that the monitoring framework could be strengthened to more accurately measure the project’s results.

Project Brief 4

Social Housing and Human Resources Development (HRD) Projects (B), Bulgaria

Project/s period:

2011 to present for the Social Housing project;
2012 to present for the Human Resources Development project (HRD)

Total project/s cost:

€2,041,281 for Social Housing; €894,715 for HRD

Total number of beneficiaries:

280 people for Social Housing; 1,450 people for HRD

Financed by:

ERDF, OPRD, BG 161PO001/1.2-02/2011 for Social Housing, and the European Social Fund (85 percent of the budget) and state budget (15 percent) through the OP Human Resources Development 2007-2013, BG051PO001-1/4/5/6.0.01 for HRD

Implementing agencies:

Municipality of Vidin with two NGO partners, Organization Drom and the Agency for Regional Development and Business Center of Vidin. These organizations will be supported by more than ten educational institutions, which will participate in the implementation of project activities but not receive financial support from the project

Areas of intervention:

Renovated modern housing, access to health, education, employment services, designing local-level policies to prevent social exclusion and discrimination



CONTEXT AND RATIONALE

The Vidin municipality is located in Bulgaria's northwestern region, which has been the poorest region within the European Union since 2011. The region's GDP per capita is just 28 percent of the EU average.³ Vidin is also home to a sizeable Roma population (9 percent of the local population), which is almost double the country's average of 4.7 percent. Roma here are largely concentrated in the Nov Put ("new way") neighborhood of Vidin, totaling an estimated 9,000 to 10,000 people. There is also a high percentage of Roma in the neighborhoods of Zavodskoselishte ("factory village") and Stroitel ("builder"). The housing conditions in all of these areas are extremely poor, especially in Nov Put. Only a small portion of Nov Put has sewage, so the neighborhood gets flooded during heavy rains and when there are high underground water levels. Electricity and drinking water infrastructure are also insufficient. Other community issues include a high degree of school dropouts, out-migration, and underage pregnancies. Parents often do not have the means to support their children and abandon them. Family and intracommunity communication is notably in a language different than Bulgarian, which poses further challenges for children and adults integrating into schools and the wider community.

OBJECTIVES AND SCOPE

The key objective of these interconnected projects is to provide modern social housing and improve the livelihoods of vulnerable, minority, and low-income populations. The projects focus on Roma as the largest minority group in the municipality, targeting homeless and unemployed Roma as well as those who live in basic conditions. It also reaches out to underage parents, large families (with three or more children), and Roma with disabled and special needs children. To assist these beneficiaries and meet the project objective, the municipality and its NGO implementers have adopted an integrated approach to interconnect their soft and hard activities. The social housing component specifically supports housing reconstruction, while HRD supports training and soft measures, which together include:

- refurbishing and modernizing existing residential housing and infrastructure (such as electricity, sewage, and water);
- constructing 80 new municipal housing residences;
- building child-safety and disability accessible areas in residential spaces;
- adult literacy and job training and support for (re)entering the labor market with assured municipal employment;
- afterschool tutoring and extracurricular activities for at-risk children and vocational guidance for adolescent pupils;
- parent-teacher cooperation in encouraging children to attend school regularly;
- individual and group activities with minority and majority children to foster tolerance;
- activities to improve access to social services and healthcare for promoting healthy lifestyles.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the integrated project in Vidin include: (i) **municipality and NGO partnership** in implementing the projects, which joins NGO expert knowledge in human resource development with the resources and logistical support of the city; (ii) the **beneficiaries of the two projects overlapped**, which means families accommodated in the renovated homes also take part in activities and programs for their human resource development; and (iii) **including other marginalized groups, including disadvantaged people from the majority population** in the larger HRD project, helped to avoid singling out just one marginalized group, and also encouraged trust-building and social integration between minority Roma and the majority population.

GOOD PRACTICES AND LESSONS LEARNED

The Social Housing and HRD projects in Vidin utilized the good practice of **involving the town's experienced NGOs** in its approach. Vidin's main Roma NGO, Organization Drom, for example, has more than ten years experience working with Roma and marginalized communities, mainly with regards to education. Organization Drom will help the municipality with the selection criteria for beneficiaries of the new housing and human resource development activities. It will also work on an information campaign to inform beneficiaries of the project activities, including current residents in municipal housing and new targeted communities, as programs unfold. The working partnership between the NGOs and the municipality ultimately helps the process of implementing two projects in a complementary manner.

The project sought to overcome segregation and marginalization by connecting Roma communities to renovated housing, infrastructure, human services, education, and skills training, which are utilized by other marginalized and mainstream groups in the wider Vidin community. This is expected to help build social cohesion between minority and majority populations.

As was common amongst other projects in Bulgaria, the key challenges faced by project implementers included (i) **prolonged preparation processes** required to coordinate various funding sources and separately applying for multiple funds; and (ii) insufficient local **capacity to prepare and implement projects** for disadvantaged groups. In this regard, the technical assistance that was provided by a group of experts (deployed by the national authority) was perceived as very helpful and appreciated, although the technical assistance scheme did not last long.

³Eurostat. 2012. <http://epp.eurostat.ec.europa.eu/portal/page/portal/eurostat/home/>

Project Brief 5

Property Management Project, Czech Republic

Project period:
2010–April 2014

Total project cost:
€284,748

Total number of beneficiaries:
757 people

Financed by:
ESF through OP Human Resources and Employment and ERDF through IUDP

Implementing agencies:
Property Management Company of Central Brno (municipality-funded) and three NGO partners—IQ Roma Servis, DROM, and Roma Center

Areas of intervention:
Prevention of indebtedness, prevention of eviction, socially sensitive and inclusive property management



CONTEXT AND RATIONALE

Brno is second largest city in the Czech Republic, with a population of about 400,000. Roma have lived in Brno since the sixteenth century, but most of today's Roma moved to Brno from the Slovak Republic after World War II. Today there are estimated 15,000–17,000 Roma in Brno, out of whom 9,000 live in marginalized localities.⁴ The largest of these is the Cejl neighbourhood situated in the city center. As of 2008, almost 5,000 Roma lived here, making up almost half of the neighborhood's residents. However, in recent years many of them moved out, partly because of high indebtedness, which leads to eviction from housing. The municipality of Brno-Centre, where the Cejl neighbourhood is located, has one of the highest rates of indebtedness in the city.⁵ The unemployment rate here is also six times the average of the entire city, while the educational level is just 40 percent of Brno's average (2007).

OBJECTIVES AND SCOPE

The key objective of the Brno Property Management Project was to prevent the indebtedness and eviction of Roma and low-income families from municipal housing. To support Roma tenants, the municipality's property management company and NGO implementing partners provided tenants with the following integrated services:

- using software to monitor tenants' risk of not paying municipal rent;
- help remaining in municipal housing in the face of indebtedness and possible eviction;

- advice and support from trained social workers from the municipality and NGOs;
- job search and employment support;
- a caretaker to monitor the tidiness of apartments and to communicate regularly with tenants.

DESIGN FEATURES AND OUTCOMES

The Brno Property Management Project has the following key features: (i) the **municipality established a property management company** to support low-income tenants with social programs and advisory services to help them overcome indebtedness and maintain their apartments. This is as opposed to the municipality outsourcing to private firms the property management of municipal flats. When this was done in the past, the private firms were unable and unwilling to work on preventing tenants' eviction, just as they were slow to cooperate with social service providers. Since the formation of the public sector property management company, the number of evictions in central Brno has dropped to one-third of the original number; (ii) **municipality and NGO cooperation** with providing trained social workers to counsel Roma and low-income tenants who risk being evicted from municipal apartments;⁶ (iii) **based on a pilot project, "Second Chance"** (City of Brno, Brno-Center borough, and NGO collaboration), which helped insolvent tenants with financial planning before considering whether to evict them from municipal housing. The project provided a template for the Brno Property Management Project; and (iv) the project constitutes part of the **Brno Integrated Urban Development Plan (IUDP)**. Most of the tenants targeted by this project live in a locally defined IUDP zone.

GOOD PRACTICES AND LESSONS LEARNED

The project applied a good practice of **prioritizing the prevention of indebtedness and assistance to indebted tenants** before evicting nonpaying tenants from municipal housing. The project was successful in reducing the cases of eviction to a third of the original level. However, it could not fully achieve its objective, as municipal housing could not serve low-income households as intended.

The project faced several challenges. First, parts of the municipalities' housing policies, which did not necessarily protect low-income households, made achieving the project objectives difficult. Specifically, **the increasing rental fees resulted in pushing low-income households out of municipal housing**, making their housing situation even more vulnerable, while leaving many municipal flats vacant. In addition, new municipal regulations required the new applicants to partly contribute to a flat's refurbishment. This new rule not only made the municipal flats unaffordable for low-income households, but also discouraged middle-income households from becoming tenants, because investment in the flat did not guarantee long-term tenancy and the investments made by tenants could potentially be lost. Second, in the view of social workers, the municipality placed an **unrealistic level of expectation on the role of social workers** in assisting the indebted tenants. As was the case with the Second Chance pilot, the most heavily indebted tenants were directed to social workers, who felt it was beyond their ability to assist them out of debt. Third, the **hard and soft components of the IUDP were not sufficiently linked from the beginning**. While the municipality had a strong capacity in designing and managing the renovation and upgrading of housing units and public spaces, it heavily relied on the expertise of civil society organizations to plan and coordinate soft interventions. As a result, hard and soft components were not planned in full coordination, and the IUDP resulted in comprising a series of isolated activities. Being part of an IUDP, however, projects that implemented these activities still received preference in accessing ERDF and ESF funds. Fourth, **the employment opportunities** provided by the project were limited due to the following issues: (i) the municipality could only offer low-paying jobs; (ii) the list of tenants who were interested in getting a job through the project became outdated quickly and proved difficult to update; (iii) many tenants preferred to work in informal jobs, which often paid better and did not affect the level of social benefits; (iv) the tenants did not have a very clear idea of what kind of job they would be offered; and (v) the firms that were supposed to employ some of the tenants had little confidence in low-income households, especially Roma, and were reluctant to hire them.

The key lessons from the project include: (i) a mechanism is needed to ensure that projects do not end up pushing existing low-income households out of the benefitting project area; (ii) (municipal) housing policies need to be coordinated with the project activities to create an enabling environment to achieve the project's objectives; (iii) municipalities often require technical assistance in preparing an integrated urban development plan, in order to avoid creating and supporting development plans that consist of isolated activities; and (iv) projects need to be planned with feasible and concrete interventions and targets.

⁴Věra, Koupilová. 2010. "Strategie romské inkluze v Jihomoravském kraji na období 2010–2013."

⁵The overall rate of tenant debt in municipal housing stock was only 1.9 percent in 2010, but the average amount of debt for each indebted household was CZK 299,000 (37 monthly minimum wages), and the total debt amounted CZK 221,400,000. For more information, see Mikeszová et al. 2010. "Mapování skupin obyvatel akutně ohrožených sociálním vyloučením ve vybraných čtyřech krajích (v Praze, Středočeském kraji, Jihomoravském kraji a Moravskoslezském kraji) v souvislosti s nedostupností bydlení." Praha: Sociologický ústav AV ČR.

⁶The ERDF grant for the IUDP scheme for the refurbishment of houses and public spaces also required accompanying soft projects. However, the municipality seems to have initially faced capacity challenges in planning soft measures.

Project Brief 6

Social Services Base Development Project, Czech Republic

Project period:
2010–2015

Total project cost:
€14,495,337

Total number of beneficiaries:
150 people (400 total people currently serviced by NGO)

Financed by:
ERDF (Integrated Operational Program)(only for reconstruction of buildings, construction of a playground, and provision of automobiles)

Implementing agency:
Ester (NGO)

Areas of intervention:
Social services, housing, employment



CONTEXT AND RATIONALE

The Javorník microregion is one of the remotest and poorest regions in the Czech Republic. Its main city of the same name, Javorník (population 2,994), is beset with high unemployment (16.7 percent in 2011), out-migration, and brain drain of young people. There are significant numbers of Roma living in Javorník and the surrounding towns (400 total inhabitants). The share of Roma in the region is estimated to be around 10 percent of the population. Most have a history of working in the area's stone quarries and collective farms during the socialist period. When many of these enterprises shut down in the 1990s, local Roma lost their jobs and struggled to maintain their livelihoods. In consequence, some Roma families began to squat abandoned buildings outside of Javorník. The project is part of the long-term effort of the Javorník-based NGO, Ester, to reintegrate the local Roma into society.

OBJECTIVES AND SCOPE

The key objective of the Social Services Base Development Project in Javorník and the surrounding towns is to improve Roma living conditions and livelihoods by promoting self-reliance and building human capital. This includes integrating Roma into authorized town housing from informal and segregated settlements, as well as providing them with vocational training and jobs to sustain their new housing. Other vulnerable groups, such as the elderly and persons with psychological challenges, were included in some aspects of the program. To realize the project's overall goals, the NGO implementer incorporated the following hard and soft activities:

- creation of a Social Service Centre, which will offer both ambulant services (counseling, free time activities for children and adults, trainings, and so on) and simultaneously serve as a base for the provision of mobile services to the entire microregion (funded by ERDF);
- reconstruction of a building to serve as an emergency accommodation for people in need (funded by ERDF);
- housing provision in apartment blocks;
- renovation of an old farm house for asylum housing (funded by ERDF);
- accommodation offer in the form of a sublease between the NGO and beneficiary;

- employment and training program;
- financial counseling;
- creation of work places (like at a Javorník coffee house and NGO-run social enterprises);
- children's recreational activities;
- motherhood and parenting support.

DESIGN FEATURES AND OUTCOMES

Key features of the integrated Javorník Social Services Base Development Project are: (i) **subleases offered by the NGO implementer (Ester) to beneficiaries**, which minimize risks to private property owners. The NGO rents apartments from the owner and sublets the apartments to beneficiaries of the NGO. The set-up allows the NGO to acquire and offer different types of housing suitable for each beneficiary, depending on his or her situation; (ii) **NGO and commercial housing partnerships**, formed on an informal basis between the NGO and local businessmen, enabled the NGO to find suitable housing arrangements in town for Roma and other vulnerable groups; (iii) each month, **beneficiaries receive financial counseling** on saving money for an eventual down payment on a deposit, allowing them to enter into a direct leasing relationship with the owner of properties. This is instead of obtaining a sublease with the NGO; (iv) **use of government of Czech Republic (GoCR) Labor Office-financed public work schemes** in the region, which provide job skill-building and temporary work placements to help beneficiaries transition to the regular labor market. The temporary placements (paid at minimum wage) are for six months and can be extended for up to one year. Utilizing this scheme, the NGO employed 80 people through its various social enterprises; (v) **the NGO (Ester) cooperates with other NGOs** to connect beneficiaries and their families to expanded social services it does not yet provide, such as services for preschool age children run by another Czech NGO (People in Need).

GOOD PRACTICES AND LESSONS LEARNED

The project attests to how NGOs can play important roles in providing housing and social services for Roma and other vulnerable groups. Among other reasons, NGOs are well placed to serve as intermediaries between landlords and housing tenants, or as the owners of buildings that provide accommodation for at-risk beneficiaries. As municipalities often cannot alone solve the housing issues of Roma and other marginalized groups, partially due to political reasons, housing projects by NGOs can be one of the strategies to improve the situation in an integrated manner. In the case of this project, the ERDF funding contributed to enhancing the services offered by NGOs by investing in physical facilities required in delivering the services. It was helpful, because the NGOs had been running with just enough financial resource to provide services, and had no financial capacity to invest in physical infrastructure.

At the same time, the project has faced several challenges, including: (i) the local authority in one project area has been unsupportive of the project, claiming that the project attracts additional unwanted low-income (Roma) families to the area; (ii) NGOs specializing in social inclusion are not necessarily equipped with the technical and financial management (public procurement) capacity to effectively implement big construction or renovation projects—the strict technical and procurement requirements of the ERDF involved heavy administrative burden on NGO staff, and mistakes could lead to high penalties or legal prosecutions; (iii) the NGOs are generally highly dependent on the financial support of the state to provide services. Although the sustainability of the services to be provided at the facilities renovated by the ERDF required continued financial support by the state, there is no guarantee that the NGOs will continue to receive support in the future. Since NGOs were required to use the facilities for the designated purpose for at least five years after the end of project funding, and a violation of this rule would result in significant sanctions, the project poses a great financial risk for participating NGOs. This could be one of main reasons why some NGOs are discouraged from applying for ERDF funding.

These experiences indicate the potential value of (i) explicit measures to prevent further concentration of disadvantaged groups (including Roma); (ii) applying practical technical and procurement requirements, and providing technical assistance to project implementers to comply with the requirements; and (iii) providing multi-year framework contracts and funding for the social service providers (NGOs) to operate the ERDF-funded facilities. In this case, the selection of the service provider can be made on a competitive basis, and the validity of their contracts can be made contingent on the compliance with a number of predetermined quality standards.

Project Brief 7

“Housing Reward Ladder” Pilot Project, Czech Republic

Project period:

2010 to present. Only a pilot housing project to improve conditions in existing flats was implemented. A larger housing project has not been realized, as the town is too small to qualify for the country’s IUDP ERDF scheme and as the eligibility requirements of existing national funds did not suit the circumstances in the project area

Total project cost:

€1,600 (or €400 a year) for pilot project

Total number of beneficiaries:

5–10 low-income households (pilot)

Financed by:

Municipality of Krasná Lípa

Implementing agencies:

Municipality of Krasná Lípa

Areas of intervention:

Social housing, vocational training, employment, social services



CONTEXT AND RATIONALE

The municipality of Krasná Lípa is located in the Šluknov region, which has recently experienced outbreaks of anti-Roma sentiment. Krasná Lípa (population 3,500) has an estimated 500 Roma inhabitants. The number has increased over the last few years, as Roma move from larger cities and experience higher birth rates. Roma in Krasná Lípa are concentrated along a number of streets. Their housing conditions are rudimentary with insufficient water and sanitation. Apartments are overcrowded and need general upgrading and repairs.

OBJECTIVES AND SCOPE

The key objective of the “Housing Reward Ladder” Project is to provide municipal social services and housing support to low-income Roma. While the municipality has not been able to implement the full scheme, it has supported the improvements of housing conditions of poor people by awarding small grants for upgrading apartments. The larger (future proposed) component of the project envisions the refurbishment of a municipal-owned building in poor condition that is currently inhabited by Roma. The building would become a place of temporary housing and support to enable Roma to transition into permanent, stable housing and sustainable employment. The proposed project included the following integrated services:

- small grants awarded for housing repairs;
- refurbishment of a municipal-owned social housing complex for transitional living;
- advice and support from social workers;
- vocational training and assistance in finding employment.

DESIGN FEATURES AND OUTCOMES

Key features of the proposed Krasná Lípa “Housing Reward Ladder” project include: (i) a **municipality that is proactive** in reaching out to local Roma residents, even in the face of opposition from segments of the town’s non-Roma population; (ii) **involving non-Roma vulnerable groups** as beneficiaries alongside Roma helped build support for the project and quell opposition among the town’s residents; (iii) **a local community center** (called “Kostka”) established by the municipality was tasked specifically with providing vocational training and employment support to Roma and other vulnerable groups in town; (iv) **small grants matched by in-kind contributions from beneficiaries built Roma ownership** over the project’s housing component. The small grants offered for home refurbishment were not large enough to cover all necessary repairs even when they were matched by contributions from beneficiaries, usually in the form of volunteer working hours on construction and renovation work. Overall, this aspect of the program is mostly viewed as a way to support Roma and vulnerable persons to initiate their own repair works to improve their housing conditions; and (v) **beneficiaries meet project requirements and are rewarded incrementally**. In the proposed future “Housing Reward Ladder” scheme, beneficiaries would need to meet a number of pre-established conditions to participate in the project. The lowest level of the ladder would be emergency housing (such as shared hostel accommodations) or basic repairs of existing homes; the middle level is transitory housing in a social housing complex with employment assistance and other social services; and the highest level involves accessing apartments on the public-owned or commercial housing market. One important aspect of the housing reward ladder concept is the provision of social work. The presence of social workers is expected to help tenants in adapt to life in a modern flat and to manage their payment duties. The municipality seeks to renovate a building to provide transitory housing, but has not been able to access necessary funds.

LESSONS LEARNED

The Krasná Lípa “Housing Reward Ladder” pilot project is an example of how excessively strict and rigid policies and regulations at central level can prohibit potentially effective projects from accessing EU and national funds. First, the planned renovation of the transitory housing could not be funded by ERDF, since the municipality was too small to qualify for the ERDF Integrated Operational Program, which was only available to municipalities with 20,000 or more inhabitants. It is possible that this rule might have hindered many similar, small municipalities from benefiting from ERDF. Second, the national Supported Housing Programme, for which the municipality considered applying, did not allow existing housing that were still inhabited by tenants to be reconstructed (the program only allowed reconstruction of uninhabitable and empty buildings). In the case of Krasná Lípa, this meant the municipality would have had to relocate the existing residents of the building it wanted to renovate. The municipality did not apply for this funding, as it raised concerns about the impacts on current residents. Such a rule could be counterproductive, especially in cases where it is more cost-effective to renovate existing buildings than build new housing. Third, the same Supported Housing Programme established building standards (including energy-saving standards) that were sometimes above the norms of regular housing structures found in the municipality—potentially making the planned transitional housing more expensive and comfortable than regular houses in the region. Municipality officials feared this would send unwanted messages to both the users and to the general public about the project, leading people to question whether the project was fair.

The above lessons suggest it is important for the central government to (1) ensure that funding criteria do not exclude most disadvantaged areas and groups (such as small municipalities); and (2) reserve some flexibility with regard to technical standards of construction projects (size of flats, energy standards, etc.) in order to allow project implementers to undertake construction/renovation in a format that is suitable to the local context.

Project Brief 8

Integrated Urban Development Plan (A), Czech Republic

Project period:
2007–2014

Total project/s cost:
€7,940,000

Total number of beneficiaries:
331 households

Financed by:
ERDF, ESF, and the government
of Czech Republic (GoCR)

Implementing agencies:
Municipality of Most in
partnership with several NGOs
and the Czech Government
Agency for Social Inclusion

Areas of intervention:
Social housing, employment,
social services



CONTEXT AND RATIONALE

Most is a city of 67,000 inhabitants in a heavy industrial area in northern Czech Republic. The city is home to the large segregated Roma housing estate of Chanov, built in the late 1970s. Chanov is almost entirely Roma with approximately 1,000–1,500 residents. The estate is 2 kilometers from the city and no walkways connect the settlement to the rest of the city. The physical condition of the estate has deteriorated over time (including through vandalism) and become overpopulated. While there is a kindergarten, elementary school, and other basic facilities, many have either closed down or become uninhabitable. The housing estate itself lacks hot water and electricity, partly on account of tenants' failure to pay for public utilities, which caused services to be cut off. Chanov's total debt amounts to almost €4 million, although many of the debtors no longer live in the estate. The estate has also been dubbed an "urban ghetto" in media coverage, with markers of segregated locality, such as careless waste disposal in the public areas, squatting, drug problems, and vandalism.

OBJECTIVES AND SCOPE

The key objective of the Most Integrated Urban Development Plan (IUDP) was to improve livelihoods and social cohesion in the city of Most, and especially within a marginalized housing estate with a majority of Roma residents. The aim was to lower social conflict and raise residents' quality of life. To achieve the project's goals, the municipality and its NGO and GoCR implementers used an integrated approach involving the following activities:

- renovation and refurbishment of four apartment blocks (originally 12 blocks planned);
- provision of housing units for 34 households;
- connection to hot water, electricity, and other public utilities in standard quality apartments;
- education, re-skilling, and vocation training programs;
- employment placements at the Chanov Community Center (NGO);
- construction of recreational center for leisure activities for youth inside an existing covered stadium near the city center;
- advisory services on overcoming indebtedness;
- child care support;
- construction of a pathway linking Chanov to the rest of the city.

DESIGN FEATURES AND OUTCOMES

The Most IUDP was developed under the framework of the ERDF Integrated Operational Program. Most had been selected as one of the six pilot Roma localities to be targeted by a subprogram that funded: (i) housing renovation; (ii) public spaces renovation; and (iii) accompanying soft activities. The Integrated Urban Development Plan and its activities were prepared by several ad-hoc groups mainly consisting of service providers, local NGOs, and local government; the soft components were prepared under the facilitation support provided by a consultant of the state Agency for Social Inclusion. The consultant from the Agency for Social Inclusion also supported the preparation of specific projects consisting of the housing reward ladder approach and anti-indebtedness counseling, which are funded by ESF sources. The initial idea of the housing reward ladder approach was to provide transitional housing for families in Chanov, who would also receive assistance and capacity-building training to transition to standard quality rental housing outside Chanov. These soft assistance and capacity-building activities include employment market insertion activities, advisory service on household financial management, leisure activities for youth, and education support, including early child care.

The housing reward ladder approach, however, had to be modified during the course of the project, since the actual social housing created by the project exceeded the quality of transitional housing, and was perceived as high-quality housing that was not suitable for transitional residents. As a result, the municipality decided to offer quality social housing to the residents of Most who demonstrate exemplary citizenship by meeting a certain set of criteria, including (i) regular rent payment, or absence of rental debt; (ii) accessing services provided by local sociolegal protection workers; and (iii) a minimum of 70 percent school attendance by school-age children. At the time the project review was conducted in 2013, tenants were paying their rent regularly and there were no signs of physical damage to the renovated estate. So far the project is considered one of the largest social housing programs for Roma in the Czech Republic.

GOOD PRACTICES AND LESSONS LEARNED

The municipality of Most was able to prepare a local development strategy with the involvement of a range of local partners, and raised sufficient resources from various funding sources to implement the strategy. One of the good practices was the support provided by the state Agency for Social Inclusion in facilitating the preparation of the local plans and projects. The involvement of both Roma and non-Roma local NGOs in the design of the IUDP's soft components helped leverage and integrate their activities and knowledge.

Another important positive practice, which was applied for the first time in Most, has been the introduction of a condition in public tenders that required contractors to hire at least ten percent of the workers involved in the project from a local pool of long-term, unemployed job seekers. As a result of this condition, at least some inhabitants of Chanov were employed in the construction works. Today, this rule is promoted nationally by the Agency for Social Inclusion and has been instituted in other municipalities.

Further examination of the IUDP at the national level, however, also revealed some lessons that can be considered for future. First, besides the pilot subprogram that targeted Roma localities, **the program did not particularly focus on the most disadvantaged areas.** Its priority axis 5.2 (on housing) targeted housing estates in general, and not the most disadvantaged housing estates. This has resulted in funding more housing interventions in less disadvantaged municipalities. In addition, in an attempt to avoid concentration of funds in some municipalities, it allowed municipalities to designate only one area in the city to be addressed by the IUDP funding. This hampered effective planning in municipalities with multiple disadvantaged neighborhoods. Moreover, IUDP funds were distributed to all municipalities that had applied for funding without prioritizing disadvantaged areas or well-designed projects. In other words, there was no competitive selection of projects, which resulted in thinly spreading resources across a large number of municipalities. It shows the **importance of incorporating an effective targeting framework in the program design.**

Second, in an effort to promote an integrated approach and provide extended oversight to the pilot Roma localities, the subprogram **established additional regulations**, such as requiring the localities to implement soft measures prior to the implementation of infrastructure investments. It not only hampered the effective integration of hard and soft activities, which often had to take place together, but also appears to have discouraged some localities from applying for the funds. **Program regulations and requirements need to be designed carefully, so as to avoid creating additional obstacles to effective project implementation.**

Third, activities conceived under the local development strategy were **vulnerable to shifts in the locality's political environment.** Negative campaigns about the project by the opposition party before elections, for example, prompted the incumbent government to cancel some of planned activities. According to the interviewed municipality representatives, the downsizing of activities was also influenced by the economic crises, which resulted in cutting the municipal budget. **Stronger monitoring and follow-up mechanisms by the central program would be needed to avoid funding such changes to projects.**

Project Brief 9

Neighborhood Regeneration Project, Czech Republic

Project period:
2009–2015 (ongoing)

Total project/s cost:
€5,300,000

Total number of beneficiaries:
4,000 people

Financed by:
ERDF (ROP and IOP subprograms) and ESF

Implementing agencies:
Municipality of Orlová

Areas of intervention:
Housing, infrastructure, public space, social services, security

CONTEXT AND RATIONALE

The city of Orlová (population 31,000) was once a major coal mining city in the socialist period. Similar to other towns in the country, the economy's transformation closed many factories and places of employment. As a consequence, Orlová has lost nearly 5,000 residents since the early 1990s. One zone in the city particularly hard hit by socioeconomic challenges is the Poruba district (5,676 inhabitants). The neighborhood has two old apartment block settlements (3,968 residents) that date back to the 1950s; these accommodate miners. Both settlements are nowadays considered to be socially excluded localities. The majority of inhabitants are Roma, many of whom are unemployed. Few homes in the Poruba settlements are municipal-owned; most are privately owned by RPG Byty, the largest commercial real estate company in the country. According to residents and city representatives, the rent level in the RPG flats is high by regional standards. Paradoxically, this might have contributed to the concentration of low-income households in this part of the city, as more affluent tenants often decided to use other housing options, while the rent for low-income families is largely covered by the welfare system.

OBJECTIVES AND SCOPE

The key objective of the Poruba Neighborhood Regeneration Project is to support the regeneration of a marginalized residential area in the city. The assumption is that hard and soft measures are needed together, because the latter (such as social work, community center support) are crucial to ensure that investments in building structures and public spaces are accessible to vulnerable groups, are not vandalized, and hence bring lasting benefits to all of Poruba's residents. To meet these goals, the Orlová municipality applied an integrated approach of interconnected activities, which include:

- reconstructing houses (308 apartments), including roofs, windows, outside doors;
- upgrading infrastructure, such as public lighting and sidewalks;
- improving public spaces (creating a playground, parking spaces, and installing a video surveillance system);
- building a community center (called Maják), where anonymous counseling services are offered on labor relations, consumer protection, financial matters, and family affairs (divorce, domestic abuse);
- social worker visits to families to address children's irregular school attendance or nonpayment of rent.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the project include: (i) the **area-based demarcation of a zone of intervention, as required for all IUDP projects**. In the Czech Republic during the 2007–2013 programming cycle, municipalities were required to create IUDPs for accessing funds from the Integrated Operational Program (IOP). IUDPs were founded on an area-based approach. The experiences with this requirement were mixed, as social exclusion problems are not always concentrated in one particular area in a municipality. However, in the case of Orlová, the designation of a priority development area was suitable, as vulnerable population, including Roma, were concentrated in the defined area. At the same time, since Poruba is a mixed neighborhood, the intervention did not exclusively target Roma; (ii) **public-private partnerships** in the project, which involved a private real estate company, RPG Byty. This was important for the success of the project, because the majority of apartments in the two Poruba settlements are owned RPG Byty (upon privatization by the OKD mining company). As previously noted, RPG Byty is the largest single real estate company in the Czech Republic, and therefore an important stakeholder. The RPG Byty company is known for being open to cooperation with Roma organizations and other NGOs, and for seeking partnerships with municipalities with the aim of stabilizing troubled neighborhoods. With its experience working on social projects, the company participated in the preparation of the Poruba neighborhood project and was represented on the project's steering committee. It used resources from the project to renovate all RPG-owned houses in the two settlements and additional buildings surrounding the project site in need of renovation; (iii) the **Orlová Department of Social Services (DSS) had the capacity and experience** to compensate for the lack of local NGOs with sufficient capacity to implement soft measures for the project. Usually, integrated projects rely on NGOs to carry out interventions; however, in the case of Orlová, there were few experienced NGOs with which to partner. As such, a separate unit of the municipal DSS was set up to run soft activities; (iv) this **special DSS unit operated** on the premises of the Maják Community Center, established by the project, to be **close to the project's beneficiaries**. This allowed for effective monitoring of the situation on the ground and for project activities to adapt accordingly, strengthening the project's sustainability; (v) **the rents were increased**, as in some cases flats were considered to be of higher quality. Paradoxically, this increase seemed to be less a problem for the long-term unemployed, as their rent is largely covered by the welfare system, than for the remaining working residents, for whom the increase of rental fee could be an additional motivation to move from the area. As is the case in other RPG Byty-owned properties, the company seeks to counter such a tendency with an offer to provide housing at reduced rates to municipal workers, who are expected to stabilize the area (in particular members of municipal police). During the time of visit (February 2014), the city of Orlová had not decided whether to accept this offer; and (vi) **the municipality sought to garner public support for the project**. The private ownership of most of the renovated houses made it easier for the city to convince the public to support the project. The municipality also countered negative perceptions of the project by stressing the fact that the Poruba neighborhood is indeed inhabited by a mix of Roma and non-Roma residents. These communication efforts aided the project's viability over the long run.

GOOD PRACTICES AND LESSONS LEARNED

The Poruba Neighborhood Regeneration project showcases several good practices of an integrated approach and project design. The first is the way in which the project targets various social groups living in one area. The Poruba neighborhood is relatively diverse, with many low-income households and several middle-class homes interspersed among the former. While the investments in housing went primarily to the poorest inhabitants, other hard components of the project, such as the public space upgrades, parking lots, sidewalks for pedestrians, and installation of camera surveillance systems were realized in ways that benefited a wide range of neighborhood residents. These spaces lead to mutual interaction, and because the benefits were shared by all the area's residents, including Roma and non-Roma, they helped prevent ethnic tensions.

Project Brief 10

Social Inclusion Program, Pilot Project, Czech Republic

Project period:

2012–2013 for pilot project

Total project cost:

Unknown (original estimated total cost was €80 million for the entire project, including beyond the pilot phase). The initial project design was developed with the expectation that its realization would be supported with EU funds

Total number of beneficiaries:

10 households for pilot phase (2013)

Financed by:

Municipality of Ostrava, Roma Education Fund, local NGOs, and private companies

Implementing agencies:

Municipality of Ostrava

Areas of intervention:

Housing, social inclusion, education, employment

CONTEXT AND RATIONALE

The city of Ostrava (population 310,000) is the third largest city of the Czech Republic. It is situated near the Polish and Slovak borders. It is an important economic center that used to be dominated by coal mining, steel plants, and other heavy industry. However, since the end of socialism, it has experienced high unemployment, youth idleness, and related social ills. Its high out-migration has left municipal and private housing abandoned and in need of tenants. While the city is home to a sizable Roma population, many of whom lack suitable living conditions, Roma face considerable challenges in accessing housing. Many Roma possess substantial debts, and municipal regulations prohibit renting municipal flats to those in insolvency. Moreover, municipal housing is controlled mainly by city boroughs, which sometimes implement tenant policies that create huge hurdles for Roma to access municipal housing, such as expecting full-time employment and no criminal record. With these challenges, an increasing number of Roma live in temporary hostel-style accommodations, which are relatively expensive and unsuitable for large families with children. Housing is often in poor condition and located in marginalized localities that are home only to Roma. There are few opportunities for social interaction and integration with non-Roma.

OBJECTIVES AND SCOPE

The key objective of the Ostrava Social Inclusion Pilot Project was to tackle various dimensions of social exclusion among Roma by providing them with not only appropriate housing, but also with job training and employment opportunities. The basic assumption behind the project was that a lack of education and professional training, limited job prospects, and poor living conditions are all interconnected dimensions of marginalization among Roma, and so all three aspects of exclusion must be addressed. In cooperation with NGOs and private companies, the Ostrava municipality hence applied an integrated approach of interconnected activities, which has been realized on a limited scale so far, and includes the following components:

- accommodation offer in the form of a sublease between a participating NGO and beneficiary;
- job training programs in cooperation with public professional schools;
- assistance with employment placement;
- cooperation with social workers for assistance in dealing with government administration and documentation.

DESIGN FEATURES AND OUTCOMES

Key features of the Ostrava Social Inclusion Pilot Project include: (i) **cooperation between the municipality and NGO** allowed several local NGOs to agree with city boroughs or the city's main private housing company (RPG) to provide housing to Roma beneficiaries by acting as an intermediary and subletter. The aim was to enable Roma and other disadvantaged citizens that might have trouble accessing housing due to discrimination or lack of financial assets (to cover the deposit) to find a way back into the regular housing market. NGO service providers' involvement in the project was also valuable for the way in which they could influence the tenant-beneficiary and react quickly to potential difficulties, since they had previously established interaction with some beneficiaries; (ii) **program requirements for participating beneficiaries** expected Roma to enroll in vocational training courses that would increase their chances on the job market. Afterwards, beneficiaries were expected to accept arranged employment offers, as well as to meet social workers on an ongoing basis for documentation and other assistance. If at any point beneficiaries declined to participate, such as refusing to accept an employment offer, they were asked to leave the program. This included giving up housing that had been organized for them. Beneficiaries signed agreements to this effect when they joined the program, and these were enforced throughout. Often, participants felt unable to meet the project's eligibility requirements because of their indebtedness, which in some cases resulted from small infractions (such as for using public transportation without a ticket) that had risen astronomically due to the involvement of professional collection agencies; (iii) **flexible and iterative development of project design** meant that the sequencing of integrated activities changed over time from experience. After having to evict a beneficiary who would not take up permanent employment, the municipality implementer decided to change the order of provided services. The provision of housing would be the last phase of the project, after beneficiaries successfully completed vocational training courses and found stable employment. Other NGO partners have requested that the program remain flexible to reflect beneficiaries' specific needs, as their poor living conditions may limit their success in other areas; (iv) **a win-win arrangement for public and private housing agencies and beneficiaries** means that while the latter needs appropriate living conditions from the former, the former need tenants to fill empty housing left in the wake of the city's postsocialist industrial decline and population exodus. It also helps the commercial and public housing market to have NGOs act as subletters to Roma, because the key risks associated with renting to low-income groups (such as rent default, deterioration of conditions due to overcrowding) are shouldered by the NGOs (although financial sustainability of NGOs remains a challenge); and (v) **strong political and institutional support** from the municipality and political leadership helped the project to leverage contacts that officials had with local enterprises to secure employment offers for beneficiaries. The beneficiaries were offered fairly well-paid positions on account of these public and private sector connections. The direct involvement of politicians generally helped to raise the sensitive issue of Roma's social exclusion.

GOOD PRACTICES AND LESSONS LEARNED

The Ostrava Social Inclusion Pilot Project showcases several good practices of an integrated approach and project design. The first is the way in which the basic program elements built upon existing NGO activities and services (such as subletting municipal flats to Roma) instead of designing activities from scratch. The program added value to the activities and services by combining them all into one package. Another good practice was how the project's integrated services were offered to beneficiaries as a type of "social agreement." The beneficiaries fulfilled conditions to participate in required project activities, while the project rewarded their efforts with educational, job, and housing support. The social agreement was also part of the project design to ensure that the beneficiaries access not only housing support, but also job training and employment support. While evidence suggests that the conditions for participation are difficult to fulfill for many middle-aged Roma, who are in many cases heavily indebted and fear that formal employment would result in a large part of their salary being deducted by creditors, the program appears to be attractive to younger adults. If implemented on a larger scale, such a program could offer them an opportunity to start a more integrated life. The housing component gives beneficiaries a choice of apartment rental locations in order to prevent a concentration of Roma in slum-like neighborhoods in the city.

Another notable good practice was the establishment of a new communication and coordination structure between the municipality and NGOs working with Roma. The formal working group helped to improve dialogue between NGOs and the city's political leaders, as it improved the municipality's knowledge of Roma and their marginalization.

Project Brief 11

Integrated Urban Development Plan (B), Czech Republic

Project period:
2008–2015 (ongoing)

Total project cost:
€6,999,015

Total number of beneficiaries:
1,000 households for hard projects
and 540 for soft projects

Financed by:
ERDF

Implementing agencies:
Municipality of Přerov

Areas of intervention:
Housing renovation, public space,
community work



CONTEXT AND RATIONALE

Přerov is a city of nearly 45,000 people in eastern Czech Republic. The local economy is dominated by the machinery, chemical, and food industries. The town's unemployment rate was 12.3 percent in 2014. There are an estimated 3,500 to 4,000 Roma living in Přerov. A large portion of them lives in a block of homes near the city center, while another on the outskirts of the city. The two main localities are Husova Street, with about 4,350 Roma, and Kojetínská Street, with about 240 Roma. Both neighborhoods are relatively new segregated localities that date back to the 1990s. They developed after Roma were offered apartments by the municipality in the segregated areas, or Roma moved there to escape indebtedness to other municipal-owned apartments in other parts of the city. All of the housing in the two segregated areas is in very poor condition. Public spaces around them are not suitable for leisure activities.⁷ Poverty and weak civic associations among residents characterize the areas.

OBJECTIVES AND SCOPE

The key objectives of the Přerov Integrated Urban Development Plan (IUDP) are to revitalize and regenerate socially segregated urban spaces, inhabited predominantly by Roma, in order to increase the city's attractiveness and prevent its decay. The project also seeks to overcome social exclusion among Roma and marginalized persons. In order to meet these goals, the Přerov municipality applied an integrated approach of interconnected activities, which include:

- renovation of 6 municipal-owned apartment blocks for Roma beneficiaries in a segregated locality. A total of 12

⁷ For context on the housing situation in Přerov, there are currently 20,701 apartments and 4,035 houses in the city. Of the population, 32 percent rents private apartments, 14 percent live in privately owned homes, and 23 percent live in condominiums. Out of these different types of housing, 13 percent are owned by owners' associations, 5.3 percent by condominiums, 23 percent by landlords who rent out the property, and just 4.2 percent by the municipality or central state (according to the 2011 census). The latter figure is a significant drop from 2001, when the municipality or state owned almost 11 percent of all housing in Přerov.

- social housing blocks were planned to be refurbished, but delays and red tape prevented others from being renovated;⁸
- refurbishment of public spaces, including building three children's playgrounds and several residential parking lots between apartment blocks (albeit outside of the segregated Roma locality);
- a housing advisor to help 10 Roma households find housing on the rental market;
- recreational and educational activities for Roma children;⁹
- establishment of community groups to promote self-maintenance of buildings.

DESIGN FEATURES AND OUTCOMES

Key dimensions in the Přerov Integrated Urban Development Plan are: (i) the way in which it is a **part of an IUDP, required by the central government, but developed by the municipality to meet local development needs**. Like other IUDPs, it is based on a geographic-area approach to intervention. In Přerov, the area of intervention was delineated as a group of segregated localities near the railway, where the vast majority of inhabitants are Roma, and the residential area of Přerov-South. The whole area has 1,458 apartments, out of which 194 are considered "socially excluded." There are another 252 apartments in the segregated area labeled by authorities as "endangered by social exclusion." While there are benefits to this geographic-area approach, IUDP in general was considered by some civic leaders to be a top-down requirement, while others saw advantages to the prerequisite of having a local development strategy; (ii) **synchronizing hard and soft interventions** was challenged by the fact that the hard interventions (such as building refurbishment) could not be started until the soft project was approved. However, the latter was delayed; it was only in the second round that it was finally approved; and (iii) the **creation of a community group among Roma** in the Kojetínská segregated neighborhood (established 2011), which was in charge of organizing cleanups, establishing housekeepers, and initiating home improvements. Much of their activity was to prepare for future large-scale construction work and apartment renovation to be supported by the ERDF.

GOOD PRACTICES AND LESSONS LEARNED

The main innovation of the Přerov Integrated Urban Development Plan is its component of self-organized community work among Roma in the Kojetínská segregated locality, just previously mentioned. This Roma community group operated for three years and was made-up of several volunteers who were trained in construction and maintenance. They managed to refurbish some common housing areas on their own with limited resources. However, once the group was ready to get involved in the larger-scale renovation of their houses, the municipal government stopped the investment project. Other weak aspects of the project were the way in which only the ethnically mixed (Roma and non-Roma) neighborhoods had their houses and public spaces renovated, while the segregated localities had only a few apartment blocks renovated. Nevertheless, segregated neighborhoods were to receive educational and social services, unlike the non-segregated areas. Ensuring the right balance is an important lesson to be learned.

Another lesson learned is the importance of having the municipality maintain control over housing in the targeted intervention area throughout the project. Once the property is sold, especially to private owners, the municipality can no longer ensure that the project's aims will come to full fruition. This is what happened during the implementation period, when the municipality sold most of its housing stock to private owners (former tenants) and thus lost the ability to influence the tenancy structure (allowing low-income Roma to live there) and control over construction investments. The new owners (non-Roma) were interested in grants available for renovation, so most of them applied and renovated their homes. However, the money the municipality acquired from the privatization could have been used for the refurbishment of those buildings and for marginalized Roma communities. Instead, the financing stayed within the municipality. Another issue was that just before the implementation of the project, housing in the largest segregated locality, where nearly 1,000 Roma live, was sold to a private owner who evicted most of the Roma families. Many of these families did not manage to find proper accommodations and were forced to live in temporary hostels.

A final lesson learned is the importance of synchronizing hard and soft projects within the program. The issue with the Přerov plan is that local actors were required to implement soft measures prior to the implementation of infrastructure investments. This made it difficult to synchronize the soft and hard activities, and the local plan became more of a wish list of isolated projects instead of a well-integrated plan for a holistic intervention. As a result, there was no synergy effect in the complex approach, and many activities were either delayed or did not happen.

⁸ The original plan was to refurbish 42 municipal-owned apartment blocks in the segregated and non-segregated area targeted for intervention. As of 2014, 23 apartment blocks were approved for renovation. However, it should be noted that during the project's implementation, the majority of houses were sold to tenants, which delayed the refurbishment. Some of the new owners either did not apply to have their homes refurbished or renovated their apartments themselves, so the municipality ultimately saved on money earmarked for this purpose.

⁹ There was also a proposal for a "People in Need" subproject to address social exclusion among Roma residents by providing assistance with finding work, stable housing, and child care. However, the subproject was not approved for financing. Its social activities therefore faced delays.

Project Brief 12

Le Petit Lacanau Project, France

Project period:
2004–2010

Total project cost:
€6,900,000

Total number of beneficiaries:
140 people

Financed by:
Municipality of Blanquefort and Gironde Department (district)

Implementing agencies:
Municipality of Blanquefort and two NGO partners—Aquitanis (housing) and the Departmental Association Friends of Travelers of Gironde (ADAV33) (social inclusion activities)

Areas of intervention:
Housing, social inclusion, education, health, property rights, youth skills training



CONTEXT AND RATIONALE

The Petit Lacanau neighborhood on the outskirts of the municipality of Blanquefort (Bordeaux region in Le Gironde Department) is a largely Roma community. Roma have lived in Petit Lacanau for over forty years with very little movement in and out of the community, except for seasonal agricultural labor. As the commune has grown it has become increasingly overcrowded, with 45 to 50 families living in trailers and provisional barracks without basic services and waste collection, on just four hectares of land. Crime is also believed to be high in this remote, unmonitored settlement outside of town, with thefts and the illegal drug trade on the rise. Health and safety risks are also a concern.

OBJECTIVES AND SCOPE

The key objectives of the Petit Lacanau Project were to reduce inequality and exclusion of Roma by providing social housing for 30 Roma families (51 adults and 75 children) and to provide social support for Roma to access social and economic services, in particular health and education. To meet these objectives, the Blanquefort municipality and two NGO implementers applied an integrated approach to interconnect their activities, which included the following:

- construction of customized housing units with full utilities and services, and Roma relocation to this housing complex;
- registration of Roma in the public health system and healthcare and prevention information;
- education assistance for children and youth;
- professional skills training for youth and adults;
- establishing links between potential employers and Roma job seekers.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the integrated Petit Lacanau Project include: (i) **long-term involvement of beneficiaries** in all project phases, including design and monitoring; (ii) **housing construction adapted to Roma cultural needs**. Seasoned NGO implementers with experience working with Roma had the capacity to alter housing planning and execution according to the sociocultural background of beneficiaries. This included recognizing that Roma in Petit Lacanau tend to live according to clan groups and this had to be taken into account in the process of relocating Roma to new housing units. Attention to cultural sensitivity ensured beneficiary buy-in and project sustainability; (iii) **strong political and institutional support** from the municipality council, mayor, as well as the district (Le Gironde Department) at all stages of the project. The municipality's support meant that it persevered in the lengthy negotiation process of purchasing a new plot of land on which the project housing units were established; and (iv) **closing the original unsafe settlement** encouraged integration, as Roma families either choose to join the new housing project or moved to the nearby town. The former option promoted by the project supported a gradual process on integration.

GOOD PRACTICES AND LESSONS LEARNED

The Petit Lacanau Project showcases several good practices of an integrated approach and project design. The first is the way in which its housing provides not only living solutions, but also social and human services for Roma adults and children to integrate gradually into French society. Assistance with education, vocational training, and finding employment helps Roma adults and their children build skills and self-sufficiency to make the transition. Selecting beneficiaries on a voluntary basis and early on ensured Roma buy-in and eagerness to participate in and provide feedback on project activities and requirements. (Just 15 out of 50 families decided not to join the new housing complex; many moved to the town.) For example, beneficiaries and implementers together agreed to create a garden in the housing complex to store caravans, as well as design an internal architectural space to meet cultural needs. The culturally sensitive design may help explain the high rate of punctual rent and utilities payments. There has also been success in enrolling children in school and ensuring their regular attendance and graduation, as there is overall compliance with health regulations and expectations, such as getting vaccinated. Through these successes, the project aims to overcome segregation and marginalization by gradually integrating Roma into all aspects of social and economic life.

Project Brief 13

Transitional Village Project, France

Project period:
2011 to present

Total project cost:
€676,000

Total number of beneficiaries:
80 people (19 households)

Financed by:
ERDF (housing for marginalized communities), ESF (operational costs), and the Île-de-France Greater Paris Area Regional Council

Implementing agencies:
Val-de-Marne Department (district) and the municipality of Orly in partnership with the NGO SOS Habitat et Soin

Areas of intervention:
Social housing, health, employment, education, access to legal rights



CONTEXT AND RATIONALE

The Val-de-Marne Department (Île-de-France region of greater Paris) has a high concentration of migrant Roma with 1,200 people located in nine unauthorized camps. The Hameau du Bouvray transitional village was created in 2011 in the Val-de-Marne Department on a piece of land provided by the Orly municipality in order to provide safe living conditions for migrant Roma and to help them become self-sufficient and socially and economically integrated into French life. Prior to this, Roma had been living in unauthorized camps or squatting in houses and on plots of land around town at the ongoing risk of eviction. Their living conditions were overcrowded and unsafe. Most Roma in Hameau du Bouvray are from Romania (Craiova) and arrived in France 3–4 years ago. The majority has low education levels and does not speak French. Some are even illiterate and have no work or social connections to rely on as a safety net of support. Many resort to informal economic activities, like begging or scrap-metal trading, or seasonal activities, such as fruit and vegetable picking.

OBJECTIVES AND SCOPE

The key objectives of the Hameau du Bouvray project are to support migrant Roma families in achieving adequate levels of autonomy and economic self-sufficiency so they can become active social and economic participants in French society within 3–5 years. To do so, the municipality and its NGO implementer have adopted an integrated approach to interconnect their activities, which include:

- constructing housing units with full utilities and services (water, electricity, sewage);
- providing healthcare access, including counseling, healthy lifestyle advice, and pregnancy monitoring;
- legal support to obtain residency permits and to understand the French administrative system;

- education for children and adults, including adult literacy and French classes;
- employment skills training, including working with beneficiaries to identify employment opportunities and skills needed to apply;
- apprenticeship programs and establishing links with potential employers.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the integrated project in Hameau du Bouvray include (i) **municipality support** in providing land for house construction free of charge for a period of three years; (ii) **municipality and NGO partnership and division of labor**, with the former focusing on housing construction and the latter on social inclusion activities. This allows the project to be implemented in a truly integrated, simultaneous manner as each implementing agency works from its strength; (iii) **new transitional housing replicates the social composition of previous living conditions** (camp settlements), so as not to rupture the social fabric of Roma communities, while importantly providing them with adequate living conditions and resources meant to be a springboard to accessing employment, legal rights, language learning, and managing a house and its resources; (iv) **transitional housing and integrated services ease the process of social and economic integration**, building autonomy and confidence among beneficiaries to begin the process of socioeconomic integration, when moving from life in camps to individual apartments would otherwise be challenging for Roma newcomers to the country; (v) **project activities interconnected with district-wide professional training project** (“Lola”), targeting women who do not speak French so as to provide them with language and professional tools for gainful employment. Attaching Hameau du Bouvray’s activities to this program builds on existing resources and best practices already in use in the district instead of starting new activities from scratch; and (vi) **“fieldworker” representatives** from the implementing NGO, SOS Habitat et Soin, include one on-site, daytime social worker and one educator, who both monitor and motivate beneficiaries’ participation in activities during working hours.

GOOD PRACTICES AND LESSONS LEARNED

The Hameau du Bouvray project showcases several good practices of an integrated approach and project design. The first is the way in which its transitional housing provides not only living solutions, but also social and human services for Roma adults and children to integrate gradually into French social and economic life. Through French language classes and vocational training, Roma from abroad are prepared to be active participants in a new country. Also beneficial is the way in which Roma are taught not only new professional skills, like in wholesale trade, gardening, and horticulture, but also traditional Roma work activities, such as recycling iron and metals, which are still encouraged in the Hameau du Bouvray village. On-site areas are dedicated to recyclable items being collected and sold in a formal manner. This helps avoid completely dislocating Roma from their traditional work and social activities. In these ways, the project explicitly seeks to overcome segregation in a steady, ongoing manner by building the educational and professional assets for Roma to transition into independent living conditions, while maintaining their customs and habits.

Project Brief 14

Complex Settlement Program, Hungary

Project/s period:
2009 to 2014 (ongoing).
22 projects implemented
in the first round and 18
projects in the second

Total project/s cost:
€15,350,065 (for the
first 22 projects in
round one)

**Total number of
beneficiaries:**
45 communities
(over 5 rounds)

Financed by:
ESF and the Hungarian
national budget

Implementing agencies:
Municipalities in
cooperation with Türr
István Training and
Research Institute
(TKKI) and local NGOs

Areas of intervention:
Living conditions,
community centers,
intensive case-based
social work, health,
training, employment



Györgytelep in Pécs

Hell's Tower in Veszprém

CONTEXT AND RATIONALE

Starting in 2005, the Hungarian government launched a Roma Settlement Integration Program that reached out to small villages and segregated neighborhoods. There were altogether five “rounds” announced within this program. Each round was financed from different budget lines and covered varying activities. So far, the program has reached a total of 45 communities. In order to expand and institutionalize the program, the Hungarian National Development Agency took steps in 2009 to make activities eligible for EU funding to increase resources available for the program. Some of the rules and eligibility requirements for projects were revised with the goal of making activities eligible for EU funding. The first call for EU cofunded projects was made in spring 2012, with submissions due in autumn of that year. Most of the successful projects within the program were launched in early 2013.

The target beneficiaries of this new EU cofunded program—in contrast with the preceding nationally funded program—were smaller segregated neighborhoods populated by Roma and non-Roma. Other characteristics of the target population were that more than half of the population had a maximum of 8 years completed primary school education and more than half were unemployed. To be eligible, applicant neighborhoods had to have a minimum population size of 45 people living in 10 dwellings or houses. In addition to the segregated neighborhoods, the population of the whole municipality (village or town) had to be included in elements of project activities.

OBJECTIVES AND SCOPE

The key objective of the Hungarian Complex Settlement Program was to support the inclusion of marginalized groups who live in deep poverty in segregated neighborhoods. Housing for Roma and marginalized communities was not specifically addressed under the program, although attention was given to livelihoods and general living conditions. In doing so, municipalities and their implementing partners applied an integrated approach, which comprised a range of activities, including:

- building and supporting community centers;
- livelihood support;
- personalized case-based social work with beneficiaries;
- healthcare support;
- employment assistance.

DESIGN FEATURES AND OUTCOMES²⁰

Key dimensions of the integrated Hungarian Complex Settlement Program include: (i) the **participation of municipalities and organizations in providing feedback on the draft call for proposals**. The National Development Agency made the draft call public for comments for two weeks on its website. Altogether, 20 organizations and municipalities gave feedback on the draft, and some recommendations were taken into account before the final version was posted; (ii) **“open days” were held with potential applicants** in which a team from the National Development Agency traveled around the country to receive and answer questions from municipalities. No further help, though, was offered to interested municipalities and NGOs in the project preparation phase; (iii) **projects supported under the program relied heavily on the expertise of local NGOs**, who collaborated with municipalities to implement a range of soft and hard activities.

LESSONS LEARNED

The Hungarian Complex Settlement Program required cooperation with the newly established Türr István Training and Research Institute (TKKI) and with local branches of the National Roma Self-Government. In obliging themselves to do so, the program and its grantees intended to safeguard the sustainability of their work in improving Roma livelihoods and social inclusion. It faced challenges, however, since it obliged the communities to work with the TKKI and National Roma Self-Government local branches, even when there were other more locally embedded organizations, which had strong local knowledge, partnerships, and community trust. As a result, the involvement of the TKKI and National Roma Self-Government local branches helped only in few cases to secure Roma community buy-in for the wider program.

²⁰ The projects funded under the program are still at too initial a stage to describe exactly how ERDF and ESF-funded activities will be coordinated and implemented in synergy.

Neighborhood Social Urban Rehabilitation Project, Hungary



Photos from top left to right: two refurbished houses (100 percent social housing); refurbished house from inside; green courtyard developed by the residents; the community center; main square in the Magdolna neighborhood; corridors of the building to be renovated in Phase 3; CCTV and street view; a building under renovation in Phase 3; local residents working on greening the main square (2007);* dilapidated dwellings in a courtyard;* the refurbished "Zsibárus ház" and "policemen's house;" former appearance of the refurbished social housing building (see renovated one on top left).*

Photos taken in June/July 2013 by Nóra Teller.

Project periods:

2005–2010 (Phase 1), 2008–2011 (Phase 2), and 2013–2014 (Phase 3)

Total project/s cost:

€21,232,364

Total number of beneficiaries:

approximately 12,000 people

Financed by:

Municipality of Budapest District 8 in combination with EU financing (Phase 1), ERDF (87 percent) and Hungarian state budget (Phase 2), and ERDF (87 percent) and Hungarian state budget (Phase 3)

Implementing agencies:

RÉV8 Ltd. local urban development company (owned by the municipality of Budapest District 8)

Areas of intervention:

Social housing, tenancy rights, road repairs and infrastructure upgrading, health, education, employment, sports and recreation, anti-discrimination programs, crime prevention, environmental awareness

CONTEXT AND RATIONALE

Before project implementation in 2005, the Magdolna neighborhood in District 8 of Budapest was characterized by high crime rates, widespread poverty and unemployment, and a low standard of living in housing blocks. In 2007, the neighborhood housed over 10,000 inhabitants in 5,500 dwellings (Approximately 60 percent of dwellings were single-roomed). According to the interviews, around 30–50 percent of the local population was Roma (the local Roma self-government estimated this figure at 30 percent). The inactivity rate reached over 60 percent. The share of low or no comfort housing was close to 40 percent. Approximately 40 percent of all employed people had unskilled jobs, and close to 13 percent of the local households were dependent on social transfers as the only source of income. The Magdolna Social Urban Rehabilitation Project started as an initiative by the municipality of Budapest District 8 with the aim of establishing a safe living environment and increasing residents' social and human capital.

OBJECTIVES AND SCOPE

The project's key objective—to establish a safe living environment for residents in the Magdolna neighborhood—was addressed through an integrated approach from the start of project activities in Phase 1. The construction of a community center was done early in project implementation, and the building became central for the successful launching of various soft project elements that were carried out through the remaining project phases. The community center, together with other service posts spatially distributed in the neighborhood, offered project activates such as:

- job search clubs;
- clubs for women;
- IT trainings and access to the Internet;
- job fairs and thematic exhibitions;
- conferences;
- family clubs, organized by the district's family help center's special department;

- incentivizing schemes to encourage participation (such as regular attendance remunerated by a voucher for housing upgrading or similar);
- recreational programs for children (such as summer camps);
- special classes to support talented children;
- assisting beneficiaries to find jobs;
- special vocational training and jobs for single mothers;
- public laundry facilities;
- crime prevention and public security programs.

In the future, an “extreme sports” corner will be established to attract youngsters to visit the place. There is also a plan to involve street social workers (supported by peers) to work on drugs/prostitution issues.

DESIGN FEATURES AND OUTCOMES

Several key dimensions of the project in the Magdolna neighborhood made it successful. These elements are connected to the sequencing of activities that created synergies between project activities, starting with: (i) the **mobilization of the target population at an early stage** of project implementation, which created a strong sense of local ownership and involvement; (ii) **construction of the community center at an early stage** of the project created a communal meeting point, where an increasing number of soft interventions could take place in forthcoming project phases; (iii) the **selection of houses for refurbishment was done with contextual sensitivity** to the state of living conditions in the houses. In other words, those in worse condition were selected first. In the second round, houses in areas affected by criminal activity, such as the drug trade and other social tensions, were refurbished. In the later rounds, the general appearance of streets was taken into consideration when selecting new houses for refurbishment; (iv) **investments in public spaces**, such as squares and parks, in combination with developing pedestrian walkways and general public security awareness, further increased the sense of security among Magdolna’s residents.

GOOD PRACTICES AND LESSONS LEARNED

The Magdolna project applied innovative approaches and activities to urban rehabilitation. The idea to retain the majority of the population in the regenerated area was novel; it had not been applied in any other inner city regeneration projects, in which the ultimate goal was generally to gentrify the district/neighborhood.

A major strength of the Magdolna Social Urban Rehabilitation Project has been the combination of an integrated approach and long-term project approach. The inclusive strategy of involving residents in the project has been essential to the project’s success, even if it created challenges due to delays of certain project elements. The neighborhood development council, for example, has given local residents a key role in the decision-making process. The broad approach of soft project elements, ranging from job trainings to child welfare programs and crime prevention trainings, involved major parts of the neighborhood and thus created a strong sense of ownership. The sequencing of project activities and the early construction of the community building later enabled activities to be organized within the community. This was another important element of the project’s success. The organization running the project (RÉV8 Ltd.) has gathered a vast amount of experience over the years, and learned from many partners in the process. The involvement of district-wide institutions, such as family help centers and social workers, has further strengthened the project.

Another best practice was the way in which individual requests regarding housing were taken into consideration when possible. Single and elderly persons could move to lower floors and families with children could move to larger apartments. The majority of the tenants returned to their original but upgraded residences. Home upgrading was done in parallel with an increase in rent levels. Nevertheless, the level of indebtedness of families participating in the program has decreased slightly regardless of the increase in rental fees. Lastly, participatory input from neighborhood beneficiaries in the provision of municipal public services has been another good practice. During the recently launched Phase 3, the municipal transportation company has been involved in project activities, in which Magdolna residents give input on redesigning the bus transportation route 99, which crosses the neighborhood and has a very bad reputation. The unique

combination of a variety of interventions, piloting both soft and hard project elements, and the inclusion of the residents and local institutions in project planning and implementation will continue in the now ongoing project phase.

The project also contains desegregation elements: demolishing some buildings and putting up new housing inspired some middle-class inflow into the area. In the current phase, for example, the further major improvement of key public spaces/squares should make the neighborhood attractive for non-residents.

Transferrable elements comprise:

- steps and sequencing of the housing investment pillar, including “social engineering;”
- reshaping public spaces and squares to make them attractive again;
- establishing new community functions;
- including the local population in a broad variety of measures; and
- dealing with public security and prevention issues.

Project Brief 16

Urban Rehabilitation Project (A), Hungary

Project period:
2013–2014

Total project cost:
€4,511,000

Total number of beneficiaries:
565 people

Financed by:
ERDF (80 percent) and the municipality of Győr (20 percent)

Implementing agencies:
Municipality of Győr in collaboration with county police and several NGOs. The Roman Catholic Church also provided implementing support

Areas of intervention:
Social housing, education, vocational training, employment, health, environmental awareness, crime prevention



CONTEXT AND RATIONALE

The city of Győr’s neighborhood of Újváros is approximately 40 percent Roma. Located in the city center, the neighborhood has been inhabited by Roma since the end of World War II. Its 18-19th century architecture has deteriorated over time. Some of the buildings are no longer inhabitable, which has stemmed the once steady flow of Roma into the area. Újváros has a total number of 29 buildings and 214 apartments. The majority of these apartments (63 percent) are municipal-owned; 12 percent of them lack hot water; 11 percent do not have a shower or bathtub; 8 percent do not have a toilet; 10 percent lack gas heating; and 41 percent have only one room. Almost half of the apartments are smaller than 50 square meters and 69 percent are reported to have wet and moldy walls on account of the poor, outdated insulation and holes in the roof. It is believed this is the reason a majority of Roma children from the Újváros neighborhood suffer from asthmatic symptoms. Another consideration is the pollution in the nearby Bercsényi Liget Park, where children and adults spend leisure time, but which has become an illegal waste dumping site.

OBJECTIVES AND SCOPE

The key objective of the Győr-Újváros Urban Rehabilitation Project was to regenerate the neighborhood by renovating apartment buildings and commercial premises, along with revitalizing and cleaning the nearby polluted park to become a safe recreational space for children and adults. To address these multiple challenges, the municipality of Győr and its implementing partners applied an integrated approach, which included the following activities:

- renovation of 40 apartments to be rented to 120–130 socially disadvantaged tenants. The selected apartments need upgrading because of their dilapidated conditions and missing kitchen, bathroom, and toilet;
- refurbishment of 5 commercial premises for new shops, restaurants, and so on;

- reconstruction of an office for a neighborhood police squad;
- clean up and restore Bercsényi Liget Park with green spaces and a children’s playground. The park will also serve as a venue for soft programs aimed at improving children’s safety on the streets;
- organization of leisure activities for children at the Kossuth Lajos primary school;
- medical screenings and regular preventative healthcare programs organized by the Győr Municipal Healthcare Department at the Kossuth Lajos primary school;
- raising environmental awareness (“live street program”) through flower and tree planting and waste-collection campaigns at Bercsényi Liget Park;
- family counseling targeting the emotional and social development of children;
- creation of a neighborhood police program with Győr-Moson-Sopron County Police to improve public safety and prevent crime. A special patrol service safeguards vulnerable residents (children, elderly living alone);
- crime prevention educational programs organized at schools.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the integrated Győr-Újváros Urban Rehabilitation Project include: (i) **creation of a project supporting group to involve stakeholders**, which included NGOs from among the Roma beneficiaries (e.g. Roma Minority Self-Government), educational institutions, and major foundations that work with vulnerable groups. Some of these organizations were involved in the soft components of the project; (ii) **open and cooperative communication between municipal departments and beneficiaries** in the target neighborhood eased the increased presence of police and social service workers in Újváros. The municipality also tried to use officers already familiar with the area and residents; (iii) **cultural competency training for implementers** (teachers, nurses, social workers, job placement officers), including in communication skills and conflict management, enabled project staff to be empathetic and work collaboratively with Roma in solving their problems; (iv) **incentivizing disadvantaged youth to participate in project activities** with contests and prizes. The project helped Roma youth select a secondary school, while assisting them with homework and afterschool tutoring. Those who participated in the program had the chance to win valuable prizes; and (v) **incorporating information and communication technologies (ICT) into the project** by setting up an “Infopoint,” where Roma and Újváros residents can access the Internet regularly in the neighborhood. Training is also available to teach residents how to utilize information-community-technology services, such as for job searching.

GOOD PRACTICES AND LESSONS LEARNED

The Győr-Újváros Urban Rehabilitation Project showcases several good practices of an integrated approach and project design. The first is the way in which the project began with an analysis of city hall data and a survey conducted in the target neighborhood. The survey reached every household in the neighborhood and several focus groups were organized among with locals. This strategy enabled the project to understand Újváros’s needs and beneficiaries. One of the outcomes of the survey was the finding that there is a correlation between those with low education levels and those facing unemployment. Roma in particular had low rates of employment, education, income, and health. Knowing this information helped the project to devise more specialized measures to address these challenges.

Another good practice was culturally sensitive soft activities, such as “female-only hours” in the school gym. This all-female activity is valued and popular among Roma women, partly because the mixing of men and women is less acceptable according to Roma custom. The program is also expected to raise health awareness and the fitness of the targeted population.

Project Brief 17

“Nostru” Urban Rehabilitation Project, Hungary

Project period:

2013–2014

The “Nostru” program is the second of two social interventions integrated into housing and infrastructure development. It enabled local NGOs to apply for funding from the overall program to run mini-projects focused on desegregation and anti-discrimination measures. These and the other social interventions are discussed together in this review for an overall holistic view of the program

Total project cost:

€2,281,000

Total number of beneficiaries:

1,676 people

Financed by:

ERDF (85 percent) and the municipality of Kaposvár (15 percent)

Implementing agencies:

Municipality of Kaposvár in consortium with the NGO, Vadvirág Alapítvány, and the Roma Minority Self-Government of Kaposvár

Areas of intervention:

Social housing, infrastructure upgrading, education, training, health, environmental awareness, crime prevention, cultural programming



CONTEXT AND RATIONALE

Kaposvár’s (population 67,000) sizeable Roma population is concentrated in a residential village on the outskirts of the city. The area is wedged between two hills, a geographical feature that not only separates the village from the rest of the city, but also causes ecological hazards with a neglected rainwater and sewage system. Here 60–70 percent of inhabitants belong to one of several Roma clans residing in the area. The area’s underdevelopment is substantial. Both private homes and public spaces are unfinished, rundown, or dilapidated. The main road in the village leads to a municipal solid waste landfill site. Among the area’s residential dwellings (358 total homes), only 20 percent are equipped with a kitchen, bathroom, and central heating. From these, 52 are municipal rental apartments—the focus of this project. Most tenants cannot afford to pay their rent and utility bills. Almost half of the apartments are without bathrooms and many are overcrowded, with up to ten occupants. The rest of the village homes are privately owned. Running water and electricity are available in all houses, but most owners in municipal and private homes cannot afford gas for heating or cooking; most simply use wood-fueled furnaces. Only 10 percent of all buildings are insulated, which leads to poor energy efficiency. Most residents cannot afford to pay for solid waste collection, so waste is dumped in backyards or at the end of streets. While the nearest kindergarten and primary school are about a kilometer away from the commune, secondary schools and tertiary institutions can only be found in other parts of the city. Public transportation is provided by two scarce bus lines that operate on the area’s main street. These structural factors may explain why almost half of the village (49 percent of adults) has

only finished eight or less years of elementary school education. In other words, half have not attended secondary school. In addition, 45 percent of adults are unemployed and almost half of all households (45 percent) survive on social benefits, including subsidies for families with many children. According to school-doctor surveys, among 6–10-year-old children from the area, the rate of chronic respiratory sickness and lice infection is significantly above average. It does not help that the surrounding environment is unkempt and that there is a large illegal waste dump in the vicinity.

OBJECTIVES AND SCOPE

The key objective of the Kaposvár Urban Rehabilitation Project was to improve living conditions and the physical environment of the city’s most segregated zone, while simultaneously promoting social inclusion and reducing segregation. In particular, the project addressed Roma living conditions through the renovation of 32 municipal rental apartments in two buildings (located at Nádasdi str. 1 and Nádasdi str. 47–49). Various infrastructural upgrades were carried out throughout the area, including the creation of paved roads, green spaces, and rainwater and sewage collection and disposal. The assumption was that addressing these housing and infrastructure deficiencies also overcomes social challenges—like limited employment opportunities in town due to poor roads and irregular bus service to the city—which the project implementers view as intertwined. To address these multiple challenges, the municipality of Kaposvár and its implementing partners applied an integrated approach, which included the following activities:

- renovation and refurbishment of 32 municipal rental apartments;
- construction of community center to host regular cross-cultural trust-building and anti-discrimination programs;
- infrastructure upgrading of paved roads, rainwater drainage, and sewage disposal;
- forming green spaces and parks with benches for leisure activities;
- environmental protection and awareness;
- infant care and advisory services on early childhood development (Sure Start);
- educational programs for youth with special needs;
- vocational training for adults;
- healthy lifestyle promotion and healthcare services;
- sports and recreational activities for youth and adults;
- cross-cultural dialogue programs between Roma and non-Roma;
- crime prevention.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the integrated Kaposvár Urban Rehabilitation Project include: (i) the **creation of a city development company**, which is a nonprofit, municipal-owned structure, to take charge of project implementation for the municipality. (This is a Hungarian Regional Development Agency regulation; since 2007 all municipalities must create “city development companies” to engage in urban rehabilitation projects.) The advantage is that it creates an effective, streamlined approach to social sensitive urban rehabilitation projects. The city development company also serves as a mediator between the Regional Development Agency and the municipality; (ii) **close collaboration between project implementers and beneficiaries from the early stage of grant application**. The Roma Minority Self-Government and municipal implementer visited the target area together numerous times to solicit feedback and support from Roma beneficiaries. During focus group discussions, the exact needs of the community were mapped out and additional events were organized to provide more information about the project. This ongoing communication helped to ensure beneficiary buy-in and the sustainability of the project design; (iii) **knowledge gathering from existing service providers working with Roma** from the target neighborhood helped the project implementers understand the interconnections between social and infrastructure challenges. Medical doctors, nurses, dentists, kindergarten and primary school staff, local police, and NGOs provided unique insights on the area population; (iv) **apartment refurbishment partially carried out by employing local population** to build on the value of active, voluntary participation. This approach is expected to create a sense of ownership so that participating families will care for their renovated apartments maintain their condition; (v) **cultural sensitivity in safeguarding and monitoring project results** through the Roma Minority Self-Government—as

opposed to a non-Roma body—newly headquartered in the neighborhood in the recently constructed community center. The Roma Minority Self-Government safeguards the sustainability of the infrastructure works and overall project results. Having the trust of Roma beneficiaries, it also took the lead in spearheading afterschool tutoring and recreational activities for children (ages 10–16); and (vi) **involvement of NGOs with existing expertise in soft activities**, such as the Vadvirág Alapítvány nonprofit service provider, which has experience in early childhood development programs. The nonprofit organized a Sure Start program in the target neighborhood to provide information to mothers about how to care for infants and children.

GOOD PRACTICES AND LESSONS LEARNED

The Kaposvár Urban Rehabilitation Project showcases several good practices of an integrated approach and project design. Firstly, it based its project design on a survey conducted in the neighborhood by an independent polling company (SzocioNet). According to survey results, a large percentage of respondents (75 percent) expressed interest in participating in the project, and 45 percent indicated interest in unpaid voluntary work. This suggested to project managers optimism regarding the sustainability of expected results.

While housing and infrastructure improvements are relatively quick and easily measurable, changing attitudes and dispositions take longer. This is an important reason to integrate soft activities with an intercultural dimension into the project. They are a first step towards reducing discrimination and creating openness between Roma and non-Roma, helping each other to understand the other's culture and traditions. These programs, located at the community center, encourage the intermingling of Roma and non-Roma communities through food and celebrations. After these occasions, Roma and non-Roma in the neighborhood already start to talk to each other more and show a genuine interest toward different cultures. They even come back repeatedly for similar programs. These perceived changes are at first experienced only on a microsocial level, but can over time lead to a decrease in segregation and discrimination.

Project Brief 18

Roma Neighborhood Social Rehabilitation Project (A), Hungary

Project period:
2009–2013

Total project cost:
€1,686,537

Total number of beneficiaries:
707 people

Financed by:
Hungarian National Development Agency and the municipality of Kázinycsicska

Implementing agencies:
Municipality of Kázinycsicska in partnership with Don Bosco Vocational School and Herbolya Neighborhood Watch (Polgárórség) NGO

Areas of intervention:
Building reconstruction, infrastructure, health, social services, vocational training, education, recreational activities

Pictures, clockwise, from top left:

- new building of the Don Bosco vocational school
- Don Bosco community house
- new playground
- new common washing facilities
- new community house and office of the nurse and the family help center
- new road
- only new bathroom built during the project
- houses in Herbolya and a public well

Pictures were taken by Nóra Teller in May 2013.



CONTEXT AND RATIONALE

The city of Kázinycsicska (population 30,000) is home to almost 6,000 Roma. The predominantly Roma settlement of Herbolya lies just on the outskirts of town.¹¹ Homes in Herbolya are old and in poor condition. Herbolya was originally a miners' settlement with rudimentary living conditions. Over 80 percent of the 150 houses in Herbolya are without water and sanitation. Houses are heated with wood and fuel. They are prone to dampness and mold because of the lack of rainwater drainage and stale water in a nearby closed mine. The only school in the vicinity is the Don Bosco (church-based) Vocational School. There is a bus connection to the city center, but transportation is expensive for many of Herbolya's residents. As a result, Roma children regularly walk to kindergarten and primary school (a 20–30 minute walk). According to a social worker in the Herbolya settlement, criminality, drug abuse, and prostitution are widespread. Almost half of the families depend on social benefits for their main source of income. Over a quarter of the population are children under the age of 14, while there are also many elderly retired persons.

OBJECTIVES AND SCOPE

The key objective of the Herbolya Social Rehabilitation Project was to improve the community's living conditions and provide access to various public services lacking in the community. Providing these services together would improve the sustainability of the infrastructure investments and social interventions. These goals were met by applying an integrated approach, which included the following activities implemented by the municipality of Kázinycsicska and its nongovernmental partners:

- refurbishment of a community center, in which a family help center, child welfare service, nurse, public bath, and laundry mat are housed;
- construction of a new vocational training center;
- renovation of the Don Bosco community building for workshops, table tennis, fitness room, theatre, and small library;
- water, wastewater, and drainage tanks built to enable families to connect to the water and wastewater pipe;
- paved road built in the upper part of the settlement;
- construction of a playground;
- regeneration of green areas;
- vocational training in welding and social assistance;
- job search help at the family help center (equipped with one computer with Internet access and a printer, as well as a free phone line);
- afterschool education program and youth club, where 40 community youth met once per month for school tutoring, concerts, and leisure activities;
- mentoring program, which included escorting children to school and back;
- social work with families in need of specialized services, like visits to special education teachers;
- distribution of meals, toys, and clothes;
- daycare for children during the summer holidays.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the integrated Herbolya Social Rehabilitation Project successful were: (i) **establishment of a family help center and other services in one place** within the newly renovated neighborhood community center. One of the major innovations of the project was that it brought intensive social work to the Roma settlement by establishing office space for a family help center at the heart of the Roma settlement instead of running the service in the city center which could hardly be reached by the local community. A further innovative element was the creation of a public laundry and shower facility within the same center, which has greatly enhanced the quality of life for beneficiaries without running water at home; (ii) **municipal and nonprofit cooperation** assured that city officials (local authorities) did not face administrative obstacles, and all investments happened in due time, including the public procurements that had to be executed for the infrastructure developments; (iii) **utilized NGOs had experience** implementing soft projects and/or working with Roma. The Don Bosco Vocational School has been present in Herbolya for several decades. It used to run

¹¹See MTA Társadalomtudományi Kutatóközpont; Szociológiai Intézet.

its own vocational training courses, so it could run employment-related and other soft interventions; and (iv) **the project avoided giving financial assistance directly to Roma families.** Targeting Roma with large-scale funding is seldom without conflict. In Herbolya, there was general acceptance of the problem, however, probably because there were no individuals as direct (financial) beneficiaries. This prevented resentment and helped maintain cooperation throughout the project period.

GOOD PRACTICES AND LESSONS LEARNED

The Herbolya Social Rehabilitation Project utilized the good practice of offering a wide diversity of soft elements—from trainings and tangible social services to events and clubs (10 percent of total project costs were spent on soft interventions)—which ensured that there was something for everyone and Roma of all ages benefited from the program. The level of access that Roma and vulnerable groups have to services and activities greatly improved over the course of the project. This is valuable for beneficiaries, due to the distance of the Herbolya settlement from the city center, where most services are offered. After the project closure, however, the accessibility of many services deteriorated again due to a lack of funding.

Project Brief 19

Urban Rehabilitation Project (B), Hungary

Project period:
2013–2014

Total project cost:
€1,913,000

Total number of beneficiaries:
2,612 people

Financed by:
ERDF (85 percent) and the municipality of Kecskemét and consortium partners (15 percent)

Implementing agencies:
Municipality of Kecskemét in cooperation with two NGO partners—Hungarian Maltese Charity Service and Türr István Training and Research Institute

Areas of intervention:
Social housing, public infrastructure upgrading, education, training, health, environmental awareness, crime prevention, cultural programming, anti-discrimination programs



CONTEXT AND RATIONALE

The city of Kecskemét's Roma population has lived in the Mezeiváros and Ürgés area of town since the eighteenth century. It is colloquially referred to as "Gypsy town" (population 2,612) and is one of the most underserved and disadvantaged zones in the city. Many of the homes are dilapidated and in need of major infrastructural repairs, from heating to insulation. The only school in the zone is closed; it was an all-Roma (segregated) school. There are practically no public services in the area, and residents must commute to other parts of the city to access schools, food stores, medical care, and recreation and entertainment. Meanwhile, the lack of a public sewage system and municipal trash pick-up had contributed to the establishment of many illegal waste dumps at the end of streets. All of this, together with the area's economic segregation, has led to high levels of unemployment (22 percent), dependency on welfare, and crime. Findings show that 56 percent of adults in the neighborhood only have up to eight years of primary education, while just 2 percent have tertiary degrees (the city average is 17 percent). These low levels of education are a constraint both to finding employment and reaching higher income levels, and contribute to low-quality living conditions and life expectancy among Roma in the neighborhood.

OBJECTIVES AND SCOPE

The key objective of the Mezeiváros and Ürgés Urban Rehabilitation Project was to gradually improve the social, environmental, and infrastructural conditions of the largely Roma residential area located next to the southern industrial zone of the city. The underlying assumption was that these developments will reduce the exclusion and segregation of the area and its Roma inhabitants. These goals were met by applying an integrated approach, which included the following activities implemented by the municipality of Kecskemét and NGO partners:

- reconstructing 12 municipal rental homes;
- constructing a community center;
- constructing a sports field and public playground, considering the high proportion of children in the neighborhood;
- constructing a larger communal waste collection yard (to prevent illegal dumping);
- upgrading and paving dirt roads along main transportation lines;

- creating rainwater sewers and curbs;
- renewal of green spaces and parks;
- establishing a promenade (with 24 public benches, 10 waste bins, 5 bicycle racks);
- creating sheltered bus stops;
- raising environmental awareness, which included planting a "green fence" of 9,000 saplings along a 530-meter barrier to prevent illegal dumping at an old waste site;
- vocational training for adults;
- family counseling and other social services (on healthy lifestyles, hygiene, and so on);
- Roma cultural events for youth and adults;
- sports and recreational activities for all ages;
- programs aimed at crime prevention and the enhancement of public security.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the integrated Mezeiváros and Ürgés Urban Rehabilitation Project include: (i) **public and private sector and NGO collaboration** pooled the best strengths of stakeholders together. During the project design period, the municipality explored all possibilities of cooperation with private companies and NGOs. It chose NGOs with extensive experience implementing soft projects and/or working with Roma. The municipality also reached out to private companies. The development of the Mezeiváros and Ürgés area was of interest to a number of private companies operating in the vicinity. Several companies offered substantial financial or in-kind donations, such as equipping a baby/nursing room at the community center. In another case, a retailer consented early on to a project activity on his property (a "green fence" to prevent illegal dumping), which was beneficial to his own business interests. This and other cases helped add to the project's sustainability; (ii) a **project supporting group** was formed with 8 NGO members not directly involved in implementation, which included representatives from the local Roma Minority Self-Government, the regional job placement center, as well as municipal officials and those from the two main consortium-implementing partners (the Maltese Charity Service and Türr István Training and Research Institute). This arrangement helped to get feedback and buy-in from a range of actors with valuable knowledge for the project; (iii) **involvement of creative arts to foster cultural expression and tolerance among Roma and non-Roma** through a "self-portrait" program. Roma youth in the target neighborhood were given art supplies and multimedia tools to create self-portraits to express themselves and their culture. Some of their paintings, drawings, photos, and films went on to be displayed around the city to raise both self-respect and understanding from among the city's non-Roma majority population. Overall, this was one of the most innovative soft components of the program; and (iv) the **project design and implementation was knowledge-driven and involved beneficiary input**, based on a survey conducted among the target population. The survey gathered information on the local population's opinion of the area's main problems, and program ideas for resolving them. This allowed beneficiaries to offer input on development strategies. The results were transparently translated into the project's design and used to inform both strategic goals and specific project elements.

GOOD PRACTICES AND LESSONS LEARNED

The Mezeiváros and Ürgés Urban Rehabilitation Project showcases several good practices of an integrated approach and project design. The first is the way in which vocational trainings were designed to consider the needs of both the local labor market and the special traits of the target group. At the end of the program, 45 participants were trained in general maintenance, park maintenance, waste collection, and transportation, and were offered job opportunities within the city's public work program to utilize their new skills. Overall, this created job opportunities to reduce beneficiaries' dependence on welfare and helped them afford monthly rent and utility bills.

For a number of other soft interventions, the Maltese Charity Service implementing agency recruited a Roma activist, who has proven useful in designing the culturally sensitive services offered in the community center. She has also provided valuable cultural insights for programming. Her presence was also very helpful in securing the trust of local Roma and encouraging their sustained participation and engagement in activities. Experiencing results, the Maltese Charity exhibited good practices in using its national and international network to communicate the results of the project around the country and world. These communication efforts contribute towards advancing understanding and reducing prejudice towards Roma in wider society.

Project Brief 20

Roma Neighborhood Social Rehabilitation Project (B), Hungary

Project period:
2013–2014

Total project cost:
€1,592,470

Total number of beneficiaries:
82 households

Financed by:
National Development Agency (85 percent) and the municipality of Nyíregyháza (15 percent)

Implementing agencies:
Municipality of Nyíregyháza and four nonprofit organizations

Areas of intervention:
Social housing, infrastructure upgrading, education, elderly care, health, social services, crime prevention programs



Pictures, clockwise, from top left:

- the houses to be refurbished (from outside)
- the kindergarten building (to be refurbished from outside)
- renovated school building housing community activities, along with the reopened segregated school (church based)
- house not to be refurbished
- houses not to be refurbished, along with bus stop
- rundown local Roma community house (refurbished in 1998–1999 and in operation from 2003–2009 as the office of the family help center. It is currently managed by the municipality and has been empty since being taken over)
- empty garden of the kindergarten

Photos taken in June 2013 by Nóra Teller.

CONTEXT AND RATIONALE

The city of Nyíregyháza (population 120,000) has over 9,600 Roma. Roma make up almost 8 percent of the population.¹² Over a quarter of the city's Roma are concentrated in the segregated neighborhood of Huszár-telep (total population 1,900), where the share of Roma is reported to be 85 percent of residents. Huszár-telep is a former military base built 120 years ago. After the closure of the military base during the Communist period, horse stalls were converted into basic apartments, while the officers' houses were equipped with full water and sanitation. A former casino on site was converted into a school, a former canteen into a kindergarten, alongside a new nursery school and senior citizens' center. By the early 1990s, however, Huszár-telep had turned into a ghetto of dilapidated buildings and empty, rundown structures. It remains physically segregated from the rest of the city; it is hemmed in by fences from the former military base, as well as bordered by train tracks and an industrial area, which together have the effect of keeping people in and out of the settlement. The social composition of inhabitants living in the settlement suggests trends towards societal exclusion. Just 33 percent of inhabitants are employed (either formally or informally). Only 2 percent have finished tertiary education, and a quarter live exclusively on state welfare programs (2001 census). There are also a lot of children in the neighborhood (children account for more than 50 percent of residents). For many, housing conditions are severe; 40 percent of all housing has no sanitation inside and is falling apart. Many families have been completely disconnected from public utilities, and illegal connections to electricity are widespread. The failure to pay rent and utility bills frequently leads to the termination of apartment leases and contributes to large debts to the real estate management company in charge of the area. There are no walkways for pedestrians and a lack of drainage and sewage. The newly reopened school—run by the Greek Catholic Church and attended by only Roma—houses various community activities and social services, but perpetuates segregation in that only Roma use its services. The neighborhood is also beset by widespread prostitution, drug dealing, petty crime, and loan shark activity, all of which contribute to the neighborhood's poor reputation in town.

OBJECTIVES AND SCOPE

The main objective of the Huszár-telep Social Rehabilitation Project was to prevent the area from further social and economic decline by improving the living conditions and quality of life for residents in the Huszár-telep settlement. To tackle these issues, the municipality and its NGO implementers applied an integrated approach, which included the following activities:

- renovation of 82 homes, which includes fixing the roofs, windows, doors, insulating the walls and roof, and repairing chimneys.
- constructing two offices for social programs (one for local crime prevention activities and one for a nurse);
- refurbishment of the original building housing the kindergarten, nursery school, and senior citizens' center. The renovation will only concern the structure, improving the energy consumption of the building by installing insulation along the roof and the façade, as well as changing windows and doors;
- (re)construction and pavement of roads and sidewalks within the settlement. The work will help connect the playground with houses in the settlement;
- construction of a new playground (there is currently no playground) that serves several age groups;
- playhouse for arts and crafts, table tennis, youth clubs, young mothers' club, and health prevention workshops;
- public laundry (charge of USD\$0.5 per use with laundry detergent free of charge);
- Internet café for all ages;
- crime awareness and prevention program to inform potential victims (overwhelmingly women and children), targeting those with criminal records as well;
- labor market integration programs;
- health screenings and healthy living workshops;
- leisure activities and events (such as exhibitions, sports);
- environmental awareness programs.

¹² See also "ÖSSZEFOGLALÓ: A „Peremhelyzetű és kirekesztett csoportokkal végzett szociális és közösségi munka” c. képzéshez kapcsolódó tanulmányútról." 2012. http://www.autonomia.hu/sites/default/files/files/1210/3985/tanulmanyut_nyiregyhaza_huszar_telep.pdf

DESIGN FEATURES AND OUTCOMES

Key dimensions in implementing the integrated Huszár-telep Social Rehabilitation Project are the way in which it: (i) **engaged NGOs with experience** in implementing soft projects and/or working with Roma. The project's social components are based on the work of organizations that have been working in the area for a long time (for example, Human-Net NGO has been running the family help center for ten years); (ii) targeted both potential victims and residents with known criminal records in its **crime prevention activities**. This strategy works to break the cycle of crime and violence in the neighborhood, as it restores public safety. It works to make the settlement a more attractive, safer place to live and improves its reputation and those of its inhabitants; (iii) **education and crime prevention programs are creative** and engaging, using everything from drama pedagogy to audiovisual materials, moderated discussions, and pamphlets to raise awareness about drug abuse, prostitution, and human trafficking. Women are also targeted with information about domestic violence. Special attention is given to issues of usury loans, mafia, and petty offenses (like begging); and (iv) **public events celebrated the Roma identity** of Huszár-telep, through theatre and holiday celebrations. These celebrations help to empower Roma to be proud of their self-identity, as well as break down stereotypes about Roma and the settlement in wider society. On the other hand, the municipality has made little effort to inform the Roma community about the planned activities, or include the local residents in project-related planning and discussion.

GOOD PRACTICES AND LESSONS LEARNED

The Huszár-telep Social Rehabilitation Project showcases how a project may benefit from the capacity of well embedded NGOs, which have been working in Huszár-telep for a long time. This enhances the project's accessibility to the local population and the beneficiaries most in need. It ultimately contributes to the sustainability of the project results over time.

Project Brief 21

Social Rehabilitation Project, Hungary

Project period:
2010

Total project cost:
€969,959

Total number of beneficiaries:
80 people

Financed by:
National Development Agency (90 percent) and the municipality of Sátoraljaújhely (10 percent) through ERDF

Implementing agencies:
Municipality of Sátoraljaújhely

Areas of intervention:
Social housing, infrastructure upgrading, recreation, vocational training, employment



Pictures, clockwise, from top left:

- refurbished social housing
- nonrefurbished private housing, alongside refurbished housing
- new pavement, drainage, and road
- unused playground
- Roma community member retrieving water from a public well

Photos taken in June 2013 by Nóra Teller.

CONTEXT AND RATIONALE

Sátoraljaújhely's main Roma settlement is characterized by poor living conditions ever since a flooding in 1984 destroyed many of its homes. The houses that were reconstructed were rudimentary (with only one or two rooms) and of low quality, without bathrooms and toilets. A third of these homes were not privatized in the postsocialist transition, partly on account of unclear tenancy rights, or because the tenants did not have the financial means to purchase their homes. A national Roma integration program funded access to utilities (water, sewage, indoor toilets and plumbing) in the settlement in 2006–2007; however, today half of Roma homes remain without access to water and sanitation. Access to houses in the winter and during heavy rain is also problematic because of the lack of paved streets and pedestrian sidewalks. The social composition of inhabitants shows alarming levels of poverty and unemployment. The majority of the population has only finished 8 years of primary school education (70 percent), and less than 3 percent have completed higher education degrees. (By comparison, the countrywide figures are 95 percent and 19 percent, respectively.) Unemployment reaches over 35 percent, and hence dependency on social welfare as a main source of income is high. A fifth of all adults of employment age in the neighborhood live on social benefits.

OBJECTIVES AND SCOPE

The main objective of the Sátoraljaújhely Social Rehabilitation Project was to improve the living conditions and social welfare in the Roma settlement. The aim was to reach this goal by way of major infrastructure developments, such as house, road, and public space regeneration. To meet these aims, the municipality implemented a project which included the following activities:

- refurbishment of 62 homes, changing windows and doors for more efficient energy consumption, fixing roofs, insulating chimneys. The outside of homes got repainted and entrances fixed;
- paving roads and pedestrian sidewalks;
- constructing a drainage system;
- development of a park and playground for all age groups;
- building a soccer field;
- establishing tenancy rights during the planning phase;
- vocational training offered in nursing and parks and recreation professions;
- parks and recreation officers were employed as city workers by the municipality;
- healthcare and counseling advice for young mothers.

DESIGN FEATURES AND OUTCOMES

The Sátoraljaújhely Social Rehabilitation Project overall had few innovative elements to it, and the sustainability of its social pillar turned out to be very weak. Despite these outcomes, there were several positive features that are worth mentioning, such as the way in which the project: (i) **employed local Roma for infrastructure development**. For the infrastructure components of the project, Roma from the area were employed by an entrepreneur running a construction company. The public procurement process was launched in a way to make this a condition; (ii) **leniency on absent tenancy contracts**, given that many Roma did not have official leases or property rights to the homes in which they were living. The municipality agreed that all tenants who paid rent, even if lacking tenancy contracts, could stay on the premises and benefit from the home repairs offered through the project; (iii) **trained Roma in new professions (nurses) needed in their communities**. For example, the project trained two Roma women to become nurses and to serve in their community after training. The importance of nursing arose during the project, being responsive to community needs, as there was a demand for pregnancy counseling and information on early childhood development, among other general health issues. This promising component unfortunately ended after project funding stopped, which points to the project's lack of sustainability in social programming; and (iv) **strong municipal backing of the project among departments** allowed the municipality, as the chief implementer, to create an arrangement whereby 15 beneficiaries got short or mid-term jobs from the city or during the renovation works in the neighborhood. Nevertheless, the jobs were not permanent, and the municipality itself underwent restructuring. The original multisectoral strategic department, comprising both social and technical personnel, created within city hall to spearhead the project got reorganized in a way that future cooperation and coordination will be difficult.

LESSONS LEARNED

The Sátoraljaújhely Social Rehabilitation Project reveals several challenges and lessons learned in designing and implementing an integrated approach. While project planning occurred in a multidisciplinary, strategic department in city hall, which is praiseworthy, the department was later disbanded. Future integrated projects will have to be planned across departments, which is likely to be problematic given the lack of natural coordination mechanisms within this city hall. Secondly, there were no special design features to address segregation, promote beneficiary participation, and encourage gender sensitivity. Local Roma were only involved in the project's construction phase through rules of public procurement. This meant that the city indirectly addressed Roma discrimination and encouraged inclusive hiring in construction, even if it was only for a limited time period. Newly paved roads and pedestrian pathways enabled Roma better access between their settlement homes and the city center; however, there was ultimately very little improvement in the quality of life inside the Roma settlement. This is on account of the prevailing lack of water and sanitation, which the project did not comprehensively address. Public green areas also remain dilapidated and there has been no follow-up on social activities. So even though the appearance of the settlement has improved with the removal of illegal dwellings and the refurbishment of homes, it is only on the exterior, with very little internal sustainability and lasting support.

Project Brief 22

Grazia Deledda Project, Italy

Project period:
2011 to present (ongoing)

Total project cost:
€2,106,674

Total number of beneficiaries:
125 people

Financed by:
ERDF and ESF (through PON Sicurezza, Obiettivo 2.6)

Implementing agencies:
Municipality of Naples in conjunction with the territorial Social Services Agency and the NGO L'orma del Tempo

Areas of intervention:
Social housing, social inclusion service, health, employment, education

CONTEXT AND RATIONALE

The Grazia Deledda Project is located in the Soccavo-Pianura area of Naples. The number of Roma in Naples has increased substantially over the past ten years. Naples currently has over 2,500 Roma inhabitants, mainly from Romania. Most live in unauthorized, temporary camps in extremely poor, marginalized urban areas. Along with Scampia and Secondigliano, Soccavo-Pianura is one of the poorest and most populated Roma encampments in Naples and in need of urgent intervention. Many Roma live in garbage dumping sites, where they risk infections and other dangers, including exposure to criminal activity involving metal and garbage recycling. Some Roma inhabitants regularly move in and out of the settlement, while the majority aim to stay permanently and even try to integrate their children into the school system.

OBJECTIVES AND SCOPE

The key objective of the Grazia Deledda Project is to provide migrant Roma families temporary housing as a way to increase their autonomy and social and economic inclusion in Italy. Beneficiaries stay in Grazia Deledda accommodations for a period of six months with the possibility to renew for another six months, during which time Roma take part in mandatory social assistance project activities. The activities are meant to help Roma find work and housing, so that after twelve months they can integrate into private market housing and social life. To accomplish these goals, the municipality and its NGO implementers have adopted an integrated approach to interconnect their activities, which include:

- constructing transitional (temporary) housing units out of former elementary school for rent-free 6+6 month stays;
- providing healthcare access and monitoring;
- providing education enrollment assistance;
- educational activities for children and adults, including on issues of legal entitlements, criminality, and violence prevention;
- employment skill-building;
- literacy programs for Roma and other minorities in the local community.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the Grazia Deledda Project include: (i) **municipality commitment** to enhancing public goods and services to Roma and all marginalized people in the community, regardless of nationality (EU and non-EU immigrants alike); (ii) **municipality and NGO partnership**, with the former focusing on “hard activities” and the latter on social inclusion activities for Roma beneficiaries. The shared responsibility between local administration and nongovernmental actors created efficient synergies and coordination; (iii) **no major relocation required of beneficiaries**, as the new transitional accommodation is located in a place where Roma families have previously squatted (Grazia Deledda elementary school); this lessens any displacement and disruption experienced by taking part in the project; (iv) **transitional housing and integrated services ease the process of social and economic integration**, building autonomy and confidence among beneficiaries to begin the process of socioeconomic integration; and (v) **the project builds on previous NGO work with Roma in the area**. The local volunteer organization, L'orma del Tempo, had been involved for more than a decade in emergency accommodations and social protection assistance to Roma. Many beneficiaries were therefore familiar with social inclusion program activities and comfortable working with L'orma del Tempo when they began to participate in the Grazia Deledda Project.

GOOD PRACTICES AND LESSONS LEARNED

The Grazia Deledda Project showcases several good practices of an integrated approach and project design. The first is the way in which its temporary (6+6 month), rent-free housing provides not only short-term living solutions, but also the time and social assistance to obtain more permanent accommodation and job skills, which helps them integrate fully into society. Moreover, the project exhibits best practices in the way in which it selects beneficiaries. The governmental Social Services Agency works in tandem with the L'orma del Tempo NGO. Case workers from both organizations work regularly with the target populations and hence have intimate knowledge of the specific cases most in need of accommodation and social assistance. This acts as a sort of check or due process in beneficiary selection. Another best practice is the way in which beneficiaries—and not just the project implementers—help newcomers by introducing the environment and required code of behavior in the housing complex. Altogether such habits help Roma to make the gradual transition from informal camp settlements to long-term housing arrangements and to more fully participate in Naples's economic and social life.

Project Brief 23

Abit-azioni, Trahimos (1, 2, 3), and Selarom Projects, Italy

Project/s period:

2007–2011 (for 5 total projects within 3 programs)

Total project/s cost:

€1,777,217

Total number of beneficiaries:

102 people (Abit-azioni), 1,620 people (Trahimos 1, 2, 3), and 560 people (Selarom); 2,282 total beneficiaries from all 3 projects

Financed by:

Region Piemonte and the municipality of Torino (national, regional, and municipal funds) with cofinancing from private sector foundations

Implementing agencies:

Municipality of Torino and Foundation San Paolo in conjunction with the public housing agency, Locare Metro

Areas of intervention:

Social housing, health, employment, education

CONTEXT AND RATIONALE

The city of Turin is home to about 2,400 Roma and Sinti, mostly from Romania and the former Yugoslavia. Most lack residency permits and live in unauthorized settlements. While Turin offers four authorized settlements for 770 to 900 people, 12 makeshift camps dominate the southern and northern outskirts of town. These host more than 6,000 Roma and Sinti, and more than half of the inhabitants are minors. Young children often face the challenge of wanting to fit into their new surroundings and stay in school, while on the other hand are pulled in the direction of traditional Roma customs, which sometimes involve leaving school and helping with family work. Traditional Roma jobs in rubber and metal recycling are vulnerable to cooption by local mafia. Overall, Roma living conditions are characterized by poor hygiene and a lack of basic services and safety, as the community is based in abandoned buildings or near dump sites without heating and protection from cold winter temperatures. The marginal impermanent settlements complicate children's educational integration and adults' labor market participation.

OBJECTIVES AND SCOPE

The key objectives of the Abit-azioni, Trahimos (1, 2, 3), and Selarom projects (5 total projects) were to provide economic and social support for accessing stable accommodation and training to achieve socioeconomic independence and self-sufficiency. To accomplish this, the municipality and its NGO implementers adopted an integrated approach to interconnect their hard and soft activities, which included:

- assist Roma from unauthorized camps to find subsidized apartment rentals on the private housing market;
- upgrade infrastructure in Roma housing in authorized camps;
- employment skill-building and job search tutoring;
- apprenticeship program matching job seekers to employers;
- child care provision during working hours, with Roma educators;
- education access for children and youth, including school bus service, classroom teaching assistants, cultural mediators to help Roma integrate and participate in classes;
- extracurricular activities after school for children and youth, including an on-site playground at an authorized Roma settlement;

- encourage Roma parent-teacher cooperation and meetings;
- professional training and apprenticeship programs.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the Abit-azioni, Trahimos (1, 2, 3), and Selarom Integrated Projects include: (i) **municipality, private sector, and foundation cofinancing and cooperation** (Abit-azioni Project) in the housing sector connected Roma from unauthorized camps to subsidized rental arrangements on the city's private housing market. The municipality and private sector cooperation allowed Roma renters to enter into a sustained contractual relationship instead of benefiting from government assistance housing schemes that can come and go. The municipality, private sector, and foundation also shared not only funds and costs, but also responsibility for project design, implementation, and monitoring and evaluation. They integrated their methods, competencies, and operational tools. This ensured buy-in from all cofinancers at every stage of the project and ensured effectiveness and efficiency in service management and delivery in the housing sector; (ii) **rental rates for beneficiaries increased incrementally according to their financial situation**, which was expected to improve over the duration of their participation in the projects, as job training and apprenticeships—other key components integrated with housing assistance—were meant to help Roma find lasting employment. This ensured that the project promoted autonomy and self-sufficiency among beneficiaries. Several families benefitted from the project, and because they had no record of misconduct and regularly made their rent and utility payments, they received references to obtain further leases. They now pay the market rate for their apartments; (iii) **relocation to private housing was required only of beneficiaries from unauthorized camps**, who were already in need of improved living conditions and integration into the city's employment and social opportunities. Beneficiaries from legal Roma settlements remained on-site and did not experience disruption as renovations took place; (iv) **families from authorized and unauthorized settlements both participated in activities to access employment, job training, education, and healthcare** (Trahimos Projects 1, 2, 3); activities targeted each Roma age group, so all were included in project activities to build self-sufficiency and empowerment; (v) **education inclusion programs brought children not only to schools, but schooling to camps** (Selarom Project). Children were assisted in attending school via school bus service to their remote settlements, and were provided educators for fun afterschool learning activities; and (vi) **cultural mediation and housing rules were laid out** at the beginning of the rental contract to establish clear expectations of conduct in common building spaces; these included respectful behavior towards other tenants and the expectation that utilities and other fees would be paid regularly.

GOOD PRACTICES AND LESSONS LEARNED

The Abit-azioni, Trahimos (1, 2, 3), and Selarom Integrated projects showcase several good practices of an integrated approach and project design. The first is the way in which the Abit-azioni Project creates dual incentives for beneficiary tenants and landlords: The renter receives a subsidized rent that increases with time, while the landlord receives a guarantee in the event that the tenant fails to pay rent. (The landlord is able to be reimbursed for unpaid rent for up to six months.) The overall arrangement, in tandem with job search and educational assistance for beneficiaries (in the Trahimos and Selarom projects), helps Roma adults and children develop agency and voice in society. Those beneficiaries participating in the Abit-azioni Project, which moves them into private housing in the city, also gain opportunities to live among and integrate with other Italians. This is beneficial for long-term desegregation goals.

In addition, the project found women of all ages to exhibit dynamic participation in project activities across the board. They were active in professional trainings and maintained their jobs longer than their male counterparts. They also ensured that the housing code of conduct was maintained (for example, prompt rent payments). For this reason, the project found it a good practice to focus on women as agents of change.

Project Brief 24

“A House, A Future” Project, Romania

Project period:
2008–2011

Total project cost:
€350,000

Total number of beneficiaries:
24 families

Financed by:
Habitat for Humanity Romania, Soros Romania, and other private donors

Implementing agencies:
Habitat for Humanity Romania and Soros Romania

Areas of intervention:
Housing, vocational training



CONTEXT AND RATIONALE

Bălțești has a sizeable Roma community (almost one-third of the population) concentrated in the Ursarie neighborhood. Few Roma hold permanent jobs outside of informal trading and recycling. Their main income sources are social benefits. The living conditions in the Ursarie neighborhood are modest. Small houses are made of hay and clay, and access to electricity and other utilities is limiting. Fifteen of the neighborhood’s 24 homes are at risk of collapsing or another safety hazard, while the others need considerable renovation.

land ownership and home construction to securing water, electricity, and better roads to the Roma community. Even the mayor became involved in procuring building materials; and (iii) **volunteers were mobilized** (200 of them) to build ten houses in one week, and other resources were utilized from private building companies.

GOOD PRACTICES AND LESSONS LEARNED

The Bălțești “A House, A Future” Project used the good practice of **involving volunteers from the local community and beneficiaries in home building**. This fostered trust and social cohesion between Roma and non-Roma, who do not necessarily have many occasions to intermingle. The **training in home construction given to beneficiaries** also gave them job skills useful for future employment, even if they would need to be connected to labor markets to use these skills. The selection of beneficiaries allegedly took into account those willing to volunteer or reimburse up to 50 percent of the building costs. This was to support the project’s goal of encouraging beneficiaries’ lasting ownership over and care for the homes.

Some of the lessons learned from the project include (i) the difficulty of selecting beneficiaries, since the project could not support all disadvantaged families in the community. The most disadvantaged families, who could not reimburse the building costs, could not benefit; and (ii) the importance of other types of activities (such as education, income generation, and so on) to complement housing intervention to ensure sustainability.

OBJECTIVES AND SCOPE

The key objectives of the Bălțești “A House, A Future” Project were to improve the living conditions of 24 Roma families and to provide vocational training for 15 adults to help their sustainable employment. To do so, the implementing agencies integrated housing and employment activities, such as:

- constructing 24 brand new or renovated homes;
- assistance in obtaining affordable mortgages (through labor contributions and deductions);
- vocational training and apprenticeship programs in construction for 15 adults;
- facilitated access to water, sewage, electricity, and other municipal services.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the Bălțești “A House, A Future” Project include: (i) **beneficiary ownership over the project** that stemmed from beneficiaries participating in building their own homes. This was after receiving vocational training in construction. Beneficiary labor contributions earned them deductions in their monthly mortgage payments for new homes. For beneficiaries not involved in volunteer work, they could still pay an affordable mortgage for their home, although they were expected to reimburse up to 50 percent of the building costs; (ii) **municipal and community cooperation with NGO implementers** ensured support from local authorities for all project activities, from accessing paperwork for

Project Brief 25

“Together for a Safe Beginning” Project Romania

Project period:
2011 to present (ongoing)

Total project cost:
€3,657,918

Total number of beneficiaries:
3,415 Roma and 1,585 disabled people

Financed by:
European Social Fund (ESF) under the Human Resources Development Operational Program (POSDRU)

Implementing agencies:
Social Welfare Department of the municipality of Cluj-Napoca

Areas of intervention:
Employment, education

CONTEXT AND RATIONALE

Roma make up 1.1 percent of Cluj-Napoca’s population of 324,576 inhabitants. In 2008 and 2009, two needs assessment studies were carried out in disadvantaged areas inhabited by Roma. Roma in these neighborhoods live in poor housing conditions with limited access to public goods and services. Their high unemployment and lack of regular income complicates their ability to improve their living conditions. Their high joblessness is often the result of discrimination and exclusion from the job market. Therefore, the assessment concluded that these Roma are in need of assistance to gain sustained access to the labor market and stable incomes. This is also the case for the disabled in Cluj-Napoca, who struggle to access employment, which can lead to economic insecurity or even homelessness. Both vulnerable groups are in need of vocational training and job information, just as employers need to overcome discrimination and be incentivized to employ vulnerable groups.

OBJECTIVES AND SCOPE

The key project objective is the development of an integrated model of social and professional inclusion of Roma and disabled persons. Specifically, the main goals are to provide access to information, counseling, and job training for 900 Roma and disabled persons, while informing public and private sector leaders of the difficulties faced by vulnerable groups entering the labor market. The overall expectation of the project is that improving access to the labor market will improve living conditions for Roma and the disabled. To accomplish these aims, the municipality’s implementing agency adopted a combination of activities, which include:

- acquiring a building for counseling support;
- vocational training;
- job search counseling and information;
- information campaign on the challenges vulnerable groups face in accessing employment;
- subsidized job placements at local businesses for Roma and disabled persons;
- literacy programs for Roma and other minorities in the local community.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the Cluj-Napoca “Together for a Safe Beginning” Project include: (i) **municipality commitment** to tackling the discrimination and misunderstanding that prevents marginalized groups from finding sustainable employment and improving their livelihoods; (ii) the **information campaign** among public and private sector leaders and NGO representatives (72 people) preceded project activities to inform stakeholders of the challenges Roma and disabled persons face in accessing employment. This helped to break down stereotypes and prejudice towards vulnerable groups, as it amassed stakeholder buy-in to participate in project activities; and (iii) the **win-win arrangement between the private sector and beneficiaries** provided 500 employers with subsidies to employ the project’s beneficiaries, while beneficiaries profited from job opportunities.

GOOD PRACTICES AND LESSONS LEARNED

The Cluj-Napoca “Together for a Safe Beginning” Project utilized a promising practice in dividing beneficiaries into two target groups: those who could quickly find a job with some basic assistance and training, and those who needed counseling and vocational training to find employment. This **ensured that unemployed people with differing needs do not fall through the cracks**. The fact that two vulnerable groups, Roma and disabled persons, were targeted together and interacted in trainings offered **opportunities for intergroup interaction and integration**. Therefore, the project is contributing not only to improving livelihoods and living conditions, but also to the social integration of Roma and disabled persons.

Project Brief 26

“My Roma Neighbor” Project, Romania

Project period:
2011 to 2014 (ongoing)

Total project cost:
€144,046

Total number of beneficiaries:
50 people (10 families)

Financed by:
Soros Romania

Implementing agencies:
Soros Romania, ArhiPera (social-participatory architecture group), and Luly Cons (private company)

Areas of intervention:
Housing, health, employment, education



CONTEXT AND RATIONALE

Dor Mărunt is a village in Călărași county with a sizeable Roma population (1,110 Roma and 5,700 ethnic Romanians). The main occupation is agriculture, while a quarter of the Roma community relies solely on social benefits as their main source of income. Roads in the village have deteriorated and water and sewage systems are nonexistent. Large families live in small makeshift homes constructed of clay and wood. Many are of poor quality and some are near collapse.

OBJECTIVES AND SCOPE

The main objective of the Dor Mărunt “My Roma Neighbor” Project is to improve Roma’s living and social conditions. To accomplish this, Soros Romania and its implementing partners utilized an integrated approach to interconnect housing and community empowerment and job training activities, which so far include:

- constructing 4 new homes for private ownership;
- renovating 6 existing homes;
- constructing a community center for afterschool children’s activities and trainings;
- constructing a health center facility (not yet in use);
- constructing a social enterprise facility (not yet in use);
- community building and stakeholder consolidation in support of the project;
- architectural summer camp on community-driven housing design;
- construction work experience (on voluntary basis) and certification.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the Dor Mărunt “My Roma Neighbor” Project include: (i) **early community involvement in decision making** ensured the buy-in of townspeople and beneficiaries and built trust between Roma and non-Roma. A semi-formal community development group was even formed, which included the mayor, a city councilor, a local Roma representative, a teacher, and four community members (8 people total); (ii) **participatory design of houses and community centers**: a summer camp with architects was organized to involve the beneficiaries and community in the design process. This helped to generate ownership over the project and educated residents on housing and architecture; (iii) **beneficiary volunteer work on the homes** with a number of Roma contributing 100 hours of volunteer work, respectively, in building their houses. Those who volunteered received a certificate of qualification; (iv) **synergies among project implementers from the private and civil society sector**, which included two national NGOs and a private company provided resources not only for home construction, but also for building three community facilities for health, social, and educational activities to promote long-term development and inclusion. The challenge was long-term financing for the social activities to take place in the community centers.

GOOD PRACTICES AND LESSONS LEARNED

The Dor Mărunt “My Roma Neighbor” Project employed the good practice of **involving beneficiaries and the community in the participatory design of the homes and community centers**. The result has been a more empowered community, having established development priorities and supported the implementation of construction projects. Another good practice was that **Roma beneficiaries acquired construction skills** during the process of constructing homes. Many volunteered on the construction site and earned certificates of qualification. This can prepare them for future employment, although additional support would be needed in connecting them to the employment market. Through such work and interactions, Roma and non-Roma community members intermingled and integration was fostered, even though the project did not explicitly address desegregation; future activities will be needed to build a lasting attitude of inclusion.

Despite these good practices, the project faced challenges in securing sufficient financial resources to sustain the operation and maintenance costs of the community center and activities. It is important to have a clear funding strategy from the beginning of the project to sustain operations beyond its life.

Project Brief 27

Housing Project, Romania

Project period:
1999

Total project cost:
€31,765

Total number of beneficiaries:
10 families

Financed by:
SPOLU Foundation (Netherlands) with financial and in-kind assistance from the city council, mayor, and local residents

Implementing agencies:
Brazil Nuşfalău Association (local Roma NGO), Impreuna Community Development Agency, and a private construction company

Areas of intervention:
Housing, health, employment, education



CONTEXT AND RATIONALE

The “Brazil” neighborhood in Nuşfalău has been a Roma community for over a century. Roma here have traditionally been brickmakers. At the time of the project, in 1999, there were 325 Roma in Brazil (and 426 total in Nuşfalău), living alongside ethnic Romanians (510) and Hungarians (3,300). Hungarian and Romani are the main languages spoken by the Roma in Nuşfalău. While most children attend school, parents come and go to make a living from seasonal day-wage labor. Few Roma adults have permanent employment. Their houses are small and shared by two or even three generations. Utilities such as water, sewage, and electricity are absent or insufficient to meet the needs of large families. Poor living conditions and a lack of employment also impact poor health outcomes.

OBJECTIVES AND SCOPE

The key objective of the Brazil Housing Project was to improve the living conditions of ten families from the “Brazil” Roma community in Nuşfalău village. The project was part of a larger program that included extending electricity to the community, encouraging the production and sale of bricks—a traditional occupation of this Roma group—as well as civil society capacity building and education and health awareness activities. To accomplish these goals, the SPOLU Foundation implementing the project adopted an integrated approach to interconnect housing and social inclusion and empowerment activities, which included:

- construction of 10 new private homes for 10 Roma families;¹³
- interethnic trust-building and Roma empowerment exercises,
- job creation (100 new jobs) by resurrecting traditional Roma brick-making enterprise in the area;
- apprenticeship program matching job seekers to employers;
- vocational training and apprenticeship programs;
- afterschool education activities for children.

¹³The selection of beneficiaries was based on a needs assessment and criteria such as willingness to engage in the project, contribute to voluntary work, and assist other people (such as the elderly or disabled), as well as considerations such as a large family.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the Brazil Housing Project include: (i) **building trust among the Roma community before project implementation** ensured beneficiary buy-in, as it involved them in house construction and brickmaking; (ii) **using the construction materials (bricks) produced by Roma themselves** was considered an innovative approach. Roma were empowered and reskilled to return to this traditional profession and to continue the vocation after the completion of the project. This created lasting, sustainable employment options for about a third of the “Brazil” Roma community; (iii) **synergies among project implementers from the private and civil society sector**, which included a local Roma NGO from among the beneficiary community, a Dutch foundation providing financial support, combined with a national-level Romanian NGO to give technical assistance and coordinate activities, and a private construction company to carry out the actual building of new homes. The local NGO knew beneficiary needs, while the national-level NGO, Impreuna, had contacts to attract foreign financing (SPOLU Foundation) and other resources to assist the rural project; and (iv) **municipal and community support** garnered in-kind contributions and support for extending water supply and electricity to the underserved “Brazil” neighborhood. Local authorities also helped repair the road to the community and assisted beneficiaries with property and identity documents.

GOOD PRACTICES AND LESSONS LEARNED

The Brazil Housing Project applied the good practice of **organizing a knowledge exchange among international, national, and local NGOs** to come up with relevant best practices on social inclusion and housing. The project also made sure to involve the Roma community early on during project preparation and at every stage of the project. Local beneficiary ownership began by assisting Roma to form their own Brazil Nuşfalău Association, which later became a project implementer. In addition, the **project solicited Roma feedback and participation** in creating a brickmaking enterprise. The private company was successful in producing and selling bricks for a period. **Roma also were hired by the private construction firm** to build the homes for their families and neighbors.

The main challenge of the project was to generate interest in creating a local NGO in order to empower local Roma. The NGO is not currently functional, due to a lack of local demand. Another issue was that the financial scheme that allowed the community to build and renovate further homes, including a community center, by manufacturing and selling bricks, worked very well until a nearby coal mine closed.

Local Strategy for Complex Development, Slovak Republic



Project period:
2006–2014

Total project/s cost:
€176,022 to date (the budget
of the entire local strategy;
€2,475,000)

Total number of beneficiaries:
348 people

Financed by:
ESF with Slovak Ministry of
Labor, Social Affairs and Family
(Operational Program Employment
and Social Inclusion) and the
municipality of Nitra nad Ipľom

Implementing agency:
Municipality of Nitra nad Ipľom

Areas of intervention:
Housing, basic infrastructure,
education, employment, health

CONTEXT AND RATIONALE

Nitra nad Ipľom is a small village in southern Slovak Republic (Lučenec District) near the Hungarian border. The village used to be a part of the Holiša municipality, just 3 kilometers away, until it separated as an independent administrative unit in 1990. Nitra nad Ipľom has traditionally been a mainly Roma settlement. Out of the village's 348 inhabitants, approximately 90 percent are of Roma background. The mother tongue of the majority of inhabitants is Hungarian; only the older generation of Roma speaks Romani. The Slovak language is also widely used in public, as well as within families.

The village belongs to one of the regions in the Slovak Republic that are lagging in development. Local infrastructure is rudimentary and in need of upgrades. Most villages lack safe potable water; households tend to use individual wells. Compounding these issues, Nitra nad Ipľom's was severely impacted by the post-1989 economic transition. Most of the region's major enterprises either went bankrupt or drastically downsized. Until the economic crisis in 2008, local people found jobs across the border in Hungary in an electronics factory (18 people) and a washing machine factory (29 people). Others were working formally and informally in the construction business. However, the economic recession in 2008 wiped out these opportunities, as residents lost their jobs. As a result, widespread unemployment is now the greatest challenge faced by the village. With very few job opportunities in the village, one of the inhabitants' coping strategies is to migrate abroad for work. So far two Roma families have left for Ireland, one family for the Czech Republic, and a couple of individuals are working in the Slovak capital of Bratislava.

OBJECTIVES AND SCOPE

The goal of the Nitra nad Ipľom Local Strategy for Complex Development was the improvement of education and the betterment of living conditions for local people. To achieve this aim in a context of high unemployment and out-migration, the municipality of Nitra nad Ipľom applied an integrated approach, which included the following activities:

- reconstruction of existing homes;
- construction of new individual houses;
- introduction of a Roma teacher assistant, while attracting skilled teachers to the village;
- establishment of the "zero class" (preschool) for preparing children to start primary school;
- employment of local Roma in construction projects to tackle unemployment;
- employment opportunities with local businesses and work activation program involving municipal contract work;
- job skills building;
- educational support to improve children's school attendance.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the integrated Nitra nad Ipľom Local Strategy for Complex Development for the village Nitra nad Ipľom include: (i) that all activities are focused, integrated, and planned over the long run. The local strategy was prepared in partnership with the nongovernmental Roma Institute in 2009; (ii) **external financing uses local resources and workers to generate work opportunities**, which is the municipality's strategy for all projects. Three recent examples of this approach involve anti-flood protection measures, a municipal broadcasting system, and a public lighting system. Disaster risk reduction work related to flooding is usually done by external firms and consists of cleaning the riverbeds, increasing riverbanks, and digging and cleaning channels for water flow. In the village, the municipality insists that it does this work itself and employs local Roma who are out of work. A similar approach was taken to constructing and refurbishing homes. The municipality bought the material and equipment, while residents provided their skills and labor. The village mayor promotes this approach as a way to not only provide the long-term unemployed with jobs, but also to maintain and improve residents' skills so they are empowered to find opportunities outside of the village in surrounding towns; (iii) **reliance on do-it-yourself reconstructions** and construction, instead of building new municipal flats. Reasons are perhaps twofold. There is sufficient housing stock in the village available for reconstruction, and there is a perceived threat that the sustainability of flats may require an unfeasible level of financial burdens to the municipality in the long term. Following this strategy, the municipality renovated an old house in the village center and turned it into three low-income municipal-owned apartments. The space was rented to Roma families who were evicted from Lučenec (the local district capital); and (iv) a **new preschool education program established** in the village, called a "zero class," to prepare local Roma children to enter formal schools in the nearby town or in the new schools being established in the village.

GOOD PRACTICES AND LESSONS LEARNED

The Local Strategy for Complex Development for Nitra nad Ipľom is a positive example of how well-coordinated local initiatives under strong leadership may significantly improve inhabitants' quality of life, living conditions, and provide dignity and self-esteem.

Some specific good practices include: (i) active participation of the community members both in project preparation and implementation; the small size of the village allowed the mayor to personally consult with the local population on the proposed plans, policies, and project; and (ii) consideration of the sustainability of operational and maintenance costs of investments. For example, the municipality has decided not to invest in potable water infrastructure, taking into consideration its ability to fund its operational costs in the future, and the population's ability to pay for the service. In spite of the positive practices, however, the sustainability of the strategy is considered to be **highly dependent on external assistance**. The municipality is in need of broader strategies to increase the income generation opportunities for its population, which is currently highly dependent on the temporary employment created by externally-funded public investments.

Project Brief 29

Social Inclusion Projects, Slovak Republic¹⁴

Project period:
2007–2013 (last programming period)

Total project/s cost:
€1,478,500

Total number of beneficiaries:
1,300 people (out of whom 300 are Roma)

Financed by:
ESF and ERDF

Implementing agency:
Municipality of Spišský Hrhov

Areas of intervention:
Housing, education, employment, property rights, social inclusion



CONTEXT AND RATIONALE

Spišský Hrhov has a population of 1,300 people, among whom nearly 300 are Roma. For the past ten years, Spišský Hrhov has experienced population growth. The number of non-Roma residents has grown by almost 30 percent, while the number of Roma has not significantly changed. The municipality has basic infrastructure in place (such as water, sewage, electricity, and gas) to support this growth. There is a public school with a kindergarten, a children's recreational center, a Catholic church, a municipal office building, and municipal-owned firm next door, along with several grocery stores, sporting facilities, and a public swimming pool (it is the region's only village with its own pool). Spišský Hrhov depends on healthcare facilities in the town of Levoča, which is 7 kilometers away.

Spišský Hrhov's Roma community lives predominately on Generál Svoboda Street. This is not a segregated part of the village, although the street is located at the edge of the village. Some non-Roma residents inhabit the neighborhood's lower section, where Roma and non-Roma private dwellings intermingle with and are indistinguishable from each other. There is also municipal-owned social housing in the area. Currently, four Roma families live in an apartment block in the center of the village, while a few Roma families have purchased land to construct family homes near non-Roma residents. Despite the intermingling, many Roma still lack access to social services, and unemployment impacts nearly all Roma families in the village.

OBJECTIVES AND SCOPE

The goals of the Spišský Hrhov Social Inclusion Projects were to improve Roma housing and living conditions and to create opportunities for lasting social inclusion. In order to achieve these aims, the municipality adopted a number of soft and hard activities, which included the following:

- construction of social housing for Roma families;
- reconstruction of the elementary school;
- reconstruction of the village central square to make it accessible to all residents;
- establishment of property rights;
- training support for the tourist industry;
- job placements at municipal-owned enterprise;
- social services focused on increasing employment;
- development of field-based social workers to work with vulnerable groups.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the Spišský Hrhov Social Inclusion Projects include: (i) the way in which **project priorities and a logical framework were established early on** by the municipality. From the beginning, the municipality identified three key areas of development for the Roma community: education, employment, and housing. These areas were considered interconnected and derived from the specific locality and its demographics (instead of a top-down, one-size-fits-all approach). Key stakeholders attached to these areas were swiftly identified and engaged: the local administration, social workers, employers, and the community center. Making interconnections between stakeholders helped keep the projects and activities together, even if they were not formally coordinated; (ii) **improving access to housing requires regularizing property rights in the first place**. Many Roma were living on land for which they did not have legal titles, or they faced discrimination when attempting to purchase land from non-Roma. To address these challenges, the municipality prepared a detailed plan of property and then allocated municipal funds for purchasing portions of the property in order to build social housing for Roma. In some cases, land was sold to Roma households at fair market prices. Land regularization was sequenced and hence preceded the housing projects; (iii) **hiring Roma at a municipal-owned enterprise** provided not only stable employment to beneficiaries, but also opportunities for Roma and non-Roma to interact on a regular basis; and (iv) the **Roma target population was engaged in the implementation of projects**, even if less so during early project preparation. Roma were involved in public hearings and open discussions on the projects, and also participated in home construction works and other activities. Beneficiaries' participation helped make the projects more sustainable over the long run.

GOOD PRACTICES AND LESSONS LEARNED

The Spišský Hrhov Social Inclusion Projects utilized the good practices of an integrated approach and project design. Chiefly among these is the way in which **employment opportunities in a municipal-run firm brought together Roma and non-Roma to encourage social inclusion** and integration. Today, 25 Roma from the village are employed here. The municipal firm is a central locus of job creation in the village. The only challenge is that the market demand for its goods and services is low, so the firm is limited in the number of new employees it can hire. Therefore, municipal-run employment cannot be a panacea to the various socioeconomic problems facing Roma.

A lesson learned for future work is that the **municipality may need more formal coordination between various projects**. This is even if the municipality considered its key areas of development for the Roma community—education, employment, and housing—as interconnected. For lasting synergies to develop between interventions, there needs to be a degree of organization and synchronization.

¹⁴Spišský Hrhov is a special case in that it is not a review of a specific project, but rather an example of a municipality working to improve Roma living conditions and social inclusion through various projects and initiatives.

Project Brief 30

Rehabilitation Project, Slovak Republic



Project period:
2007–2014

Total project/s cost:
€2,071,156

Total number of beneficiaries:
984 people (180 Roma among them)

Financed by:
ESF and ERDF

Implementing agencies:
Municipality of Ulič

Areas of intervention:
Infrastructure, employment, environment

CONTEXT AND RATIONALE

Ulič is located in northeastern Slovak Republic near the Polish and Ukrainian borders. Out of the village's 984 inhabitants, approximately 180 are Roma. An overwhelming majority of the Roma (approximately 150 people) belong to the Jehovah's Witness religious denomination. The non-Roma majority in the village belong to the Greek Catholic Church and Orthodox Church. Interethnic relations in the village are generally good, with no reports of ethnic tension. The bigger issue is the village's remote location within the National Park of Poloniny. While the park provides opportunities for tourism, so far there is a low turnover of tourists. The park's remote location from the rest of the country limits infrastructure and transportation links, not to mention employment opportunities. There are only two major local employment providers in industrial enterprises (wood processing and forestry/agriculture). Only five working-age Roma in the village are officially employed in a formal job. Most lack education and vocational skills, which limits them to street sweeping and public maintenance jobs. The overall rate of unemployment in the village is 27 percent. Most of the village infrastructure is old and decaying on account of years of neglect.

OBJECTIVES AND SCOPE

The key objectives of the Ulič Rehabilitation Project were to reduce poverty and improve the quality of life of Roma and village inhabitants. To achieve these aims, the municipality of Ulič applied an integrated approach, combining investments in infrastructure with education and employment. These activities included:

- construction of a community center;
- reconstruction of roads and infrastructure and the village center;
- social services;
- employment training and opportunities;
- formation of a municipal-owned recycling yard enterprise.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the integrated Ulič Rehabilitation Project include: (i) its **development plans came out of the village's Local Strategy of Complex Approach**, which was devised in close collaboration with the nongovernmental Roma Institute and the governmental Regional Development Agency. Although the primary motivation for creating the Local Strategy of Complex Approach was initially to facilitate the village's access to EU funds, in reality, the process of developing the strategy turned out to be valuable, as village needs and those of Roma were identified as interconnected. It also helped that the mayor and his office were committed to the local strategy, and hence the extra work of preparing all requested project documentation and paperwork and undertaking bookkeeping related to the project; (ii) the **creation of a public enterprise for recycling and energy**, using innovative waste-to-energy technology (biomass and waste collection) as generators of jobs and income. Biomass is used to heat homes, schools, kindergarten, and other public buildings. The municipality will also establish a scrapyards/recycling center that buys and sells scrap material, employing local Roma in the firm. So the municipality sees the firm as a long-term provider of formal employment for marginalized groups; (iii) the **municipality sought expertise from NGOs and Roma groups**. In formulating the development plans and securing funding, the municipality cooperated from an early stage with the Slovak Regional Development Agency, NGOs, and the Roma Institute to build a sustainable project; (iv) **municipality outreach to beneficiaries** occurred regularly to promote participation and empowerment of local Roma. This is even though the majority of Roma beneficiaries are Jehovah's Witnesses, and as such abstain from engagement in public life and maintain political neutrality. As a result, the mayor and city hall faced difficulties in involving Roma into the project design and feedback. The mayor nonetheless is viewed positively by villagers for helping Roma, because the Roma do not (or rather cannot, for religious reasons) vote for him. Villagers view the mayor's activities and enthusiasm for the project as real charity.

GOOD PRACTICES AND LESSONS LEARNED

The Ulič Rehabilitation Project used the good practices of an integrated approach and project design. The main one is the way in which the project **addressed discrimination and social inclusion through its vocational training and employment opportunities**. A major aim of the project was to integrate Roma more closely into the village through work and related activities.

The extent to which all inhabitants benefited from the infrastructure projects cannot be assessed, given the lack of impact evaluation. While the Roma were the reason for receiving the project financing in the first place, it is not clear to what extent the Roma parts of the municipality were covered by the improvements made to public works. Therefore, there is a need for mechanisms to monitor and ensure that disadvantaged Roma truly benefit from funds earmarked for improving their living conditions.

Infrastructure Development Project, Slovak Republic



Project period:
2004–2013

Total project cost:
€2,300,879

Total number of beneficiaries:
1,054 people (800 of whom are Roma)

Financed by:
ERDF

Implementing agencies:
Municipality of Výborná¹⁵

Areas of intervention:
Infrastructure (roads, sidewalks, public lighting, water and sewage), employment

CONTEXT AND RATIONALE

The village of Výborná is located in northern Slovak Republic (Prešov region); 85 percent of inhabitants are of Roma background (800 people out of a total population of 1,054). While Roma tend to be spatially intermixed with non-Roma, they tend to cluster on one side of the village, and non-Roma on the other side. The population of the village is relatively young. Almost half of the population (448 individuals) is under the age of eighteen. The village has touristic appeal with mineral springs and historic buildings, but unemployment remains high. Most employment opportunities exist in the neighboring village of Lendak, which has construction jobs for unskilled workers. Meanwhile, the village has for years struggled to secure basic infrastructure for inhabitants.

OBJECTIVES AND SCOPE

The goal of the Výborná Infrastructure Development Project was the general improvement of basic infrastructure for Roma and all inhabitants in the central area of the village. This is phase one of future envisioned projects. To achieve this project aim, the municipality of Výborná integrated the following activities:

- construction of public lighting;
- construction of pedestrian sidewalks;
- reconstruction of local roads;
- construction of water and sewage pipelines;
- employment opportunities.

DESIGN FEATURES AND OUTCOMES

The Výborná Infrastructure Development Project did not intentionally set out to include soft measures for alleviating Roma exclusion. This is due to the source of funding (OP Regional Operational Program with ERDF). However, municipality officials were aware that such interventions and synergies are needed to resolve the social challenges of Roma inhabitants. Therefore, the municipality included the following dimensions that gave the project an integrated quality: (i) **infrastructure construction works provided job opportunities and income for local Roma.** This helps to address the village's high unemployment rate (in the future, conditionality requirements may be included in the bidding documents to employ local Roma); and (ii) the **infrastructure project is integrated into the territorial municipal plan.** This plan is a document, required by the law, on the spatial development of the village, including plans on housing construction. The territorial plan is usually prepared by the municipal council, discussed with citizens through public hearings, and is finally approved by the municipal council. The advantage of integrating the infrastructure project into the territorial municipal plan is that it solidifies these developments as central to the village's development.

GOOD PRACTICES AND LESSONS LEARNED

The Výborná Infrastructure Development Project employed a good practice in **generating work opportunities for local residents in project activities.** Joblessness among Roma is a major structural factor affecting their exclusion from society. Thus, it is valuable for small villages like Výborná to find opportunities to create jobs for Roma through their infrastructure and social housing projects, although they could be temporary. These jobs could still serve as an initial stepping board for integrating Roma in the labor market and in wider society.

While the project did well to provide households with access to water and sewerage, it **did not conduct a special assessment to ensure that inhabitants could afford the new services.** Some residents lack the financial resources to pay the new bills associated with the infrastructure upgrades. They instead use outdoor spring water for washing and utilize self-collected wood for heating and cooking, which are more economical. The need for affordability assessments among the project-affected population is an important lesson learned to ensure long-term sustainability of the project.

¹⁵The municipality drafted a Local Strategy for Complex Approach, and all projects targeting the Roma community would be based on this document. However, the Slovak Office of the Plenipotentiary did not approve Výborná's Local Strategy for Complex Approach. Information is not available on the exact reasons for dismissal. Representatives of the Office of Plenipotentiary only indicated that a number of local strategies were not developed to sufficient standards with an integrated framework. Výborná hence was not included on the list of localities eligible for funding under the umbrella of the Local Strategy for Complex Approach national program in the Slovak Republic.

Project Brief 32

IRIS Subsidized Rental Housing, Spain

Project period:
1986 to present (ongoing)

Total project cost:
€217,472,905

Total number of beneficiaries:
2,254 families (8,972 individuals)

Financed by:
Municipality of Madrid, ERDF, and state and private banks

Implementing agencies:
Institute for Relocation and Social Inclusion (IRIS)

Areas of intervention:
Social housing, education, health, employment, social inclusion, personal development

CONTEXT AND RATIONALE

There are an estimated 570,000 to 1,100,000 Spanish Roma living in Spain. Almost 10 percent of them live in the Comunidad Autónoma de Madrid (CAM) or region of Madrid. The Roma Foundation, Fundación Secretariado Gitano (FSG), conducted surveys on the housing conditions among a representative sample of Spanish Roma in 1991 and 2007. According to the findings, in 1991 only 36 percent of Madrid's Roma lived in apartments or houses, and a large majority of these buildings were public (or social) housing units. By 2007, this number had risen considerably to 85.5 percent, although only 2 percent of Roma families lived in houses or apartments that they had acquired by their own sources (in other words, purchased or rented on the private housing market). As a result, more than 80 percent of Spanish Roma live in houses or apartments subsidized by the Madrid government (via IRIS or other sources).

Many of these Roma are disproportionately located in segregated neighborhoods or substandard slum settlements. A regional survey conducted in 1984 found that Spanish Roma make up 93 percent of people in Madrid's slums. The slum settlements either originated as traditional Roma encampments that deteriorated over time, or appeared as a consequence of urbanization, internal migration, and population growth. Their existence has been perpetuated by a cycle of exclusion and discrimination that makes it difficult for Roma to fully integrate into Spanish society.

OBJECTIVES AND SCOPE

The key objective of the Institute for Relocation and Social Inclusion's (IRIS) Subsidized Rental Housing Project in Madrid is to eradicate poverty and social exclusion among Roma, especially those living in illegal settlements, through opportunities for rehousing, relocation, and social integration. In particular, the project aims to allocate rental housing to needy Roma families evenly across the city in order to discourage segregation. Meanwhile, social support is provided to Roma beneficiaries in order to adjust to their new homes, neighborhoods, and livelihoods. The assumption is that normalized housing is a vehicle for social integration and growth. This is even if housing alone cannot ensure social inclusion and poverty reduction, and so social services are integrated into the project. For its activities, IRIS has traditionally worked with excluded Spanish Roma communities living in substandard housing, although lately IRIS is increasingly working with Roma communities from Romania and Bulgaria. To address the social and material needs of these communities, IRIS has adopted an integrated approach to interconnect activities:

- provide residential public apartments with subsidized rent. Rent is approximately €64 to €198 per month, according to apartment size and location. IRIS buys the flats on the private market or from the municipal/regional social housing agency and rents them out at subsidized costs to marginalized families;

- educational support to prevent absenteeism and to ensure minors complete compulsory education (between ages 6 and 16);
- promotion of pre-kindergarten schooling for ages 0–3;
- collaboration with the public healthcare system to provide healthcare to beneficiaries still in slum areas;
- preventative health and campaign for healthy living habits;
- job training and assistance with finding employment opportunities;
- processing job offers;
- access to social rights among Roma;
- building trust between Roma and non-Roma in schools, apartments, and other common recreational spaces.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the IRIS integrated project in Madrid include: (i) **a phased approach towards social and housing support conducted over 3 to 5 years**. During this time, social assistance is first provided (over 6 months) to prepare the targeted population for relocating to new housing, followed by on-site preparation for the transition (over 6 months), and then social services to help beneficiaries adapt to the new housing situation and get involved in the neighborhood and society (over 24 months); (ii) the **implementing agency (IRIS) has an efficient organizational structure and qualified field workers**, which includes a social assistance team that works in slum settlements, a housing allocation team, and a neighborhood and community integration team. Each team is well staffed with more 130 total employees working for IRIS, in addition to almost 80 contract workers. This affords the manpower and expertise to address the many issues involved in improving Roma living conditions; (iii) **cooperation between local government and the NGO implementer** allows the latter to purchase apartments from the municipal and/or regional government public housing authority at an affordable rate; (iv) this in turn allows the implementing agency to **rent the apartments at a subsidized rate**. This is important for the sustainability of the project, ensuring that Roma beneficiaries can afford the new housing to which they have been assigned. The rental rights can be inherited by relatives, even if the property cannot be bought; and (v) a **contractual agreement on payment to the implementing agency (IRIS)** requires regular payment or possible eviction from the property in the case of high indebtedness over a prolonged period of time. So far, eviction for these reasons has been rare. The fact that IRIS enforces this contract helps ensure compliance with project requirements.

GOOD PRACTICES AND LESSONS LEARNED

The IRIS Subsidized Rental Housing Project demonstrates several good practices of an integrated approach and project design. The first is the way in which the program starts when beneficiaries are still living in their original settlements and continues up to three more years. Once a family moves to an apartment, IRIS assigns a social worker to the family. The social worker helps family members adapt to their new life, supporting them in everything from home organization to financial planning, paying bills, and filling out residential or school applications. This is in concert with assistance with employment training, job applications, and following up on children's school attendance. These activities help smooth the transition for beneficiaries to adapt and integrate into their new environment. The project's implementing agency (IRIS) makes sure to follow each family with tailored activities to prepare them for sustainable relocation.

Another key feature of the IRIS program is its "spatial integration" component. Families that are rehoused are distributed in neighborhoods all around the wider region of Madrid. This avoids the creation of slums and encourages Roma inclusion in Madrid's social and economic life. In these ways, the project explicitly seeks to overcome segregation in an ongoing manner.

Project Brief 33

Housing Program for Social Integration (HPSI), Spain

Project period:
1998 to present (ongoing)

Total project cost:
€248,373,488

Total number of beneficiaries:
800 families (of whom 320 are Roma, or 40 percent of beneficiaries)

Financed by:
Region of Navarra

Implementing agencies:
Municipality of Pamplona (Social and Family Services and Health and Housing Services) with the Region of Navarra (Urban Planning and Housing and Social Services Department) and an NGO implementer—Fundacion Segredariado Gitano (FSG)

Areas of intervention:
Social housing, education, health, employment, social inclusion, personal development

CONTEXT AND RATIONALE

The region of Navarra is an autonomous entity within Spain with a relatively small population (approximately 600,000 inhabitants) and the lowest unemployment rate in Spain. Navarra currently has between 6,500 and 7,000 Roma who make up 1 percent of the district's population. Data from a survey carried out in 1996–1997 to create the Plan for the Fight Against Social Exclusion in Navarra (1998–2005) found approximately 900 Roma households living in marginalized areas and substandard housing. Most live in Navarra's capital, Pamplona. While no apparent slums exist in Pamplona today, many Roma families live in derelict housing and/or struggle to pay rent and find employment.¹⁶ Addressing these needs has become increasingly difficult as the region of Navarra is still recovering from the recent economic crisis, which introduced new aspects of vulnerability and increased the number of people who qualify as vulnerable, without jobs or income, and who lost housing. This has necessitated reaching out to all ethnic groups in the district.

OBJECTIVES AND SCOPE

The key objective of the Housing Program for Social Integration (HPSI) in Pamplona is to facilitate access to housing (either property or rental contracts) among the socially excluded. Social exclusion is defined as earning an income 1.7 times below the minimum wage (or having no income) or already being registered in a government social assistance program within the region of Navarra. The project is based on the principle that a lack of proper housing and a segregated life, with no or difficult access to social services, is one of the main impediments to overcoming poverty and marginalization. To address these challenges, the project implementers utilized an integrated approach of hard and soft activities:

- allocation of public and private housing units, including some with subsidized rent. The region of Navarra either allocates apartments it already owns or finds apartments on the private market to rent. The rental contracts are between the beneficiary and the region;
- oversight in compliance with a rental contract to ensure regular payment of rent and utilities, home maintenance, and so on;

- monitoring of trust-building between beneficiaries and neighbors, and provision of mediation assistance in the case of interpersonal conflict;
- economic planning assistance;
- job training and employment orientation courses to increase the employability of working-age beneficiaries;
- help with registering children ages 3–6 in preschools, and ensuring their attendance, along with children enrolled in primary and secondary school;
- assistance with healthcare, ensuring pediatric visits and immunizations of children and check-ups for the elderly.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the HPSI in Pamplona include: (i) **cooperation among various municipality and district agencies and NGOs** to determine the needs of the most disadvantaged groups and to devise specific solutions. NGOs, in particular, helped identify beneficiaries, such as the FSG nonprofit assisted Roma, having years of experience working with them. Such NGOs provided capacity, where local government agencies did not have it, in following up on beneficiaries' adaptation to new living conditions; (ii) the **district government's commitment to underwrite the rentals**. The Region of Navarra, as a funder and implementer of the project, guaranteed the monthly payment for the beneficiary and committed to maintaining (or returning) the apartment in the same conditions as when obtained from the owner. This is in the event that the family fails to pay or maintain the property. In this way, there is no loss to the owner of the apartment; (iii) the **allocation of social or private housing to beneficiaries comes with a package of social inclusion programs**; hard and soft activities must be done together. The rental contracts come with either a three-year program (when a beneficiary purchases property) or a five-year program (when a beneficiary rents a unit) of social and economic inclusion activities. Five NGOs administer these programs to ensure adaptation and livelihood development; (iv) **clear criteria in the selection of beneficiaries**: applicants must be registered in Navarra for at least 3 years prior to their application, applicants' income must be 1.7 times below the minimum wage (or lower), and applicants must not own real estate in their family; and (v) **participation of the private sector** in providing mortgages to beneficiaries ready to purchase property. The mortgages were provided by banks and constituted a significant part of the funds necessary to buy a property. This financing ultimately reduced the amount of funding required from the government to invest in the program, which in turn allowed more beneficiaries to gain access to housing.

GOOD PRACTICES AND LESSONS LEARNED

The HPSI demonstrates several good practices of an integrated approach and project design so far, especially the way in which the program takes a well-organized, holistic approach. Alongside housing provision, the incorporation of a social inclusion program gives individualized attention to families for up to five years. All of the implementing agencies involved in the project are committed to social inclusion and the personal growth of each family assigned to a new apartment (either a property-ownership contract or a rental contract). Viewing housing as part of a larger process of social inclusion is an important development at the regional level.

Moreover, the involvement of both Roma and non-Roma from marginalized backgrounds into the program indirectly tackles issues of segregation by bringing together diverse social groups that would not normally interact in project activities, such as job training workshops. In this way, the project indirectly tackles the issue of segregation and promotes trust-building among diverse groups in society.

¹⁶ Please note that there are no official estimates of the number of Roma living in substandard housing in Pamplona.

Relocation and Social Inclusion Project, Spain

Project period:
2006–2013

Total project cost:
€2,910,000

Total number of beneficiaries:
67 families (of whom 46 are exclusively Spanish Roma)

Financed by:
Region Castilla y Leon, the municipality of Segovia, and ERDF

Implementing agencies:
Municipality of Segovia (Department of Social Services and Inclusion) and Fundacion Secredariado Gitano (FSG)

Areas of intervention:
Social housing, education, health, employment, social inclusion, personal development

CONTEXT AND RATIONALE

The city of Segovia has two major Spanish Roma settlements on the outskirts of the city, El Tejerin and Madrona. Both are illegal shantytowns that date back to the 1970s. Over time, they grew to a total of 70 Roma families between both settlements. They lack sturdy shelter, sanitation, and access to social services and infrastructure. Debris, junk, school absenteeism, illiteracy, drug trafficking, and intragroup conflicts characterize the settlements. The overcrowded, prefabricated housing remains in a state of disrepair, and Roma face ongoing poverty and exclusion from wider society. Roma have few alternatives, however, as private rent in town is expensive. The city has avoided dismantling the settlements on account of the high costs associated with demolition and the lack of options for Roma families to transition into regular standard apartments in the city. Until 2005, there was little political commitment on the part of government officials to provide adequate living conditions to Roma families.

OBJECTIVES AND SCOPE

The key objectives of the Segovia Relocation and Social Inclusion Project were to relocate families living in slums to standard housing (public and private) and promote their socioeconomic inclusion in society. To do so, the project implementers utilized an integrated approach that involved the following activities:

- relocation of 60 families (46 Spanish Roma) into private and social housing units with full utilities. The rental price is affordable (€35 to €150 per month according to apartment size and the beneficiary's income);
- conflict management among clans and family members occasionally in conflict;
- educational advancement of children, including making a dedicated space in homes where children can study and do their homework;
- promotion of healthy lifestyles;
- job training workshops and job search assistance;
- enhancing the mobility and safety of women and children to move freely around town, as well as tackling drug trafficking and illegal activities.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the Segovia Relocation and Social Inclusion Project include: (i) **strong political commitment from elected officials** from the region and municipality to improve Roma living conditions; (ii) **skilled coordination among regional, municipal, and NGO implementing agencies**. The nonprofit FSG and the social service and housing department of Segovia municipality have worked together efficiently and in full agreement on the main principles underlying the specific activities before and after relocation and integration. They distributed activities amongst themselves according to their expertise, which allowed the physical relocation to happen smoothly, followed by social programs meant to ease beneficiaries' adaption to a new environment. All parties approached problems that arose during implementation with a solutions-oriented attitude and collaborative spirit; (iii) **rental contracts in private housing are underwritten by local government** to ensure landlords will not lose money in renting to vulnerable, low-income groups. Although families could receive subsidized (and even rent-free) accommodation, most families paid their monthly rent and were proud to comply with the rules of the contract; and (iv) **agreed upon social contract** between beneficiaries and municipal social services and NGO partners **before relocation** demands full participation in and commitment to social activities, such as school enrollment requirements for children, mandatory health check-ups, and home maintenance expectations. The social contract helped to keep beneficiaries committed to all aspects of the program over its years of implementation.

GOOD PRACTICES AND LESSONS LEARNED

The Segovia Relocation and Social Inclusion Project showcases several good practices of an integrated approach and project design. Firstly, the social support system is organized in an individualized manner. After being resettled to social or private housing, each family is kept in close contact with a designated social workers and NGO staff. Staff uses a tailored approach that corresponds to the specific needs and conditions of each family. This allows families to integrate and grow in their new environment at their own pace. For some beneficiaries, relocation is a smooth process, while for others it is more complicated. Even various members of a family can have different experiences adapting. For example, women were found to adapt easier than men, who missed the camaraderie of colleagues in the shantytowns; women were excited about the high quality of their new homes. Creating a personalized approach to assist Roma women and men helps the sustainability of the project. Also adding to the program's success is its commitment to beneficiaries' feedback in rehousing and social inclusion programs. The region worked with various municipal agencies and social stakeholders in the communities to get their buy-in before resettling Roma families.

Project Brief 35

HUB Partnership Project, United Kingdom

Project period:
over approximately 10 years

Total project/s cost:
€39,312,938

Total number of beneficiaries:
16,000 people (of whom 3,500 are Czech, Romanian, and Slovak Roma)

Financed by:
Glasgow City Council, Roma-Net, Roma Matrix, Govanhill Community Charity, Govanhill Police, Govanhill Housing Association, and St. Vincent de Paul (The Space)

Implementing agencies:
The HUB partnership made up of the Glasgow City Council, Govanhill Housing Association, and Roma-Net partners

Areas of intervention:
Housing, employment, social work, health, enforcement, outreach



CONTEXT AND RATIONALE

Govanhill is one of twelve neighborhoods in southeastern Glasgow with an estimated population of 15,000; 40 percent of the population comes from ethnic minority backgrounds. The population has seen regular migration changes and diversity. While Govanhill survived Glasgow's Comprehensive Development Areas act in the 1960s, which demolished 29 inner city areas without recreating social infrastructure, Govanhill's 13 housing blocks remained largely unimproved, until recently. The Glasgow city council undertook major refurbishment to address the derelict condition of the apartment blocks, including privately owned housing stock. There have been proposals to build new blocks to deal with overcrowding in apartments. The majority of Roma live in such crowded living conditions within the 13-block area of old tenement buildings. Roma here have high levels of illiteracy and numeracy issues. English language fluency is also limited, which makes delivering public services particularly challenging. While Roma are thriving in an area of Glasgow that has existing infrastructure to deal with poverty, their presence also puts pressure on existing services, especially in the area of private rental accommodation.

OBJECTIVES AND SCOPE

The main objective of the Govanhill HUB Partnership Project is to understand and address the current needs of Roma migrants, empowering them to move out of poverty. The HUB partnership seeks to identify specific approaches, programs, and targets to reflect the current condition and challenges of the Roma community for their sustainable development. To address these issues, the project implementers utilized an integrated approach that involved the following activities:

- refurbishment and infrastructure upgrades to a 13-block area of tenement housing (public and private housing);
- establishing a point of access for the community on issues regarding service delivery;
- police presence to foster security and trust with communities, engaging them on a daily basis;
- starting a multi-service drop-in center to deal with a wide range of needs, from food shortages to domestic violence and loneliness;
- support groups for particular subgroups of Roma (for example, Slovak Roma);
- general socioeconomic support for newly arrived Roma to learn how to open bank accounts, for example, and to learn their legal rights in Scotland (United Kingdom);
- provision of classical music instruction and instruments for children, along with general educational support;
- creation of a Gypsy Council to bring Roma voice and participation to the project implementers;
- language translation and interpreting services.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the Govanhill HUB Partnership Project are: (i) the **partnership approach between NGO implementers** (forming the HUB partnership) allows the project to work on several scales of contact and service delivery with the Roma community. Activities and services include everything from ground-level outreach to Roma and public health nurses working one-on-one with families, to an EU knowledge-sharing partnership and structures that allow for a police presence in the community; (ii) a **Gypsy Council to work alongside the Glasgow city council** (the financier and an implementer of the project) was established by the Friends of Romano Lav nonprofit organization. The aim is to promote Roma voice and participation in decision making for the area; (iii) **bottom-up and top-down service delivery mechanisms** in the project provide a check-and-balance between institutional-type approaches towards service delivery and community-tailored approaches. Many of the NGOs (such as The Space) providing services have experience working with Roma communities; (iv) social support group (run by Advocacy Association) as part of the project **to help Roma deal with everyday details of social and economic life** in Scotland. This can include assistance with learning about and accessing economic and employment support, which many Roma from Eastern Europe are entitled to; (v) **the implementers prioritized overcoming distrust among Roma towards the local authorities**. The Govanhill Roma community was generally weary of engaging with local authorities and the police based on their previous experiences before migrating to Scotland. Working to overcome this distrust has helped project implementers and beneficiaries tackle short- and long-term development objectives; and (vi) a **media campaign to overcome Roma stereotypes** in society involved having project implementers meet regularly with reporters about the social and economic barriers constraining Roma from fully participating in society. This is in addition to disseminating information, good practices, and positive outcomes via media channels and to partner cities across Europe.

GOOD PRACTICES AND LESSONS LEARNED

The Govanhill HUB Partnership Project showcases several good practices of an integrated approach and project design. Firstly, the project deals not only with fundamental needs associated with improving living conditions, but also with broader issues, such as Roma community empowerment and inclusion. Practical project activities and services, such as translation and job training, address both sets of needs. Secondly, the HUB implementing group tailors its activities and fosters internal NGO partnerships in line with the changing needs of the target population. In this way, the HUB group can specialize in and address different areas of support. Thirdly, another good practice was including Roma in neighborhood and city decision making on issues that affect their livelihoods. Such practices contribute towards lasting Roma inclusion in society.

Project brief 36

Roma and Traveller Site Project, United Kingdom

Project period:
2010–2013 (some activities are ongoing)

Total project cost:
€2,456,180

Total number of beneficiaries:
200 people

Financed by:
Kent County Council, with matching government funding (via Housing and Communities Agency). A repayment plan from rental income contributes to mortgage payments

Implementing agencies:
Kent County Council with multi-agency teams (e.g. Traveller Education Service)

Areas of intervention:
Housing, health, employment, training, education

CONTEXT AND RATIONALE

There are approximately 300,000 Romanichals and Travellers in England. Among them, almost 70 percent still maintain a caravan dwelling lifestyle on various sites around the country. Many live in unauthorized encampments. For over three decades, Romanichals and Travellers have lived on the Coldharbour site in Aylesford, Kent County (since 1981). Since 1992, there have been repeated incidents of crime, vandalism, and anti-social behavior, causing a flux of people to move in and out. In 2007, the Kent County Council (KCC) sought to redevelop the site, upgrading and extending it to create a larger, mixed community and an appropriate quality of life commensurate with social housing. This decision came as a growing number of Romanichals and Travellers started seeking accommodation in Kent. The number of people in unauthorized encampments was expected to increase, given the limited new sites being developed and the growing population of Romanichals and Travellers. The site in Coldharbour is unique in that it was redeveloped and enlarged from an existing extended family site with mixed ethnic groups living together.

OBJECTIVES AND SCOPE

The main objectives of the Kent County Coldharbour Site Project are to create appropriate accommodation and support systems in the caravan site so that Romanichals and Travellers can flourish and prosper. The expected outcome is tenure security for caravan dwellers in an authorized encampment that is connected to service provisions and wider society. To achieve this, the project implementers utilized an integrated approach that involved the following activities:

- refurbishing the site with 26 new pitches for caravans. Separate family pitches include a hard surface for parking the caravan, a fixed structure amenity, wooden fencing, drainage lines, a rubble drive area, and space for a garden. The entire site is enclosed for privacy from the nearby highway and police station;
- infrastructure upgrading and extension of the site;
- constructing pedestrian sidewalks to nearby shops and schools;
- building a large playground within visible distance from adult caregivers on the caravan pitches;
- educational support and promoting attendance among children from sites;
- empowering adults to educate wider society about Romanichals and Travellers, as well as to encourage their participation in their children's education. Together these activities help to generate awareness and acceptance of their culture;

- healthcare support to resolve issues related to Romanichals and Travellers not utilizing the UK's National Health Services (NHS) system.

DESIGN FEATURES AND OUTCOMES

Key dimensions of the Kent County Coldharbour Site Project include: (i) the **creation of a mixed implementing team of KCC officers in collaboration with Romanichal and Traveller community leaders**. The soft project components were organized through this team, which met regularly on-site to troubleshoot project-related challenges and visit with residents. Together with the community, the team confronted instances of domestic violence, the lack of role models, and society-wide stereotypes against Romanichals and Travellers. This collaborative approach fostered a greater sense of involvement and empowerment for site residents. It also resulted in a number of residents attending higher education and college, as well as taking jobs in mainstream society. These developments did not diminish their ties with Romanichal and Traveller culture and caravan dwelling, which meant that they overcame the threat of sociocultural disruption on account of project activities. The implementing team also collaborated with NGOs, such as the Traveller Education Service; (ii) **ongoing political input and public awareness** of the project decreased public dissent against renovating the Romanichal and Traveller settlement. Politicians were better able to defend the project's value, and hence relations between the local community and the settlement improved; (iii) the project's **use of social media and the Internet** among Romanichals and Travellers helped them gain easier access to public services; ICT can be used in creative ways to diminish the sensitivity around domestic violence, drug and alcohol abuse, and sexuality; and (iv) **gender-specific aspects were incorporated into the project**. Instances in which single mothers living on the site faced difficult domestic circumstances related to estranged spouses, domestic violence support was included as a project activity. Moreover, a playground for children was built within view of accommodations, so mothers could watch out for their children.

GOOD PRACTICES AND LESSONS LEARNED

The Kent County Coldharbour Site Project showcases several good practices of an integrated approach and project design. The first is the intermingling of Romanichals and Travellers with the larger community via project activities. The target site was in an area where it was feasible to create increased opportunities (such as through sidewalk connections) for contact between Romanichals and non-Romanichals. This helped build trust between communities. Second, the relatively new practice of direct billing for services, including electricity, potable water, and wastewater, was introduced to the site so that site residents have control, knowledge, and responsibility over this aspect of their lives. Thirdly, beneficiaries also had regular access to KCC officers to learn about steps to take regarding skills upgrading, employment, life decisions, and how to deal with domestic issues that may face the family.