

The key drivers behind the process of neighbourhood improvement

[A study of the process of neighbourhood improvement in Nuevo Pachacútec, Municipality of Ventanilla, province of Callao, metropolis of Lima, Peru](#)



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Master thesis
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Cover photo by W.I. Klaver,
Community meeting of residents of neighbourhood A2 about the food relief programme in
Nuevo Pachacútec

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Preface

My first visit to Latin America was in 2007. With a group of young people I was part of a relief program for the local population organised by the non-profit institution 4you2. Thus during three weeks I got acquainted with the customs of the Quecha community of Pulungi in Ecuador. This experience got me interested in the traditional culture of the Latin-American continent. In 2008 I returned. This time I was alone and visited Peru and Bolivia. In Cusco I attended a Spanish language school to improve my knowledge of the written and spoken language. I met a Peruvian girl: Dayana. Since then we are married and lived together in Lima with our beautiful daughter. In August 2010 I decided to go back once again to the Netherlands in the hope for a better future because I had some difficulties with finding a job in Lima.

The increasing connectedness – intellectual and emotional – with Latin-America made me decide to do my research for the Master International Development Studies in Peru. Many Latin-American cities are expanding fast, hence my choice of research of (one aspect of) urban development of the metropole of Lima, especially the characteristics which influence this process.

In consultation with Dr Jan Bredenoord (expert urban development Latin-America, faculty Geoscience, University of Utrecht) I chose as my subject the so-called “self-help settlements” of Nuevo Pachacútec, municipality Ventanilla, province of Callao, part of the city of Lima. Dr. Bredenoord did some research there himself in 2002.

Nuevo Pachacútec is a relatively new urban extension and its development tells the story of people trying to build a new life here, hoping for better circumstances than in the places they came from. The development of Nuevo Pachacútec commenced in 2000 when only the provisional basic requirements were present. Their ‘houses’ were built with the materials they came across. Today this has changed, the reason why I have chosen to do research of the process of neighbourhood-improvement, especially the part played herein by the residents, neighbourhood organizations and others, as well as the most important key drivers behind this improvement.

I gathered my information through contact with the people of Nuevo Pachacútec, which took the form of a household enquiry, as well as from interviews with representatives of various organizations and from more or less official documents.

Many people have helped me with my research. I want to thank:

- the people of the neighbourhoods of Nuevo Pachacútec taking part, for their valuable information about their present and past situation, the way they earn their living and their neighbourhoods’ development;
- Fidel Fernandez Basurto, president of the resident’s board of the housing project Nuevo Pachacútec, also neighbourhood leader in neighbourhood A2, Rosa Diaz Flores, Rosa Mendoza Valquez, Hector la Chira and Guillermo Boreto, neighbourhood leaders in respectively “neighbourhoods B4, E1 in Nuevo Pachacútec and 2 and 3 of Mirador”. When talking with them not only did I gain insight in the life of the residents of the self-help settlements, I also learned about the social and political decision-making on a local level, the way in which neighbourhood organizations function and do or do not cooperate and their activities.
- The representative of the municipality of Ventanilla in the overall social political organisation of Nueva Pachacútec, also involved in a number of women’s organizations in Ventanilla and leader of neighbourhood C3 in Nuevo Pachacútec, for her reflections on the living circumstances of the people of Nuevo Pachacútec and the social reality of the self-help settlements.
- The leader and valuer of COVAAP 9 and 10 for the information on the water problems in Nuevo Pachacútec, the water-works, the water management and the functioning of the various authorities concerned.
- Mag. Fray Masias Cruz Reyes Director de la Escuela Academico Profesional de Geografía Universidad Nacional de Mayor de San Marcos, who was my supervisor in Lima.

- Dr Jan Bredenoord, mentioned before for his inspiring contribution to the choice of my project.
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- Dr. Kees Offereins for his contextual adjustments on my thesis
- Mrs. Loes van der Houwen who was my helping hand by translating the Dutch version of my thesis in this final version
- Dayanara Aguirre Canales, my wife and in this case “the helping hand” at organising and carrying out the enquiries and interviews as well as the visits to my research area Nuevo Pachacútec.

Utrecht, January 27th, 2011

Wybren Ibrahim Klaver

Executive summary

During the sixties of the last century Lima, capital of Peru experienced a fast growth, caused by an enormous migration stream from the “country” - the rural areas and the Peruvian plateaus to the urban environment of Lima. The migrants were attracted by the strong industrialisation process taking place in the capital.

The consequences for the city’s development were considerable. Important questions that arose were: “*where will those newcomers live, how will they obtain houses and how will the housing problem be dealt with by the local authorities?*”

Nuevo Pachacútec is such an urban area where migrants settled. It is one of the most recent expansions of Lima and a so-called “self-help settlement”. It owes its existence in 2000 to the decision of the regional governments of Lima and Callao to transfer a large housing problem for new migrants to the (local government of) the municipality of Ventanilla, assuming that the problem would be solved sooner. The migrants involved were mainly individuals and families (households of one or more persons), who till then had lived in the south of Lima and there illegally seized a piece of privately owned agricultural land with the purpose to realise a new future for themselves. Another part of the newcomers had before rented a place elsewhere in the city or else lived with their parents. When the local authorities tried to put a stop to the illegal occupation the national government decided to intervene and to relocate those households in the north of Lima. Offering them a piece of land with – in future- the prospect of official ownership was thought to be a satisfactory solution for the housing problem. A problem that arises in most development countries.

This research deals with an important aspect of this solution, namely the possibilities of the residents of the new urban extensions to develop their own neighbourhood and the factors important for this process. A research of the process of neighbourhood improvement should envisage the way in which people try to build their own environment from scratch and how these “self-help settlements” of Nuevo Pachacútec slowly develop into a new urban expansion of Lima. The central question to which this research tries to find an answer is:

What are the key drives behind the process of neighbourhood improvement in the self-help settlements of Nuevo Pachacútec and what are the roles of the residents and other stakeholders in this process?

In order to gather the necessary empiric information various research methods have been used. Firstly a *household enquiry* amongst 124 households in a number of selected neighbourhoods in Nuevo Pachacútec, to get a concrete picture of the self-help settlements and their residents, such as:

- The demographic and social economical characteristics of the population: who are the people of Nuevo Pachacútec
- Their history of migration to clarify the origin of the settlements and a possible shift of the migration streams from the traditional move from country to city to moving within urban area
- the (architectural) condition of and the provisions for the self-help houses and the state of affairs with regard to the (formalisation of) ownership rights of the plots.

In order to avoid a biased vision of the way in which the process of neighbourhood development in the self-help settlements of Nuevo Pachacútec takes place, four neighbourhoods have been selected for this research. A comparison has been made between these four with regard to their general characteristics and the presence of basic and/or other facilities.

A second research method is that of interviews with neighbourhood leaders in the four surveyed neighbourhoods in order to get insight how the communal organizations in their neighbourhood function, if they cooperate with each other, what kind of activities take place in aid of neighbourhood improvement and what is their contribution to the objects in view.

A third research method is the study of policy documents of the local government of Ventanilla and the regional government of Callao, to discover the effort of governments in the process of neighbourhood improvement: its activities in benefit of neighbourhood improvement and cooperation with other stakeholders in the process of neighbourhood improvement.

One of the important key drivers behind the development of Nuevo Pachacútec and thus also for the neighbourhood improvement, is the decision of the national government in 2000 on social-political grounds to meet the needs and wishes of a group of residents. The government played in that the role of service provider and benefactor. The development of Nuevo Pachacútec commenced in 2000 when only the provisional basic requirements were present.

The people had to live in a desert without anything having been built as yet. They had to build their own home with materials found in their surroundings.

A more important key driver is the readiness of the residents to create a new existence within a self-help settlement. This aspiration originates in the wish for a place of their own, their own piece of land on which they can build a house for their family in an economically effective way and thus improve their standard of living. The phenomena 'progressive self-help' plays in that aspiration a role of significance in the development and improvement of self-help settlements.

A third important key driver behind the process of neighbourhood improvement is the formalisation of land rights, in general the role that home ownership plays in the development of the neighbourhoods in Nuevo Pachacútec and El Mirador. The formal issue of land rights has led to the new owners' acquisition of the various basic facilities, such as electricity, on condition of mutual maintenance.

A fourth key driver is the way in which the power of disposal of the land rights and property can be used. The formal ownership of a piece of land/ a house entitles its owner – who has to be registered with the local public registration office – to generate capital by means of his own business: a shop, a restaurant, café or otherwise on his own land. Other possibilities are an extension of the house on his own land or letting the house in order to increase his income.

A fifth key driver behind the process of neighbourhood improvement is the participation of the residents in cooperation with the neighbourhood organizations and other interested stakeholders in activities that might lead to development/progress.

Neighbourhood and community-based organizations are the most important actors in the process of neighbourhood improvement. They are closest to the community and have to plead the interests and wishes of the residents. Whenever certain public or basic facilities are absent the neighbourhood organisation is the obvious party to contact the council, a NGO or other organisation. To keep the local, regional and national authorities active in rendering services regarding basic and social facilities the residents' organizations have to collectively campaign in order to get access to the decision-making with regard to the realisation of projects for neighbourhood improvement.

NGOs play an intermediary role in the process of neighbourhood improvement between residents and the various authorities. On the one hand because their suggestions for projects are put to the vote by means of a mesa de concertación to determine the residents' preference, on the other hand NGOs have to consult with the government to fit in with the (local, regional or national) development policy.

The government has in the practise of neighbourhood improvement in the surveyed neighbourhood and in Nuevo Pachacútec and el Mirador hardly a role of significance (read: the drawing up and realising of projects for neighbourhood improvement).

This is mainly caused by the fact that the local and regional government, each for its own area, have the same legal power and instruments for regional planning. Another reason is that the political power and judicature of the national government decide which projects will be realised at regional and local level; consequently the lower governments do not know what their official authority is worth. Thus their position in the decision-making process is undermined. Besides the final decision on which projects are considered and will be carried out, lies with the judicature and policy of the national government. This creates confusion about the role the municipality can play in reality in the decision-making regarding local development.

Resumen ejecutivo

Lima, la capital de Perú, tuvo la experiencia que en los años sesentas del siglo XX, un gran movimiento de población, migró desde las zonas rurales (la sierra y la selva) en el Perú a las zonas urbanas de la metrópoli de Lima.

Los inmigrantes fueron atraídos por el proceso de rápida industrialización que ocurría en la capital. Diferentes personalidades, tenían grandes proyectos para el desarrollo de la ciudad.

Se preguntaban: *“Donde van a vivir los recién llegados, como encontrarían una casa y como maneja las autoridades locales el problema de la vivienda?”*

Nuevo Pachacútec es una de estas zonas urbanas, donde los migrantes se establecieron. Es una de las incorporaciones más recientes de la metropoli de Lima y una zona llamada asentamiento humano.

Nuevo Pachacútec se fundó en el año, 2000. Debe su origen a la decisión, de los gobiernos regionales de Lima y Callao, de transferir un problema de vivienda al (gobierno local) municipalidad de Ventanilla. Pensaban que el problema de vivienda podría ser resuelto rápidamente.

Los migrantes eran inicialmente personas individuales y familias (hogares que consiste de una o mas personas), o también personas que vivían en casas o departamentos alquilados, o con sus padres que precedentemente vivían en el sur de Lima y alrededores – con el objetivo de realizar un nuevo futuro en su lote propio - invadieron ilegalmente tierras privadas de agricultura.

Cuando las autoridades locales trataban de ver una salida al problema de ocupacion ilegal el gobierno nacional decidió intervenir y trasladar esos hogares al norte de Lima y ofreció a los recién llegados su lote propio. Con la finalidad de tener- en un futuro una propiedad formal. El gobierno nacional esperaba de encontrar una solución adecuada al problema de la vivienda. Un problema, que tiene la mayoría de los países en desarrollo.

En esta investigación, se trata de encontrar posibles soluciones a los problemas requeridos la posibilidad que tienen los residentes de desarrollar su barrio en nuevas zonas urbanas, y los factores del proceso que son relevantes.

Una investigación sobre el proceso de mejoramiento de barrios, debería facilitar a un entendimiento de cómo las personas tratan de construir su propio barrio a partir de cero y como los *“asentamientos humanos”* de Nuevo Pachacútec se desarrollan lentamente como una nueva extensión urbana de Lima.

La pregunta central en esta investigación pretende responder a ***¿Cuáles son las motores fundamentales detrás del proceso de mejoramiento de los barrios en Nuevo Pachacútec y cuál es el papel de los residentes y otras entidades en este proceso?***

Para juntar la información empírica necesaria para este estudio, diferentes métodos de investigación fueron utilizados. En primer lugar se hizo una encuesta a 124 hogares, seleccionando algunos barrios, para poder tener una imagen concreta de los asentamientos humanos de Nuevo Pachacútec y sus residentes, como:

- Las características demográficas y socioeconómico de la población, (Quiénes son las personas que viven en nuevo pachacutec).
- La historia de migración de los residentes para tener una noción sobre la aparición de los asentamientos humanos de Lima y un posible cambio en los movimientos de migración.
- Migración tradicional, desde el campo hacia la ciudad a (in)migración (reubicación) dentro del área urbana de la metropoli
- La condición (estructural) de las casas y los servicios públicos por las viviendas, de (material noble) y el estado de (la formalización)
- Los derechos de la propiedad de los lotes

Para no tener una noción unilateral en la forma que el proceso de mejoramiento de barrios está funcionando en los asentamientos humanos de Nuevo Pachacútec, en esta investigación se ha comparado cuatro barrios en una base de sus características generales y la presencia de los servicios sociales y básicos (públicos).

El segundo método de investigación consistía en entrevistas con líderes de barrios (barrios investigados) para tener una noción como están funcionando las organizaciones de barrio, si se relacionan o cooperan, que actividades realizan en beneficio de mejoramiento de barrios y/o esas actividades realmente contribuyen a los objetivos (formulados).

Un tercer método de investigación es el estudio de documentos de política del gobierno local de Ventanilla y regional de Callao, para descubrir la participación del gobierno en el proceso de mejoramiento de barrios: sus actividades, proyectos, mejoras en beneficio de la población, su relación con otras entidades y cooperación en el proceso de mejoramiento de barrios.

Uno de los principales motores detrás del desarrollo de Nuevo Pachacútec y por lo tanto para el mejoramiento de barrios, es la decisión del gobierno Nacional en el 2000 de satisfacer los deseos y las necesidades de un grupo de residentes por razones socio-políticas. Durante este periodo el gobierno tuvo un rol, de proveedor y benefactor.

Nuevo Pachacútec en sus inicios, solo tuvo servicios básicos provisionales.

La población tenía que vivir en un desierto sin nada construido. Ellos mismos tuvieron que construir su propia casa con los materiales que encontraron en el medio ambiente.

Un segundo motor fundamental detrás del desarrollo de Nuevo Pachacútec es la voluntad de los residentes para hacer un esfuerzo por construir una nueva vida en un asentamiento humano. Una voluntad que está impulsado por la búsqueda de tener un terreno propio para su hogar/familia, un terreno propio en la que se puede realizar una casa en una manera económicamente y eficaz para ellos.

En breve la búsqueda a una vida mejor. El fenómeno (concepto) autoconstrucción de vivienda progresiva en el desarrollo y mejoramiento de los asentamientos humanos tiene en esta búsqueda un papel importante.

Un tercer motor fundamental detrás del proceso de mejoramiento de barrios es la formalización de los derechos de la propiedad y por extensión la propiedad de la vivienda.

La asignación formal de derechos de propiedad, significa que los nuevos propietarios tienen acceso a diversos servicios básicos, como la electricidad. Pero también deben mantenerlos (los nuevos propietarios) esos servicios colectivos.

Un cuarto motor fundamental es la manera de la disposición de las lotes (o de la tierra) y por extensión el uso de la propiedad de vivienda.

La propiedad oficial de un lote da al propietario el derecho/posibilidad para generar capital en su propio lote (trozo de tierra).

Pueden construir una casa, o viviendas en su propio lote o una ampliación en su propia casa.

Debiendo estar registrados, en el catastro de su municipalidad,

Pueden elegir la opción de abrir una tienda, restaurante, cafetería o cualquier tipo de negocio.

Un cuarto motor fundamental detrás del proceso de mejoramiento de barrios es la participación de los residentes en la cooperación entre residentes, organizaciones de barrio y otras entidades.

En el proceso de mejoramiento de barrios las organizaciones de barrios y vecinales son los actores principales. Ellos son el actor asignado para cooperar/hablar con la municipalidad, una ONG o otra organización cuando ciertos servicios sociales o básicos no están presentes (o disponibles) en los asentamientos humanos.

Para que el gobierno local, regional o nacional mantenga su rol de papel como proveedor de los servicios sociales y básicos (públicos). En situaciones urgentes las organizaciones de barrio y vecinales hacen escuchar su voz en protestas colectivas, como palanca para adquirir una posición en el proceso de decisión sobre la formación, desarrollo y ejecución de proyectos de mejoramiento de barrios.

Las organizaciones no gubernamentales (ONG) tienen un rol de papel intermediario en el proceso de mejoramiento de barrios entre los residentes y el gobierno local, regional y nacional. Sus planes por un lado necesitan el apoyo de los residentes a través de un voto llamado "*mesa de la concertación*" y en segundo lugar en consulta con el gobierno se puede ajustar sus planes con el desarrollo local (gestión de desarrollo local) de la municipalidad.

El gobierno no juega un rol importante en la práctica, del mejoramiento de barrios y de los barrios ya estudiados. Por esa razón los gobiernos locales y regionales, en sus respectivas áreas, tienen los mismos legislamientos y instrumentos acerca de planificación urbano y diseño.

Y por equilibrio la política y el poder judicial del gobierno nacional determinará que proyectos públicos sean subvencionables para su ejecución.

Por lo tanto, existe una constante incertidumbre acerca que rol juega la municipalidad.

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List of abbreviations:

COFOPRI= Comisión para la Formalización de Propiedad Informal

NGO= Non-Governmental Organization

BANMAT= Banco de Materiales

INEI= Instituto Nacional de Estadística e Informática

PROFAM= Programa de Lotes Familiares

COVAAP= Comité Vecinal de Abastecimiento de Agua Potable, public water company

Asentamiento= Name for self-help settlements/human settlements in Lima

SEDAPAL= Servicios de Agua Potable y Alcantarillado de Lima y Callao

EDELNOR: Empresa de Distribución Eléctrica de Lima Norte

PPNP= Pilot Project Nuevo Pachacútec

PECP= Proyecto Especial Ciudad Pachacútec

CORDELICA= la Corporación de Desarrollo de Lima y Callao

PRONAA= Programa Nacional de Asistencia Alimentaria

CIMAP= La Ciudad Modelo Autogestionaria Pachacútec

CEC= Consejo Ejecutivo Central

MIMDES= Ministerio de la mujer y Desarrollo social

FONCODES= Cooperation fund for social development

FONCOMUN= Fondo de Compensación Municipal

1 Introduction

This thesis is presented for the Master of International Development Studies at the University of Utrecht and contains research questions, the discussion of the literature relevant to the project, the methodology, the limitations to the project, the analysis of the gathered information and finally the conclusions and recommendations for further research.

The thesis is the result of a research of the process of neighbourhood improvement in the self-help settlements of Nuevo Pachacútec; which are being developed from 2000 and onwards on the Northern edge of the metropolis Lima in Peru. In most cases, a metropolis is a more or less cohesive urbanized area with more than a couple of million residents, of whom at least more than a million live in the urban agglomeration around the city (UN, 2006).

During the 1960s Lima experienced a huge growth in its population. People from the countryside moved with great numbers to the edges of the urban areas of the metropole of Lima. These streams of migration created a huge impact and raised questions such as: *“where will those newcomers live, how will they obtain houses and how will the housing problem be dealt with by the local authorities?”*

Migrants confiscated parts of land or lots, and thus settled themselves in a new self-help settlement. They hope to find better opportunities for themselves in Lima than in the countryside: a roof above their heads and especially a job. They wish to start a family there, and to raise their children in peace and happiness without worry.

During the start of new settlements they usually do not immediately have any basic or other social facilities. In most cases the residents do not receive any help or aid from their government with constructing of their settlements. In a developing country such as Peru the government cannot satisfy the need for housing for those who can barely take care of that themselves. For as far as possible, these migrants, who mostly live in poverty, have to build their houses with help of their friends or family.

The overall image of self-help settlements has exceptions. Some settlements have social housing projects. In those cases the national government of Peru has offered the poor people, who are not registered as citizen in the public register of the community, a sturdy built house which can fulfil nearly all the basic needs, such as water, electricity and a wastewater cleansing system for the small price of 400 dollars (Yábar Bedoya, 2006).

The residents can then, if they wish to and can supply the finances themselves, modify the house to their liking with their own materials.

From a geographical and sociological point of view, the new self-help settlements in Peru are called *“asentamientos humanos”* neutrally. Thus this is without any further specification on location, quality or social class. These settlements each have their own social-economical, cultural and political characteristics. At the start of the 1960s the self-help settlements at the edges of Lima counted for roughly 300.000 residents. In 1972 this number grew to 805.000; which is a quarter of Lima's total residents that year (Leonard, 2000, p. 437).

The official formalization of the property of a piece of land gives the owner/inhabitant the right to generate their own capital by the development of a home and/or company. Residents who are registered in the public register of the community can start their own store, restaurant, café or any other kind of business. Usually the possibility of formally receiving ownership on a piece of land as an inhabitant of a self-help settlement, which he has occupied, depends on the conduct of how the destined plans for that land have been fixed in the official policy of the development plans, or of the cadastral map respectively, of the community of that area or province. Although during the elections in Peru the several governments often make use of the opportunities policies to win over votes for a potential new mayor or presidents. That way, the residents of the settlements can get the opportunity to enlist themselves in the public registry of their community and thus receive proof of their ownership of their own piece of land.

Nuevo Pachacútec is therefore a proper urban area of self-help settlements. It is one of the newest expansions of the metropolis Lima. The migrants who had it rough economically in their provenances: the rainforests, the highlands or the coastal regions migrated to Lima and mostly looked for a temporal job there, and found rental housing or another sort or accommodation. When the desire to cheaply realize their own housing on their own piece of land they moved to Nuevo Pachacútec. In the first ten years of her existence, there were big problems (as was the case with

many other self-help settlements in Lima): unemployment, a lack of basic and social facilities, food insecurity and health issues, social insecurity and crime. This research on the process of neighbourhood improvement in the self-help settlements has been done to gain insight on the manner in which people in Nuevo Pachacútec dealt with such problems.

The main question structuring this research is the following:

What are the key drivers behind the process of neighbourhood improvement in the self-help settlements of Nuevo Pachacútec, and what are the roles of the residents and other stakeholders in this process?

The research question will be answered with the help of the following sub-questions:

1. *How and where lived the residents of Nuevo Pachacútec before they came to Nuevo Pachacútec and why do they live there now?*
2. *What are the general features of the surveyed self-help settlements in Nuevo Pachacútec?*
3. *What role do land ownership and (formalised) land rights play in the development of the surveyed self-help settlements of Nuevo Pachacútec.*
4. *What kind of activities are being partaken by the several actors (the residents, neighbourhood organizations and other stakeholders) in the researched self-help settlements to contribute to an improvement of their neighbourhood?*
5. *How and in what measure do neighbourhood organizations, residents and other stakeholders concerned cooperate in the process of neighbourhood improvement?*
6. *What is the significance of these activities for the improvement of the neighbourhood?*

The main question and research questions will be explained further in chapter 2.5.

1.1 Research objective

Every self-help settlement has its own history, own starting point where the first residents occupied a piece of land, own motives and goals of the migrants to migrate to a uninhabited piece of vacant land and to develop their own self-help settlement there.

To gain insight in the key drivers behind the process of neighbourhood improvement in the self-help settlements of Nuevo Pachacútec and what the roles of the residents and other stakeholders in this process are, the following research objectives have been made:

- Clarifying on how the process of neighbourhood improvement in the self-help settlements of Nuevo Pachacútec takes place, what the underlying drivers are and how the residents and other stakeholders are involved in this process.
- Finding out what kind of activities stakeholders undertake in the researched self-help settlements to contribute to an improvement of their neighbourhood.
- Mapping how there is being co-operated between the neighbourhood organizations, residents and other stakeholders in the process of neighbourhood improvement and what their role is within this process.

1.2 Organizational structure of the research

The research is part of the Master of Sciences Thesis for the University of Utrecht. The thesis is developed for the specialization International Development Studies (IDS). Graduating for IDS means that an internship must take place in a developing country for at least three months. To make this possible there has to be collaborated with local organizations, governments, institutes (universities or NGOs), neighbourhood and neighbourhood organizations, or other organizations.

In this research, the following organizations were involved: the community and neighbourhood organizations of the self-help settlements of Nuevo Pachacútec, of the social housing project El Mirador in Nuevo Pachacútec, the Peruvian NGO Alternativa, the communal office of Ventanilla, (which are involved with the self-help settlements) and the Nacional Mayor de San Marcos University.

1.3 Host Organization

The research has been carried out in collaboration with the Nacional Mayor de San Marcos University. The university was established on May 12th, 1551, and is not only the first university of Peru, but also the oldest university in whole South America. The University has 40.000 students in 52 different academic disciplines on 20 faculties in areas of medical sciences, social sciences, humanities sciences, basic sciences, natural and technical sciences and economical and business studies.

Within the university the research was accompanied by the department of social geography of the faculty of social sciences. The director of the Department of Geography, Dr Fray Masias Cruz Reyes acted as supervisor for the research in Lima. He criticized the research process and gave tips on how to change the research design and methodological aspects for the intended type of research.

1.4 The research process

The fieldwork for the internship was carried out between March and June of 2009 in Lima, Peru. To start, a situational analysis was made of Nuevo Pachacútec to gain insight in the characteristics of the self-help settlements and their situation within Nuevo Pachacútec. Also public agencies, such as INEI (the national Institute for statistics in Peru), the secretariat of the office that represents the interests of the self-help settlements in the community of Ventanilla and a couple of NGO professionals were consulted to get grip on the urban development of Nuevo Pachacútec since 2000.

Thereafter a survey among households was held in four neighbourhoods within Nuevo Pachacútec to compare neighbourhood characteristics, the neighbourhood/communal organizations and the mutual relations between stakeholders to discover which drivers are the most important behind the process of neighbourhood improvement in Nuevo Pachacútec.

Stakeholders that were interviewed are: the Peruvian NGO Alternativa, leaders of the (researched) neighbourhoods and the representatives of the water administration organizations. All of that with the intention to be able to make a statement about the functioning of the (social) political decision-making system of the municipality of Ventanilla and the self-help settlements of Nuevo Pachacútec on a local level.

In June 2009 a preliminary rapport was handed in at the Nacional Mayor de San Marcos University. Afterwards, between July and September 2009, further work was done on a first draft version of the thesis, and this process got its continuation in the course of 2010.

After finishing the thesis, not only will it be sent to the university, but also to other actors who were involved in this research (see appendix I for an overview of the consulted institutions).

The thesis was presented in its final in Utrecht in January 2011.

1.5 Relevance of the research

1.5.1 Scientific relevance

The theme of this research is interesting because it attempts to gain more insight in the manner how people try to build up their own neighbourhoods from nothing and how new settlements, such as the self-help settlement of Nuevo Pachacútec, slowly develop themselves as a new urban expansion on the edge of Lima. By focusing on the social aspect of the neighbourhood development, on the characteristics of the settlements, its living conditions and the (social) political decision making process valuable information can be obtained to describe the – slow – developing process of these new settlements. A process in which, after a long period of time, the residents can obtain basic and other social facilities, so to improve their own neighbourhood and living situation.

In the literature lots of theoretical information is found about the self-help concept: the way in which residents build their own homes in the new settlements, how the land-ownerships rights can influence the residents' opportunities to realize an improvement extension on their own house, starting a small business, how they can gain access to services from the governments, like a health insurance and such, and also about participation, as one of the concepts to describe how the different stakeholders can be involved in the process of neighbourhood improvement.

More insight in the concrete process of neighbourhood improvement contributes to the knowledge about the development processes of the new urban expansions on the edge of metropolitan cities in Latin America.

1.5.2 Social relevance

In developing countries housing is one of the major problems. In this research a couple of important aspects of the problems will come to order, namely the possibilities of residents to develop their own neighbourhoods in new urban expansions and the process factors that (seem to be) are important in that.

By researching how the (social) political decision-making process is functioning on a local level, insight can be gained in the activities that stakeholders (can) undertake to contribute to the development of neighbourhood and communal organizations in the new settlements, their history and their relations with other stakeholders (NGOs, government agencies, other neighbourhood organizations, etc.). The social relevance of the research can be found in the eventual advices for better cooperation to support the local population more or quicker in their needs and wishes.

1.6 Design of the thesis

The thesis consists of eight chapters. After this introductory chapter 1 the key concepts are discussed in chapter 2, which provides the theoretical basis for this research. Specific similarities between self-help settlements, and the connections between the role of ownership rights of lot and house and the formalizing of those rights, decentralization, partnership, stakeholders in the decision making process and the participating development. The chapter concludes with an explanation on the research questions which play a central role in this research project against the background of the variables which are directly or indirectly of influence on the process of neighbourhood improvement in the self-help settlements of Nuevo Pachacútec.

In chapter 3 there will be more clarity on the methodology of the research, the different research methods which were used to gain sufficient information and to collect the needed empirical data to answer the formulated research questions.

In chapters 4 and 5 the national, regional and local context of this research project are presented. In chapter 6 and 7 shall be presented the empirical results of this research, for the first three research questions respectively and for the questions 4, 5 and 6. The conclusion in chapter 8 will answer the main question of this research project.

2 Literature review

This chapter deals with the key-concepts being used in the search for the key drivers behind the process of neighbourhood improvement. In paragraph 2.1 the “*progressive self-help*” approach will be discussed. This approach illustrates the principles and factors that influence the origin and the continuing development of a self-help settlement. The role of land- and home ownership and its formalisation in neighbourhood development in a self-help settlement will be explained in paragraph 2.2. Paragraph 2.3 deals with the definition of decentralisation of political decision-making. In particular with the question how at a local level the government tries to involve her citizens and other parties in the process of decision-making on the development of self-help settlements and the problems arising. In paragraph 2.4 the development of participation will be discussed in order to get an insight in the ways in which stakeholders are involved in the process of neighbourhood improvement. The research questions of this research shall be illustrated in paragraph 2.5. In paragraph 2.6 the variables which may influence the process of neighbourhood improvement either directly or indirectly will be combined into a conceptual model.

2.1 Progressive self-help

Neighbourhood development in self-help settlements begins anywhere and develops as time passes. It usually starts with an invasion of migrants at the periphery of a metropolitan city, occupying public or private land in their search for their own piece of land on which to build their own home. By settling down in a new self-help settlement in the city they hope for a better future. Often the occupation of the land is illegal, but sometimes the land is purchased. In Peru the central government sometimes meets the needs of people wanting to build their own house (see chapter 1).

Self-help houses are built with whatever materials may be found. In the beginning self-help houses are mainly built with rush mats or timber, the floor is unfinished and the roof is made of corrugated iron or plastic. 70 % of the residents will invest in their property in the course of time. This is called progressive self-help (Ferguson & Navarrete, 2003, p.309). Gradually the owner improves his property and builds extensions whenever the money is available.

Often the walls are rebuilt in brick, a durable roof is constructed or a better floor is laid. Extensions to their home may be financed from the household money, with the help of friends/acquaintances or by other means and – in the course of time – through small loans on the base of formal ownership (see paragraph 2.2). In less recent urban areas self-help also exists. The residents in these areas extend their houses by adding a second or third floor onto a flat concrete roof. This process is comparable with the self-help settlements on the outskirts of the city with mainly level extensions.

The size of extensions of a self-help house, horizontal as well as vertical, to be realised by the owner, depends on the size of the building-site and its physical conditions (nature of sub-soil, the situation of the settlement, the climate and the chance of earthquakes in the area.). In the majority of the towns the most efficient/economical size of a parcel of land for building a self-help house on is between 80 and 120 m². In the central areas of the towns self-help houses are usually extended vertically because the lots are too small for horizontal extensions (Bredenoord & van Lindert, 2010, p.283).

After the migrants are more or less settled they form together neighbourhood/communal organizations in order to exert pressure on the government for support in obtaining basic- and social facilities. In the meantime when official facilities are still lacking, illegal ways are being used, if possible, to obtain water and electricity. In the areas where infrastructure is laid on and other services are being provided by the authorities the price of land rises, but the residents will invest more in their property. Finally a self-help settlement can become a regular part of the city. In course of a few decennia it will not be different from other parts of the urban area (Ferguson & Navarrete, 2003, p.313).

In the scientific literature on urban development and regional planning in Peru self-help settlements are generally described as “*asentamientos humanos*”, areas which are occupied without taking into account anybody’s ownership rights (municipal, communal, private or fiscal), with or without cooperation of the local authorities. No officially approved plans exist for these settlements. The self-help houses exhibit great variety. Facilities lacking in the area may be water, garbage collection, street lightning, sidewalks, roads etc. (Chambers, 2005).

In the sixties of last century the self-help settlements were called slums (places with lots of delinquency and social unrest) – (Hall, 2002).

The UN-habitat (2003, p.5) describes life in self-help settlements in developing countries as

follows: "people living in self-help settlements often have no public facilities and their waste and excrements can be found at street corners. They live illegally in the city because they created their own manner of living without any cooperation of a local authority such as a council or other local authority. These people have no formal landownership rights and are not registered in the public register of the community. They therefore are forced to find employment at the informal labour market. They have no access to the formal institutions¹ of society, education or medical care. Governments mostly omit to provide the population of self-help settlements with public facilities, which hampers the peoples' attempt to create their own living environment. People living in self-help settlements have little means to support their own life and to build a roof over their heads. When institutions fail their life expectations are poor".

According to Turner this image does not in the least agree with reality in the "*asentamientos humanos*". According to him the most important basic elements for the development of a self-help settlement are a positive view of the residents and their families on the possibilities for development and a wish for a strong social identity, with as main motives the safeguarding of their housing and its ownership and the access of their children to education (Mangin & Turner, 1968, p.155).

Turner stated that the situation – and in particular the financial situation - of residents/households in self-help settlements is gradually changing and that these changes have consequences for/are influencing their wishes regarding their residential area, their ownership rights and the availability of facilities. In order to research these changes, Turner differentiated between residents of self-help settlements in the centre of a city and those at the outskirts. The first group, the so-called "*bridge headers*" supposedly opted for a central location to be close to their place of work or at any rate near employment. The other group, the "*consolidators*" are often new to the city and mainly want their own house. Thereby they seem the quality of their house less important than the (legal) possibilities for gradual development of the structure into a sound house.

In the course of time Turner's ideas – called the principle of "progressive self-help"- were accepted by most international development organizations that are involved in urban development (Fernandez-Maldonado, 2007, p.7). So it could be claimed that, because physical expansion of most Latin-American cities takes place without much cooperation or financial help from government and entrepreneurs, "*progressive self-help*" for people with low and average incomes is a pre-eminently suitable way to eventually obtain their own home. Something they would not be able to manage otherwise. Thus "progressive self-help" may be seen as an essential contribution to the solution of housing problems (Mangin, 1967).

For that matter, a development like this – totally uncoordinated - might turn out to be very costly (Mathey, 1992; Navarete, 1990). The solution of problems, respectively the renovation of a self-help settlement that is illegally occupying a certain area may bring about large public and private expenses. Authorities that are restructuring these area's sometimes have to demolish houses in the self-help settlements to make room for infrastructure and other basic facilities. Often the consequence of a similar process is that part of the population – 5 to 20 % - has to be re-located. As long as this has not been accomplished many households live in chaotic, unhealthy circumstances because of lack of those basic facilities modern living requires (Navarete, 1990).

In chapter 6 the idea of "*progressive self-help*" is used to analyse the history and development of the researched settlements and to get an insight into the mobility of the residents and especially their motives for moving to and living in a self-help settlement. Also to describe the development of the self-help settlements: the ways in which the residents created their neighbourhood and settlement, what are their social-economical characteristics, the quality of the houses, what is public life like and what are the problems that present themselves. Chapter 7 analyses the – possible – role of the government in developing the researched self-help settlements.

¹ North describes the institutions such as laws and articles of association that define the structure of society; the rules of the game which are defined as the way in which the game is played (North, 1990, p.345).

2.2 The role of land-/home ownership and its formalisation in the development of a neighbourhood or community in a self-help settlement

How high the user's value of a house in a self-help settlement in developing countries may be, economically it has little or no value. Literature mentions here various causes. Often the residents do not get a chance to create value as they have no access to loans that would enable them to invest in a sound property or in its extension (UNCHS, 2001). Consequently households owning their own home will live in it for a very long time, until they finally finished building. For after buying food and paying for gas, water and electricity not much money is left to spend on the house (De Soto, 2000). This is the reason that the housing market is insignificant. Also government policy- or the lack thereof - often makes it very difficult for households to rent a house somewhere they can afford (Gilbert, Olinto, Coulomb & Necochea, 1993).

Many authorities take the view that most people prefer their own home to a rental place, because with property one can generate capital and thus improve one's living circumstances. As mentioned before the formal ownership of a piece of land/ a house entitles its owner - who has to be registered with the local public registration office -to generate capital by means of his own business: a shop, a restaurant, café or otherwise. Other possibilities are an extension of the house on his own land or letting the house in order to increase his income.

When the residents have a permanent residence (registered) they are eligible for medical care, educational establishments and formal employment (with fixed contract).

For the people building a livelihood in a self-help settlement home-ownership can be of great (financial) value in case of illness or unemployment of the main bread -winner or other emergencies affecting those families that belong to the low-income category in developing countries (UNCHS, 1996).

Home ownership also has the advantage of providing old-age security for the owners or as inheritance for the children, something that many households see as a parent's obligation (Gilbert, 1999, p.1074).

Often, especially during election-time, the government's policy (implementation) to provide people with their own parcel of land as a motivation to improve their own circumstances is dominated by the endeavour to gain votes (NB: the story of legalising land in chapter 1).

A drawback of progressive self-help is the fact that often it seems impossible to reach the preconceived object - to realize the generated capital and to move away. In many cases it proves to be very difficult for a land-/home owner to sell his property after it has been consolidated/finished (Ferguson & Navarrette, 2003, p.312).

Recently legalisation of land rights has been suggested as a way to combat poverty in developing countries. In the relevant discussion the central question is why the poor in developing countries do not get the advantages of legal ownership of their property whereas in developed countries this is seen as a normal state of affairs. The poor majority is therefore excluded from the formal economy and the economic potential. According to De Soto (2000, pp. 6-7): "*the poor population of developing countries, 5/6 part of the world -population, has near-access to almost everything but lacks a formal ownership structure as an incitement to generate new capital*".

The people have the land but no right of disposal, houses without ownership certificates, many valuable skills but no papers to prove this. Consequently the larger part of the population of developing countries has little chance to integrate into the formal economy. On the base of De Soto's vision that the issue of ownership titles can have a favourable effect on the inclination to invest and create capital, governments in developing countries should in fact do everything possible to diminish obstacles and expenses regarding the purchase of a house, a piece of land or the start of a small business (see further, e.g. Feder & Onchan, 1987; Johnson et al, 2002; Smith 2004).

According to Sjaastad and Cousins (2008, p.2) "there is sufficient and convincing proof that formalized ownership is of great value to the economic development of the population" (Woodruff, 2001; Benjaminsen and Sjaastad, 2002).

In reality in many poverty stricken communities such as self-help settlements the possibilities of land ownership are often based on self-invented formalization procedures for their occupied or purchased land, such as simple descriptions or drawings and confirmation by a series of witnesses or civil servants. In the eyes of the outside world this is an uncertain situation that has to be removed by

formalization of various entitlements at a local level. Gilbert (2002, p.16) states that “the authorities should follow de Soto’s vision by offering land ownership certificates and leaving the supply of facilities, the infrastructure, the possibilities for loans and the registration of home ownership to the market”. In fact Gilbert discovered that credit provision and the market turnover in Bogota declined after the legalization of the self-help houses in its settlements. Calderon (2004) thought that the issue of land rights to residents of self-help settlements in Lima only had a minimal effect. Landowners were hardly in need of loans, the residents invested no more in their property after legalization of their property than before. Actually they were worse off as banks would not issue loans to residents of self-help settlements.

Locally residents hardly ever participate in formalization programmes drawn up by the ILD (Institution for freedom and democracy – Herman de Soto). The reason is according to de Soto (2002, p.379) that everybody simply wants to see his (land)-ownership safely protected by means of proper legislation and rules. One of the documents of the ILD states: *In truth, when and anywhere where people are approached for legalizing their land rights, their response is always positive* (ILD, 2004, p. 4).

When the demand for legalisation is evident it should be the task of the government, with or without help from the ILD, to simply sort out the land rights in question, to adjust and register them and to enter the new owners in the public register. De Soto’s ILD states that the national government should intervene to realise the local legalisation programmes of land rights. This could be a first step to bring about change. At local level there is much protest against these programmes as the given solutions do not seem to meet with the owners’ demands (Sikor, 2004). The residents of self-help settlements often campaign in big numbers against a legalisation programme of their landownership. The question arises whether the national government has the capacity to adequately involve its citizens in a similar programme and if it is prepared to transfer the administrative tasks regarding landownership to the local authorities which are better informed of the developments going on within their region. Formalisation of landownership can give rise to irregularities, where the rich and those who are well-informed might influence the process according to their own priorities and demands (Sjaastad & Cousins, 2008, p.4).

Whether this is actually happening in Nuevo Pachacútec will be explained in chapter 6, where the role of (formalisation of) land- and home ownership in the development of neighbourhood and community shall be examined. There answers will have to be given to questions as:

Can formalisation of land rights be presented as a way to combat poverty in self-help settlements and as one of the key drivers behind the process of neighbourhood improvement?

What is the significance for residents in a self-help settlement of formally owning your own house and land?

Do they now have access to basic facilities and are they supposed to collectively look after their maintenance?

Do they have to be registered at a permanent address in their settlement before the government or another body (NGO, voluntary organisation or private party) is prepared to finance and realise an improvement project for/with them?

Lastly: In Latin-America possessing a certificate of ownership of the self-help house is becoming more and more important, because during the 1990’s the population –growth in the more larger cities has declined. The large migration streams from the past from country to city have diminished. The natural population growth- in terms of births and deaths per 1000 – has superseded migration as the cause of growth of the big cities. Today a large part of the housing market in Latin-America consists of self-help houses (Gilbert, 1999).

2.3 The significance of decentralisation of political decision-making for the delivery of facilities in self-help settlements.

Decentralisation may be defined in various ways and consequently will have several definitions. Here it means the transfer of authority and responsibility for public functions from the central government to subordinate, lower tiered government organisations (Nijenhuis, 2006, p.111).

In paragraph 2.2 mention was made of the fact that decentralisation is an important factor with formalisation of land rights and development of home ownership. Decentralisation enables the local government to act adequately when legalising ownership certificates, with registration of residents of self-help settlements at their public registration office and formally entering these settlements as urban expansion with the land registry office. But does decentralisation also lead to a better delivery of services and other facilities for self-help settlements? That depends on the residents' wishes and the demands of the local authorities with regard to the drawing up and realisation of projects (such as infrastructure, education, health care etc.). By a better delivery of facilities may be understood: less power cuts and failure of water supply, but also improvement of education or more efficient public transport. Decentralization can lead to better results because local authorities are better informed of the developments in their municipality whenever decisions have to be made about neighbourhood improvement projects. Thus local governments can subsidize residents organizations to provide meals to the people at low cost.

Three variants of decentralization are being distinguished here: political, territorial and financial.

Political decentralization is meant to launch a process of democratization by giving citizens or their representatives more say in formulating and executing government's policy with regard to their own wishes and priorities for the development of the country, the province or the municipality. The neighbourhood's representative in self-help settlements could be a community- or neighbourhood leader. The nature of the rights of citizens and their chosen representatives shall be outlined in paragraph 2.3.1. In practice the responsibility for public provisions is allotted to municipalities or some other administration where the mayor and the council are chosen by the people.

Territorial decentralization means the transfer of power, responsibilities and financial means for the delivery of services within the public sector from the national government and associated bodies to the local autonomous administrations. In order to make a successful transfer of responsible power possible the decentralized units have to have sufficient financial means and be able to make independent investment decisions.

Financial decentralization is an instrument that could contribute to this independence.

The level of decentralization can be defined by dividing the cost of investments by lower authorities by those of the national government (Nijenhuis, 2006, p.112). Decentralization as a basis for the stimulation of citizen-participation in political decision-making can be found in various Latin-American cities in Brazil and Peru.

In most Latin-American countries the governing bodies of the authorities have a centralist tradition. The origin of this tradition can be found in the political-territorial organization during colonial times (16th till 20th century), when all political decisions were taken by the central government (Nickson, 1995).

During the 1980's many Latin-American governments introduced reforms in their country. Thus a division can be made between federal and unitary countries. Argentina, Brazil, Mexico and Venezuela are amongst the first category. In these countries decentralization is mainly directed at strengthening the position of power of the provinces and the nation. In unitary countries the position of power lies more at local, municipal level. With the exception of Peru, where the nation also increased the position of power of the provinces (see chapter 4).

The collapse of authoritarian, autocratic regimes in Latin-American countries was a stimulant for reforms towards decentralization (Schuurman, 1996, p.9; Manor, 1999, p.30). Traditionally participation of the population in the government's decision-making was as good as non-existent.

Till today the authoritarian nature of the state remains one of its characteristics in Latin-America. Mainly in countries with a large originally native population such as Guatemala and Peru citizens' participation in public life is quite normal. In the last decennia the presence of authoritarian and centralistic military governments has had a strong negative effect on the people's part in local

political decision-making (Nijenhuis, 2006, p.116). In Lima decentralization directly to municipal level within the city instead of to government-level of the metropolis would be most efficient. After which all 49 municipalities of Lima should have to be supervised.

2.3.1 The role of participatory governance: involvement of citizens in political decision-making regarding neighbourhood development

How can the government involve the actors concerned and especially the citizens themselves in the political decision-making regarding the preparation, drafting and realisation of projects for neighbourhood improvements of communities and neighbourhoods? In this paragraph a concept will be outlined that is used to define the role of government institutions in the process of neighbourhood improvement.

One of the first tasks of the government is to provide a properly functioning civil service that guarantees an efficient development of an area and provides sufficient (basic and social) public facilities for its population. In the context of decentralisation the government should be clear about the population's wishes and needs and place them in some sort of participatory process, wherein at local level, with regard to public decision-making each part of the population should have a vote to state its wishes and demands.

By participatory governance Van Lindert (2007, pp.4-5): *"understands institutionalized processes where stakeholders can take part in activities such as needs assessments, agenda setting, decision-making, evaluation and monitoring"*. A different formulation is Mitlin's (2004, pp. 3-5): *"Institutions and processes, formal as well as informal, that provide the interaction between the state and a number of other stakeholders which are being influenced by the government's activities"*.

According to Hordijk (2005, p.221) one can only speak of participatory governance if authorities cooperate with groups that collectively pursue a certain object that descends the individual interest, and if in theory and practice the decision-making is not constricted to a specific neighbourhood, community or a single development and besides bears witness to sufficient vision.

In the international development debate the local government is seen as the key actor that should provide transparent solutions to local problems. The concept of participatory governance appears to be usable for the analysis of the way(s) in which the government tries to involve citizens and other stakeholders in the process of political decision-making about the initiation of development plans, the formation and execution of public investment projects (infrastructure, education, health care etc.) and in the answer to the question why these activities did not take place.

The involvement of citizens as a party in matters regarding public investment projects may also be obtained by means of the participatory budget. An explanation of its function and the way it operates shall be given in paragraph 4.3. It will become clear how citizens may take their responsibility and become co-governors of their own municipality.

In the process of neighbourhood improvement, participatory governance might be used to involve all participants in the process of neighbourhood improvement within the self-help settlements to use their full potential (UNCHS, 1990. p.8). Governments should not so much concentrate on immediate interference but should endeavour to create mechanisms and supporting measures to enable the residents, neighbourhood organisations and the private sector to realise their own housing and other basic and social facilities. The government's active role lies not in the actually planned territorial housing projects but in facilitating and regulating the organizational framework within which other parties concerned might be active (UNCHS, 1991, p.8).

Summarizing: the local government stimulates society to take their responsibility and next decides on its own contribution, using citizens' initiatives. The local government develops legal, territorial, financial and regional planning, "frameworks", to stimulate communities, neighbourhoods, self-help settlements to unite into neighbourhood and community-based organisations, in order to be able to manage the local needs and demands regarding neighbourhood development and undertake collective actions (Helmsing, 2002, p.323).

Participatory governance and especially its activating role, seems attractive but in practice there appears to be little consensus about its exact meaning.

2.4 The process of participatory development

The concept of participatory development could be used to obtain insight in the ways in which stakeholders are involved in the process of neighbourhood improvement. Firstly by investigating whether and how their own aims, wishes and priorities are being formulated in relation to proposed projects and activities and how they should be realised. Is it a matter of mutual encouragement to participate in the process? Secondly by viewing participation as an important condition for effective and possibly lasting cooperation between actors in order to solve mutual problems (Cambell & Vaiuio-Mattila, 2003, p.420).

Private aims, wishes and priorities are formulated in project-proposals by NGO's, neighbourhood/-community based organisations, entrepreneurs and other stakeholders. The purport of such a proposal for example might be the building of a school for the children of the families in a self-help settlement, or the financing of self-help housing by a NGO in some community or neighbourhood. It could also relate to governmental, public projects regarding health care (the construction of a hospital or health centre), employment and infrastructure (construction of roads, pavement, sidewalks).

Literature mentions various definitions of the concept of participatory development: *"people's participation (McCall, 1987), community participation (Midgeley et al., 1986), people's own development (Swantz, 1986), community development and self-help"* (paragraph 2.1;Verhagen, 1987).

According to the UN (1979,p.225) community participation may be defined as: *"the sharing of the advantages of development, the population's active contribution to their community/society's development and its involvement in decision-making at all (administrative) levels in society"*.

Community is a vague concept that can be interpreted in different ways. Participation of the community or settlement assumes that the interests of the community, neighbourhood, city etc. are being represented, What are these interests?

In this research the concept of community will be used to define the community of Nuevo Pachacútec and its organisation structure on a local level.

2.4.1 The role of stakeholders in the decision-making process for the development of their community/neighbourhood in a self-help settlement

Stakeholders are organisations agencies whereby each stakeholder has a stake in the outcome of a decision (Dale, 1995, p.5). A neighbourhood- community based organisation is a stakeholder in the political process of decision-making regarding neighbourhood- community improvement.

After the migrants have settled in a self-help settlement they collectively form organisations to stimulate the authorities to support them in the development of their neighbourhood, community by providing basic and social facilities. In chapter 5 the origin of these organisations in the self-help settlements of Nuevo Pachacútec shall be further explained. The actions of the organisations may be seen as a kind of project proposal whereby an attempt is made to clarify their own aims, wishes and priorities for development of their environment to the authorities.

To take responsibility in the process of decision-making can cause contradictions for the stakeholders concerned that are trying to partake in this process, as not every stakeholder (individual or organisation) has the power to secure a larger part in the outcome of a decision. That part is related to the way in which the various process owners take part in the decision-making for the solution of a problem.

For example, if the demand is for basic- and/or social facilities in a self-help settlement because the lack thereof causes unfavourable living circumstances for its residents, the latter can decide to collectively campaign and to cooperate in a neighbourhood-/community based organisation, or individually try to get access to water, electricity or another provision, thus hoping to improve their way of life (Cambell & Vainio-Mattila 2003, p. 428).

The role of the citizen is mainly defined by his citizenship, the fact that he/she is a member of a nation. Citizens can partake in public matters. In many cases this participation is decided by the right to vote or to have one's opinion count as a public opinion. Thus two aspects of citizenship can be distinguished. The first is the citizenship as a public right; this refers to the classical liberal meaning, the status that formally entitles individuals to vote, to the right to own property (house, business, shares, etc.), to freedom of speech and organisation. These social rights can help people to actively participate in the process of political decision-making and to promote their own wishes and priorities with regard to the building and development of their own community or neighbourhood

within a self-help settlement. The second aspect of citizenship is citizenship as a procedure with regard to authorities in daily practice. There are various ways in which people who are able as citizens to actively partake in the process of political decision-making may do so: participation in a town-, community- or neighbourhood forum, in projects for community-/neighbourhood development, etcetera.

Exercising one's citizenship means that people not only are allowed to influence decisions being made but that they actually use these rights. This applies especially to those decisions concerning their own environment.

This is therefore a far more direct way of exercising influence than by voting (Hordijk, 2005, pp.220-221). When citizens can play a part in political decision-making some kind of co-governance may be reached between authorities and citizens. In such a relationship citizens not only can present their wishes and priorities to their municipality but they will also be heard.

Which stakeholder, which body (public or private party, NGO, entrepreneur or a communal organisation) is most suitable to formulate what kind of activities are necessary to develop a neighbourhood or community in a self-help settlement?

In principle public facilities such as water, electricity, medical care (hospital, pharmacy), infrastructure (roads, footpaths) should be provided by the public institution responsible for the supply of these facilities, namely the local, regional or national government. For the question here is that goods that cannot be profitably produced individually should be collectively supplied by way of communal management (Bennett, 1990). Governments in Latin-America are usually not set to take responsibility for the supply of public facilities (water supply system or waste water purification system). They lack a functional framework of institutional and regional planning for the development of a demarcated area (Phumpiu & Gustaffsen, 2009, p.19). NGO's can also undertake the supply of basic and social facilities to self-help settlements to stimulate the development of communities and neighbourhoods. They mostly play an active role here already with projects such as a provisional water supply system or the building of a temporary school, whenever the authorities have not shown any initiative as yet.

NGO's are important institutions in the realisation of neighbourhood improvement projects because they operate autonomously and independently from the local authorities. They can conclude agreements with public bodies (water- or electricity supply works) to cooperate to be able to privately install a electricity network and/or water supply system (or have it installed) in a self-help settlement, long before the government would be ready to act (Helmsing, 2002, pp. 319-320). In developing countries one often finds neighbourhood-/community based organisations (CBO's), territorial organisations of residents and/or functional groups which have been established after the migrants moved to the settlement, for the benefit of obtaining the necessary facilities and also to defend themselves against external threats. Collectively these organisations may unite to form an overall organisation, thus having even more influence on the process of decision-making. The way in which facilities are realised depends mainly on the extent of participation by citizens, whether or not in organised groups, in the public decision-making about the development of their environment.

Some factors, however, can hamper the functioning of a district or neighbourhood organisation (Diaz Alebertini 1994; Ypeij 2000; Lenten 1993):

Most neighbourhood-/district leaders are volunteers with in many cases very little time for neighbourhood problems. They often do not have the necessary means to permanently manage their community or neighbourhood and lack all financial or material means. Also where financial matters are concerned the residents often do not trust their neighbourhood leaders (Hordijk, 2000, p.94-96).

In chapter 7 the roles of residents, neighbourhood organisations and other stakeholders in the process of neighbourhood improvement shall be analysed.

2.4.2 Significance of co-operation for the development of communities and neighbourhoods in self-help settlements

Partnerships are becoming less and less popular in Latin-America because they are mainly beneficial to the private sector and hardly to the public sector and society as a whole.

According to Adams-Matson (2004, p.2) a *partnership* is a voluntary cooperation between two or more parties in order to collectively define a (development-) problem, where each party contributes to the solution of the problem. Partnerships could be classified, depending on the nature of the partners, as the public sector, the private sector, neighbourhood/community based organisation, (international) NGO's and commercial unions.

According to literature four kinds of partnerships can be distinguished. In a *tri-sector partnership* three parties co-operate: the government, the entrepreneurs and the rest of society. It is not clear if stakeholders such as the informal sector, the university, donor organisations or the media are included (Rein et al. 2005).

A *bi-sector partnership* consists only of the public and the private sector.

In *cross-sector partnerships* any party can co-operate, no potential partners are excluded. In the *public-public partnership* only bodies from the public sector, neighbourhood-/community based organisations, NGO's, international and other public organisations may take part: the private sector does not partake in this kind of partnership (Hoedeman 2006; Holland 2005).

Partnerships in Latin-America come from international aid-programmes for emergencies, the prevention of (natural) disasters and also from the practice of development-aid. The trend was to support communities by means of development-projects, conducted by NGO's in independent local partnerships.

Partnerships in order to achieve activities in aid of neighbourhood improvement such as the supply of public facilities – especially water and sanitary provisions – were considered by the World Bank (2006) to be partnership-agreements for privatization (Hall, 2001). Often these partnerships lack an institutional framework within which they can work, mainly on legislation and regulations, that should give shape to this framework (Phumpiu & Gustaffson, 2009, p.26).

The question is whether partnership may be seen as a successful instrument for the development and supply of public facilities in self-help settlements.

Therefore in this research the concept of partnerships shall be used in chapter 7, to describe, as far as possible, the co-operation between the neighbourhood organisations, citizens and other stakeholders at the activities undertaken individually and collectively for the development of the self-help settlements in Nuevo Pachacútec.

2.5 Discussion

The previous paragraphs of this chapter provided important insights into the concepts central to this research. Here will be stated how they are applicable to the central question and the sub-questions. The central question is:

What are the key drivers behind the process of neighbourhood improvement in the self-help settlements of Nuevo Pachacútec, and what are the roles of the residents and other stakeholders in this process?

From the introduction and the discussed relevant literature it appears that the process of neighbourhood improvement is a development that starts somewhere and that will change in the course of time. The objective of this research is to discover the key drivers behind this process or – in other words - : How does this process work in the self-help settlements of Nuevo Pachacútec, who does what and for what reason?

In order to get an impression how the process of neighbourhood improvement takes place in Nuevo Pachacútec four neighbourhoods have been selected for this research. In the next chapter the method of selection will be explained as well as the methods that were chosen to be able to establish possible differences in development.

The sub-questions of the research are:

1. *How and where lived the residents of Nuevo Pachacútec before they came to Nuevo Pachacútec and why do they live there now?*
2. *What are the general features of the surveyed self-help settlements in Nuevo Pachacútec?*
3. *What role do land ownership and (formalised) land rights play in the development of the surveyed self-help settlements of Nuevo Pachacútec.*
4. *What kind of activities are being partaken by the several actors (the residents, neighbourhood organizations and other stakeholders) in the researched self-help settlements to contribute to an improvement of their neighbourhood?*
5. *How and in what measure do neighbourhood organizations, residents and other stakeholders concerned cooperate in the process of neighbourhood improvement?*
6. *What is the significance of these activities for the improvement of the neighbourhood?*

The first question concerns the migration history of the residents of Nuevo Pachacútec: why did he or she chose to live in Nuevo Pachacútec and where did he or she lived before. The answers will provide information to sketch the background situation of the (researched) neighbourhoods, the research population, of the origin of the self-help settlements and of a possible shift in the traditional migration movement from country to town.

The answers to question 2 regarding the general characteristics of the self-help settlements show a picture of the actual condition of the neighbourhoods in Nuevo Pachacútec: the number of residents, their demographic and social-economical features, the condition and qualitative aspects of the self-help houses and the ownership situations of plots and houses.

Question 3 will lead to insight in the significance of land- and home ownership and its formalisation for the development of the research self-help settlements.

When answering question 4 one can think of activities such as neighbourhood- meetings, for example in case of a change in the water supply system, how to be more efficient when using the water, or about the price of electricity or the question whether the government as a public body is taking its task as provider of basic facilities like medical care, a pharmacy, water and electricity seriously. But also lesser activities can be thought of such as a small project initiated by an NGO for supporting a family by helping it to build a solid self-help house.

Question 5 will show the measure of cooperation between neighbourhood organisations, residents and other stakeholders in the process of neighbourhood improvement. Who takes the decisions for the execution of a project or the solution of a problem and how is the construction of public works or the draft of a development plan achieved. There are different forms of co-operation, for example partnerships (paragraph 2.4.2) of neighbourhood organisations (water administration organisations, neighbourhood watch organisations, sports commissions etc.). But also the construction of a sports field or a school.

When is known which activities are being undertaken by neighbourhood organisations, residents and other stakeholders in the process of neighbourhood improvement and also the measure of co-operation between these stakeholders, an analysis can be made of the significance of these activities for neighbourhood –improvement in Nuevo Pachacútec: question 6.

2.6 Conceptual model

In the search for an answer to the central question and the sub-questions a conceptual model has been drafted. The main question is: **What are the key drivers behind the process of neighbourhood improvement in the self-help settlements of Nuevo Pachacútec and what and what are the roles of the residents and other stakeholders in this process?**

In order to discover the key drivers behind this process the general characteristics of these self-help settlements have to be investigated, as well as the demographic and social-economical characteristics of their inhabitants. The nature of the self-help houses and the situation of land- and home ownership.

A self-help settlements has to pass through various stages before one can speak of an actual improvement of the neighbourhood. The development begins with the occupation by migrants of a piece of land somewhere on the outskirts of the city, without any infrastructure (unpaved roads, no connection to important main roads, at the most sandy roads), without water- and electricity supply.

The land has no official residential purpose recorded in the municipal or provincial planning. The migrants build a shelter/house with materials that they can find. In the beginning the houses consist of rush matting, wood, a soft floor and a corrugated or plastic roof. Improvement is slow: whenever money is available to renovate or expand the house by building a brick wall, a firmer roof or a better floor. Often these extensions/improvements are financed with the help of friends/relatives, small loans, the households savings and other means.

The next step in the process of neighbourhood improvement is trying to achieve co-operation between residents (in neighbourhood-/community based organisations) and other stakeholders such as public utilities, in order to initiate projects for installing basic facilities (water and electricity) that will lead to more agreeable living conditions.

Whenever a new self-help settlement has been recognised by the government and its inhabitants have been registered with the public registration office the municipality is obliged to take care of the development of the infrastructure (roads, sidewalks, parks) and of basic- and social facilities (water, power, schools, hospitals).

Obtaining the (formal) ownership rights of a piece of land and its registration with the public registration office entitles the owner to generate capital by improvement/extension of the house and/or the establishment of his own business (shop, restaurant, café, etc.). When registered the residents are also entitled to medical care, education and formal employment (with a permanent contract), because now they have a permanent abode.

Sometimes it takes years to obtain and register the ownership titles and subsequently to have the necessary facilities installed by the municipality (varying between 1,5, 10 and even 20 years).

What kind of activities may be undertaken by stakeholders in self-help settlements that will contribute to the improvement of their neighbourhood?

These activities might include a proposal for the construction of a school or market, or a strategic development plan on education, social safety/public policy, public provisions, health care, etc. Developing such a plan may take quite some time, depending on the local situation, the legislation and regulatory with regard to the development of new neighbourhoods, who are the most important players, the government, the private sector, the citizens themselves, which party is responsible for what and what should be its contribution. Sometimes NGO's are active, trying to contribute to the improvement of a neighbourhood with their projects (construction of a school, financing self-help housing, day-care, social safety).

It is also important whether the authorities will take the responsibility for the supply of facilities or if the residents themselves will be forced to lobby with the bodies concerned to get what they need.

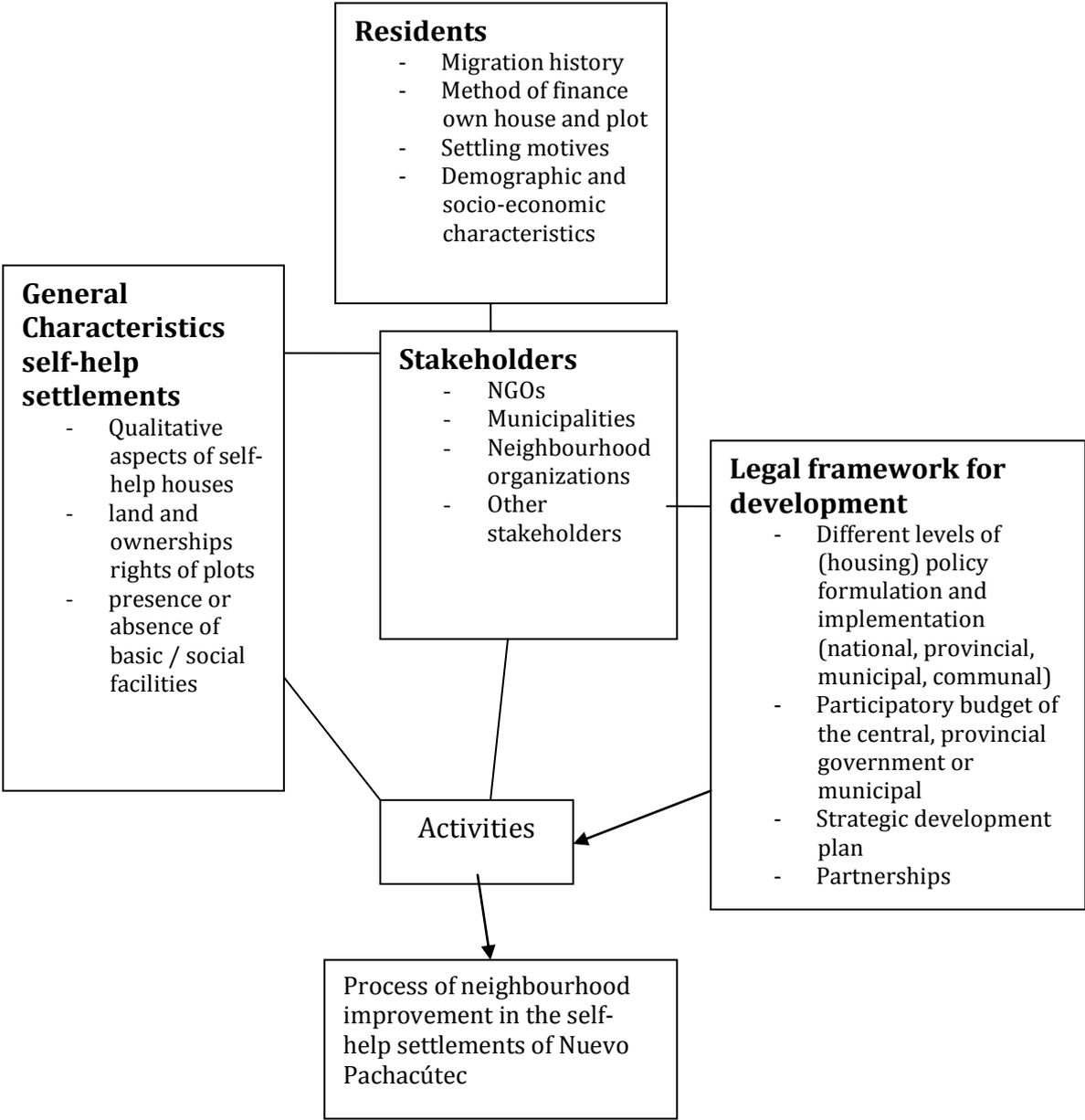
A development plan should state clearly which are the parties, where are they established and what are the agreements on the wishes and demands of the inhabitants. An imaginary framework may be created that fits within the actual legislation and regulatory, dependent on the way in which the activities resulting from the strategic development plan are carried out and whether or not they lead

to neighbourhood improvement of self-help settlements, as well as on the measure of cooperation between the parties.

One of the elements of this imaginary framework is the participatory budget. Parties as NGO's, neighbourhood organisations or establishments in self-help settlements are entitled to a certain amount of money from the central, regional or local government for sound project suggestions for the development of the neighbourhood.

The concepts in the conceptual model have already for the larger part been explained in the previous paragraph. Chapter 2 is the source of inspiration for this conceptual model. Appendix II gives a further comment on the used terminology and characteristics.

Figure 2.1: Conceptual model



3 Methodology

3.1 Research methods

For the research project various research methods were used to be able to collect sufficient information and the required empiric data to answer the research questions posed in chapter 1 and paragraph 2.5. The methods will be explained in the following paragraphs.

3.1.1 Observation research (situational analysis)

Firstly material has been collected by making photos and doing field observation in Nuevo Pachacútec to get an idea of the size of the city and of the self-help settlements, to be able to determine which basic and other social provisions are present (schools, a hospital, electricity, water or sewerage etc.) and of what material the (self-help) houses had been built. Next, during the orientation and reconnaissance stage of the research with the assistance of the co-operative organisation for the various parts of the self-help settlements in the municipality of Ventanilla, the addresses of the leaders of all neighbourhoods in Nuevo Pachacútec were acquired, as well as the phone numbers of some of the leaders, this with the help of representatives of the social safety organisation.

Furthermore field observations were done in Nuevo Pachacútec in order to select four neighbourhoods for comparison with regard to their development and the discovery of possible differences. The selection of these neighbourhoods is explained in the next paragraph.

3.1.2 The household survey, random sample and bias

In this research project a quantitative method of data collecting was used, namely a *“household survey”*. This choice was made to be able to acquire an image of the general characteristics of the self-help settlements of Nuevo Pachacútec. The questions concerned how and where the residents used to live before, why they now live in Nuevo Pachacútec, whether they belong to a neighbourhood organisation and/or take part in the various activities that are being organised in their neighbourhood. Also their opinion was asked of the quality of the present basic- and other social provisions or the lack thereof, and whether they knew which institutions contribute to their neighbourhood’s development.

The household survey was drawn up with the help of the conceptual model described in the previous chapter. The survey was carried out in 54 households in neighbourhood A2, 38 households in neighbourhood B4 and 32 households in the neighbourhoods 2 and 3 of El Mirador in Nuevo Pachacútec. An example of the household survey has been included in appendix III and a list of the households concerned in appendix IV.

So the population for this research was made up by households of the said neighbourhoods of Nuevo Pachacútec. Prerequisite is one household per lot/building, consisting of one or more residents. The person questioned normally is the head of the household, the housewife or when absent, another person older than 15 years.

Nuevo Pachacútec is situated in the northern part of Ventanilla. This municipality is one of six being part of the province of Callao, north of the metropole of Lima. In chapters 4 and 5 the geographic and social-economic characteristics of these areas will be dealt with. In order to avoid a biased vision of the way in which the process of neighbourhood development in the settlements of Nuevo Pachacútec takes place, four neighbourhoods have been selected for this research. A comparison will be made between these four with regard to their general characteristics and the presence of basic and/or other facilities.

From Nuevo Pachacútec’s 21 neighbourhoods, the neighbourhoods A2 and B4 have been randomly chosen, for reason that the characteristics of the 21 neighbourhoods correspond in many ways. For example each neighbourhood has its own leader, small book store, green-grocery and other small shops as well as the neighbourhood organizations such as the *“Milk glass committee”*(milk for babies), safety- and water organizations. Also the self-help houses are very similar in quality and the use of material. Within the neighbourhoods there is a difference between housing blocks. Each block has its own characteristics, either built of stone or rush matting, with a soft floor, etc. For an objective representation of the residents of the self-help settlements in Nuevo Pachacútec the largest neighbourhood, A4 has been compared with the somewhat smaller one B4. Also two neighbourhoods have been selected in El Mirador, a newer (2006) extension of Nuevo Pachacútec. These

neighbourhoods (2 and 3) show almost identical characteristics as neighbourhoods A2 and B4, the difference being that no school or medical centres can be found, whereas they do have all basic provisions at their disposal. Neighbourhoods A2 and B4 have no sewerage as yet. Thus 2 somewhat older (started in 2000) neighbourhoods and 2 more recent (started in 2006) neighbourhoods have been selected to find out if the differences will lead to other results.

3.1.3 Random test

For the enquiry a random test amongst 200 households in the four neighbourhoods in Nuevo Pachacútec has been carried out. For this test a number of housing blocks in each neighbourhood was selected: 8 blocks in neighbourhood A2, 5 in neighbourhood B4, 4 in neighbourhood nr. 2 and 3 blocks in neighbourhood nr. 3 in El Mirador. For the interviews 10 lots per block were selected. Neighbourhood A2 consists of 800 lots, neighbourhood B has 523 lots, neighbourhood nr. 2 consists of 370 lots and neighbourhood nr. 3 in El Mirador has 300 lots. In appendix V a list with the number of lots and their residents per neighbourhood has been included. A classification has been made in order to be able to make a random selection of 10 households per housing block. It was decided to follow a random method to prevent bias as not every dwelling in each housing block is occupied or renovated by its owner. In neighbourhoods A2 and B4 of Nuevo Pachacútec 12 of the 24 lots per housing block are uninhabited or without owner and in the neighbourhoods of El Mirador this applies to 8 of 18 lots per block. The cause of this will become clear in chapter 6.

To present an image of Nuevo Pachacútec a rough survey of the situation of the four neighbourhoods used for research and of the households questioned can be found in appendix VI. The selected housing blocks are marked in red.

3.1.4 Literature studies and interviews

An important part of this research project is the study of existing literature in order to obtain an academic view on the topics of research: the self-help settlements, the part of ownership of sites and dwellings and its formalisation, decentralisation, partnerships, stakeholders in the “decision-making” process and participatory development. Furthermore a study was made of literature and documents in order to get a better understanding of the relevant theoretical concepts and the context of research. The literature study has for the larger part been carried out during the preliminary stage of this research, to find out how this way of thinking could be applied to analyse the process of neighbourhood development in Nuevo Pachacútec. A qualitative analysis of the Strategic Development Plan Nuevo Pachacútec 2010 has been made to be able to outline a social-economic profile of Nuevo Pachacútec. In order to obtain an idea of the situation and development of Ventanilla use has been made of planning documents, mainly the development project of Ventanilla for 2006 – 2010.

For a situation analysis of Ventanilla Google- and other maps were used to get a proper impression of the various locations in Lima. A destination map from the land registry office of Ventanilla was used to indicate the location of the neighbourhoods concerned and the existing provisions. Metadata of the Instituto Geografía Nacional de Perú was used to make presentable maps of the location of Ventanilla in Lima, with the assistance of ARCGIS:

a geographical map of Lima, previous residence and place of birth of the occupants of the neighbourhoods. For the latter the standard classification in five categories was chosen for effective research of the differences between the four neighbourhoods.

The strategic development plan of Ventanilla for 2006 – 2015 shows the measure of cooperation between the council and the neighbourhood organizations, NGO's, occupants and others in the process of neighbourhood improvement. The role the government plays in this process, its activities in the way of renovation and its cooperation with other parties concerned was investigated with the help of planning documents of Ventanilla and the regional government of Callao (the Strategic Development Plan of Ventanilla 2006—2015, a diagnostic analysis of Ventanilla 2007, the development vision for Nuevo Pachacútec 2010, the plan for civil participation in the Callao region 2005 -2010). Also information was obtained about the process of decentralisation in the region/province of Callao.

In order to clarify the image of the activities of the various communal organizations and the measure of participation of the residents in those organizations and these activities use was also made of information obtained by the household enquiry.

The leaders of the four researched neighbourhoods were interviewed to find out how the communal organizations within their neighbourhood function, if they cooperate with each other, what kind of activities take place in aid of neighbourhood improvement and what is their contribution to the objects in view. In these interviews questions about the measure of cooperation with the council and its results as well as the presence of basic and other social provisions were raised.

To get a better idea of the way in which neighbourhood (communal) organizations and residents co-operate, two interviews were held with respectively the coordinator of the Pilot Project Nuevo Pachacútec, who is also the leader of neighbourhood A2 and the leader of neighbourhood E1 in Nuevo Pachacútec. The first interview was mainly held to learn more about the social political representation system of Nuevo Pachacútec. The interview with the leader of a not selected neighbourhood was meant to give depth to the results of the interviews with the leaders of the neighbourhoods A2, B4 and the neighbourhoods 2 and 3 of El Mirador.

In order to get some knowledge about the water supply system and the water problems in Nuevo Pachacútec the leaders and appraisers of the water organizations of neighbourhoods A2 and B4 were interviewed. Water organizations are neighbourhood bodies which are authorised for the water administration, the supervision of the maintenance and the security of the water reservoir, the waterworks network, the pylons and the quality of the provision. The president, secretary, technician, adviser and appraiser, all part of such a COVAAP, are chosen by the population in a neighbourhood board. The functioning of the waterworks system will be explained in chapter 5.

The purpose of these interviews was to find an answer to the question why some housing blocks in Nuevo Pachacútec pay differing prices for the water that is bought. Also interviewed was the coordinator of the waterworks project constructed in 2001/2 in Nuevo Pachacútec by the NGO Alternativa. Thus information was obtained about its construction and the measure of cooperation with the local, regional and national governments and the neighbourhood organizations in the self-help settlements of Nuevo Pachacútec.

Finally the leader of neighbourhood C3 in Nuevo Pachacútec was interviewed because she is a representative in the social-political representation system of Nuevo Pachacútec, on behalf of the council of Ventanilla and involved in its social development programs. In addition she takes an active part in various women's organizations within Ventanilla. A semi structural interview was chosen to learn more about the social reality of Nuevo Pachacútec: her perception of the standard of living and whether or not one can speak of satisfactory coordination of the local, regional and national governments with regard to the execution of the (social) development programs.

3.1.4 Pre-test

With the preparation of this research project a trial version was made of the household enquiry. To increase the validity of the research the enquiry has been adapted twice, in consultation with the tutor of the University San Marcos in Lima. It was tested by a few households to see in which measure the questions were understood as well as the nature of the possible answers. Six trial enquiries were carried out in various neighbourhoods of Nuevo Pachacutéc. These went well, after having to gain the confidence of the respondents. Firstly one wanted to know why and to what purpose the enquiry was held. Of special interest was the question whether it was known how the residents could get in touch with a NGO, for example to be able to talk about the possibility of starting a project in their neighbourhood. A NGO would only be prepared to carry out a project in a neighbourhood if every resident was in possession of proof of ownership of his lot and a proper functioning neighbourhood organisation existed. This subject shall be dealt with in chapters 6 and 7. During the try-out of the enquiry the amount of time necessary to complete the questioning was noted and evaluation of both enquiry and existing problems were evaluated, also with the respondent. The result was:

- a few small alterations in the wording of the questions
- each enquiry would take no longer than 15 minutes, this so as not to interfere too much with the resident's own daily activities (cooking, washing, taking the children to school etc.).

3.1.5 Methods of data-analysis

The results of the enquiry have been analysed by statistic descriptive methods. They have been structured in tables, graphics and diagrams. The graphics make it possible to draw qualitative conclusions about the existing relationships and the comparisons that can be made between the various neighbourhoods. As this enquiry has a descriptive nature and no detailed hypotheses can be formed no advanced statistic methods have been used to show quantitative conclusions.

3.2 Limitations of the research

It was not possible to interview a representative of the local government of Ventanilla, because the persons suggested by the council could not be reached, neither in person nor by telephone. The same happened at the office of the regional government of Callao. That is why the role of these governments, their activities in aid of neighbourhood improvement and their cooperation with other parties concerned have been investigated with the help of policy documents, namely the strategic development plan of Ventanilla 2006-2015, a diagnostic analysis of Ventanilla 2007, the strategic development plan for Nuevo Pachacútec 2010 and the plan for civil participation in the region of Callao 2005-2010, as well as an informal article about the decentralisation process in the region/province of Callao. At the council office of Ventanilla a detailed "destination" map in AUTOCAD was available but it turned out to be useless for the program ARCCIS because the information, symbols and polygons, c.q. the structure of the program did not correspond. That is why this map has been adapted as much as possible with the help of Adobe Illustrator C4 to give a clear picture of the area researched.

It was not easy to take photos of the officials interviewed and the questioned residents or even their self-help houses. When asked most reactions were dismissive. Nuevo Pachacútec's population was very suspicious. After explaining the intention of the research and the cooperation with the San Marco University things got better.

Although this distrust often caused a barrier in the survey it has to be emphasized that often could be talked openly with the residents. The respondents'/residents' ability to understand relatively simple questions was challenging. One was forced to simplify the questions and to explain some of them without influencing the answers. In the end all questions could be asked but not all of them received an answer.

It was not possible to mention the income of the questioned households as in most cases the respondents refused to give an estimate of their monthly wages.

The children's ages were also not found important. So the figures of this population group in chapter 6.1 were estimated by the researcher.

It was difficult to get a view of the way in which the residents of Nuevo Pachacútec earned their living as most of the people questioned did not have a steady job, they often worked temporarily and also seemed to change jobs every other week or did jobs here and there in the informal economy of the self-help settlements.

4 National and regional context

This chapter describes the national and regional context of this research project. In paragraph 4.1 the social geographic characteristics (demographic and social economic) of Peru and Lima are being discussed. Subject of paragraph 4.2 is the development of the urban environment of Lima. Paragraph 4.3 deals with the administrative organisation, the process of decentralisation of the last decennium *and* the budgetary system, as well as with their perspectives. In paragraph 4.4 the national policy of legalisation of landownership is being scrutinized. This policy, particularly its significance for the residents of the self-help settlements shall be used in chapter 5 to describe the development of these settlements.

4.1 Social geographic characteristics of Peru and Lima.

4.1.1 Geographical characteristics of Peru

Peru is situated in the western part of South America and borders in the north on Ecuador and Columbia, in the east on Brazil and Bolivia and in the south on Chile. Peru's total border measures 7461 km and it has an area of 1.285,220 square kilometres, approx. twice the size of France (CIA,2009).

The country is divided by the Andes. This mountain range stretches for 2000 km from north to south, almost reaching the Pacific coast. Part of the Amazon jungle is situated in the north east part of Peru.

Peru's geography and its climate belong to the most diverse in the world. Three geographical zones can be distinguished: the Costa (coast), the Sierra (highlands) and the Selva (jungle).

The climate of the Costa, the Pacific coast of Peru, is mainly defined by the Humboldt stream, which prevents the formation of rainclouds. That is why a big part of the coast has a subtropical seaclimate all year round. Temperatures vary between 14 and 20 degrees in winter and between 18 and 30 degrees in summer.

The Sierra is formed by the Altiplano, a plateau in the southeast part of the country, and the Andes Cordillera, the mountain range in the centre and north. The climate varies per level of altitude: dry and cold on the Altiplano and in the Andes Cordillera, warm and subtropical in the valleys and hot and tropical in the lowlands of the Selva, part of the Amazon rainforest. Each area has its special ecological niches and micro climates, caused by respectively the effects of oceanic streams, various high levels, the east-west situation of the slopes of the Andes, the location of the sun and the Amazon. On the basis of this diversity it is possible to distinguish 34 ecological sub-regions in Peru. (www.country-studies.com).

Map 4.1: Peru



Source: CIA, World Factbook, 2009

Peru has a mixed population. 45% are Quechua indigenous, the original residents. 37% are mestizos and 15% of the population is considered white.

The Quechuas can be found mainly on the Altiplano in the south east, in the rural Andes regions and in the lowlands of the Amazon area. The larger part of the mestizos and the ‘whites’ live in the cities of Peru.

Peru was founded in 1535 by the Spanish conquistadors. During the colonial period Lima was the political and administrative centre of South America.

The adjacent city of Callao was and still is the most important port on the Pacific (Riofrio, 2002, pp. 1-2). At present Lima is the capital of Peru and the largest city of the country. Other important towns are Trujillo, Arequipa, Iquitos and Cuzco. Peru is a constitutional republic and the ruling president is Alan Garcia. In paragraph 4.3 the administrative system of Peru shall be commented on.

Map 4.1 shows the geographical characteristics of Peru. For a more detailed map of the country and its regions see appendix VII.

In 2007 Peru’s population amounted to approximately 29 million residents. The density of population is 22.7 per square kilometre which is relatively low. In 2008 approximately 76 % of the population lived in urban areas and the remaining 24 % in the rural areas (INEI, 2008). The process of urbanisation as described earlier has been the cause of a significant decline in the existing urban environment. Most towns in Peru have a poor infrastructure and consequently suffer from a chaotic traffic system, aggravating noise problems as well as considerable air- and water pollution. Yet the life expectancy of town dwellers is 72 years, which is 7 years more than that of people in the rural regions.

4.1.2 Social economic characteristics of Peru and Lima

Between 2002 and 2006 Peru’s gross national product increased by 5,8%. According to the World Bank Peru can now be seen as a second world country and no longer as a third world country. The regional economy of Lima is the most dynamic in the country, where more than 50 % of the economic activities take place in industry, commerce, banking, transport and communication (Table 4.1). Lima’s economy contributes with 47,5 % to the gross national product of Peru. In 2006 Lima’s gross regional product increased by 3,1 %, the gross national product by 2,9 %.

Table 4.1: Economic activities in Peru and Lima per business class

Business class	Peru	Lima	(%)
GDP Agriculture	11,551	1,135	9,8
GDP Fishing	758	138	18,2
GDP Mining	9,199	713	7,8
GDP Manufacturing	20,605	12,562	6,1
GDP Construction	6,710	3,801	56,6
GDP Services	89,652	47,451	52,9
Total	138,475	65,800	47,5

Source: Fondo Mivivienda, 2006

In 2007 the GNP per inhabitant amounted to \$ 3450. The most dynamic economical sectors of Peru are mining and export of agricultural products (Riofrio, 2003). Much of the economical activity in Peru takes place in the informal sector. This is caused by a large shortage of jobs in the formal sector of industrial production and commerce.

Box 4.1: Social economic inequality in Latin America

The models for development which have been used in Latin America for the last decennia obviously failed as far as providing the basic needs and social rights of the poor majority of the total population. Recently the poor became poorer and the gap between them and the small rich elite, profiting from the advantages of market economy and globalisation, has grown. The reason is that economic power (capital, technology, natural sources and social capital) as well as the power of knowledge, information and politics plus being able to exercise active citizenship, are in the hands of the elite.

Source: Miranda, 2004, p.250

In the next paragraph the informal sector will be elaborated on. Just as elsewhere in Latin America the income gap between the elite and the poor population is larger than on other continents (Box 4.1 & appendix VIII).

According to Riofrio (2003, p 95) the rise in prices of the basic consumer goods does not correspond to the growth of income of the average Peruvian household. This is one of the prime indicators of poverty in Peru and an explanation of the great need for economical development. To illustrate: in 1996 the poor part of the population received only 2 % of the national income against 35 % for the elite. By decreasing the latter's income by only 2 % in favour of the poor part of the population their income could be doubled (Riofrio, 2003). Social inequality also shows in the lack of a national social movement, pleading the cause of the poor population, its needs/demands with regard to the social economic development (Riofrio, pp. 85-86, 2003).

In Peru poverty also extends to government institutions. This subject shall be gone into in paragraph 4.3.

4.2 Urban development and environment of Lima

On the list of the most densely populated cities of the world Lima is number 30. In 2008 it had more than 8 million residents. The metropole is one of the most barren regions in the world (Lyndolph, 1973). Lima is situated on the banks of the river Rimac, which flows in the Pacific. At the same time the town is less than 100 km away from the Andes (Riofrio 2002, pp. 1-2). Lima is part of the Costa and therefore has a subtropical maritime climate

Box 4.2: Self-help settlements in Lima

Self-help settlements in Lima are not at all associated with green areas and on the whole have a bad urban structure, exactly because they are self-built (Shutz, 1996). Dwellings in those settlements often are unfinished and the materials used of inferior quality (zinc, straw, wood, asbestos etc.).

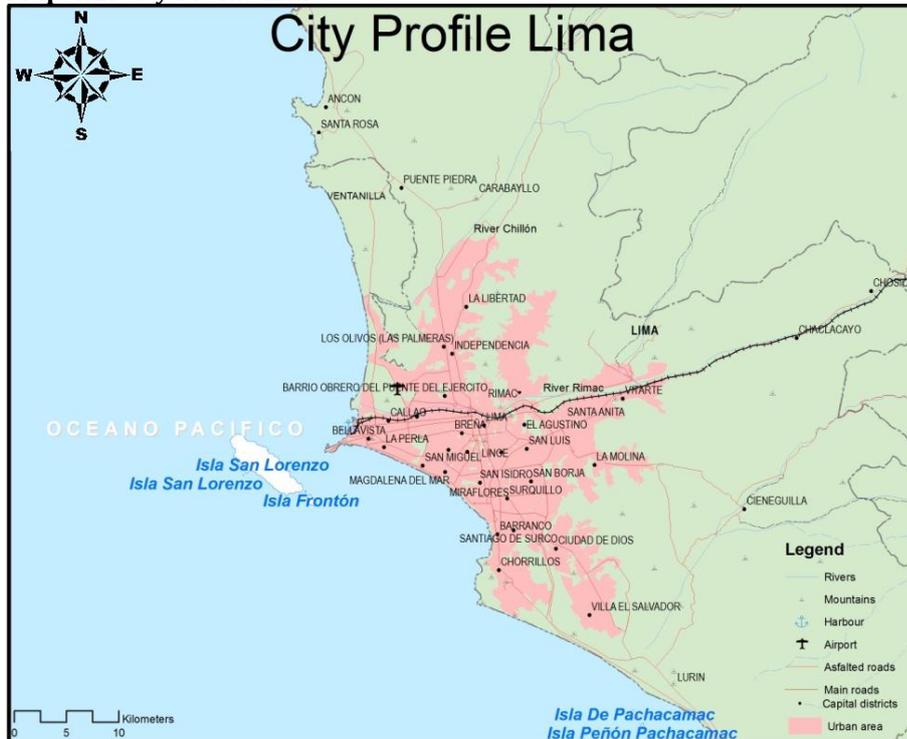


Source: Field research, 2009

In earlier days the area used to be a valley, cultivated by the Inca's (Map 4.2 & Avelar et al., 2009 p. 28). Nowadays cultivation can only be achieved by irrigation. That is why green areas are mainly to be found in parts of the city with people with high incomes (Box 4.2). More information about the income areas can be found in appendix VIII.

Approximately 30 % of Peru's population lives in Lima and every year the city is growing. The urban expansion has two distinct characteristics with a strong connection: a formal real estate market, more or less regulated and dominated by the city's financial sector and economic elite, but also an extensive informal market in self-help settlements, caused by urban extension at its periphery, through cooperation of low-income groups without accessibility to accommodation in existing living quarters. This process is being tolerated, even supported sometimes by the national and or local government (Avelar et al., 2009, p.28).

Map 4.2: City Profile Lima



Source: IGN, 2007

As a consequence of this rather informal development Lima's infrastructure and its housing have not been developed systematically and according to plan and as a result have no structural defence against the abundant rains caused every few years by El Niño. Also the fact that the city has been built in an earthquake area has to be taken into consideration. The area on which Lima has been built is mainly flat. The city has expanded to the north as well as the south and now the small valleys of the rivers Chillón and Lurín have been populated. Towards the east migrants are erecting self-help settlements on the slopes of the Andes, spreading further to the higher parts, resulting not only in a higher density but also a lower quality of life. The land between the small valleys was cheap as it was mainly desert, so the national government used it to house migrants and the poor local population. (Riofrio, 2002, p. 2).

According to Fernandez-Maldonado (2007, p2) Lima has been experiencing a large urban expansion since 1950, caused by a considerable stream of migrants attracted by the industrialisation process taking place in the capital. These migrants came from the rural areas of the highlands to settle in the city. The poverty in the rural areas was very bad and the people hoped to be able to carve out a better existence in the city. The slopes of the hills in Lima's periphery were soon covered in self-help settlements. The process of informal urbanisation which reached its record in the sixties explains the low population density of the city and its large geographical expanse (Riofrio, 2000, p2). In 1998 2.421.000 people, approximately 35 % of the population of Lima, was living in self-help settlements (Commission Habitat, 1998). These settlements are called the North, East and South Cones of the city and they extend to more than 30 km from the city centre.

To be able to survive in the city newcomers had to make use of informal strategies. Mainly in the historical centre the streets of Lima became an open market where migrants tried to sell their products. Self-help settlements transformed themselves from sleeping accommodations to informal markets with all kinds of economic activity. The presence of so many migrants had a significant effect on the urban and cultural life in Lima. The newcomers brought with them their customs from the Andes, causing a cultural mixture and a new urban culture. This development was valued by the local, regional and national governments (Fernandez Maldonado, 2007, p5). It stimulated the rise of new networks and organizations in the self-help settlements, such as neighbourhood- and communal centres, which visibly functioned (Box 4.3).

Box 4.3: Neighbourhood and communal organizations in Lima

In Lima those organizations are responsible for the development of the community or neighbourhood. They deal with juridical matters, such as the distribution of land to new migrants who are looking for a place to live in the city and the legalisation of land ownership and they develop /support those projects of basic or social provisions necessary for the improvement of living in the settlements. Whereas in other development countries housing and living environment for residents of self-help settlements is seen as the responsibility c.q. task of the government, in Peru this is considered a cultural issue. Neither the government nor the private sector have been concerned with the care for housing the poor of Peru.

There are some restrictions for the proper functioning of the neighbourhood organisation (Diaz Alebertini 1994; Ypeij 200; Lenten 1993): most leaders are volunteers who are restricted in the time they can spend on problems arising in the neighbourhood. Besides they do not have the necessary (financial or material) means to stimulate the necessary development of their neighbourhood or neighbourhood and where money is involved the local population very often does not trust the leaders (Hordijk, 200, pp 94 - 96).

Neighbourhood leaders in Lima are the obvious people to talk with councils or public utilities about the installation of basic provisions such as water and electricity. Good contacts with the private sector, the government or organizations in adjacent neighbourhoods/neighbourhoods also are important for the neighbourhoods' development. Residents' committees have to cooperate to be able to realise the basic needs for their own community.

For example: two new self-help settlements, situated in the south part of Lima, Jersulén and Manuel Scorza III, cooperated hoping to realise a water-works system for their own community. They wanted to cooperate with other neighbourhood and communal organizations near to them, to be able to realise a system for a lower price. In the end the parties concerned could not agree about other provisions such as electricity and roads. This meant that they had to wait for the government's legalisation of their land to be eligible for the desired provisions (Hordijk 2000, p.200).

It is expected that around the year 2030 9 out of 10 Peruvians shall live in cities. As mentioned before Lima is the largest city of Peru and the national census of 1993 already showed Lima to be 10 times larger than the second largest city of the country, in number of residents as well as economic activities. More than 40 % of the urban growth in Peru in the period 1983 - 1993 was concentrated in Lima. At the same time the urban poverty in Lima is considerable, namely 33 % of the total in Peru. Another 30 % can be found in the other coastal cities, 29 % in the Sierra and 8 % in the towns in the rainforest of the Amazon (Riofrio, 2002, p.2).

In 2009 the population growth in Peru amounted to 1,22% (CIA, 2009). In the cities this was 9 %. In the 1980's this difference was explained mainly as the result of rural-urban migration. But since the 90's this is no longer the most important cause of urban expansion in Peru. In Lima many children of the Limeños moved to urban settlements to build their own existence at the periphery of the city, in such big numbers that migration within the city nowadays is more common than from rural to urban areas (Riofrio, 2003, pp. 77-78). These mainly young migrants are seen as part of the new urban poor population. In chapter 5 it will be made clear what the consequences are for the relations in and the behaviour of this group.

In the analysis in chapter 6 the migratory movements of the residents of the settlements which are part of this research shall be dealt with, in order to try and explain their history of origin.

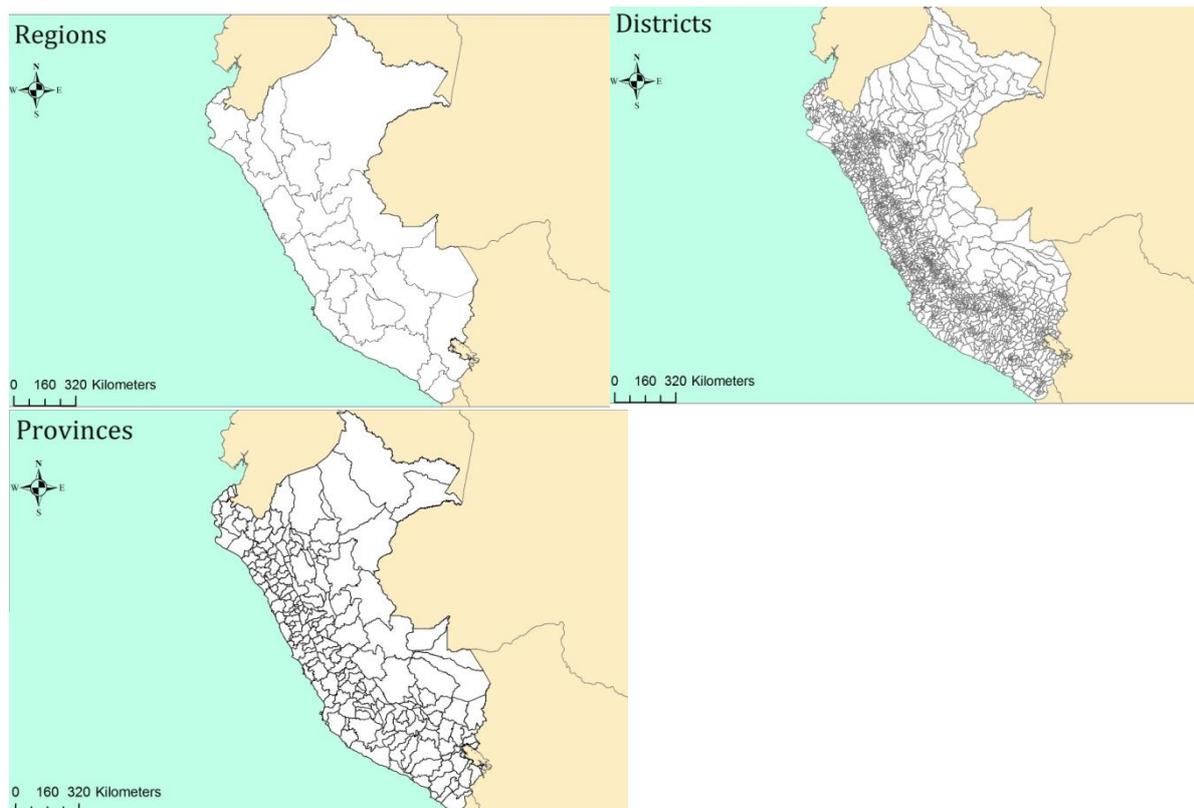
4.3 Administrative division, decentralisation and budgeting

4.3.1 Administrative division of Peru

The administrative division in Peru consists of three levels: national, regional or departmental and local level, which includes provinces and neighbourhoods/municipalities (Figure 4.1). There are 25 departments/regions, 194 provinces, among which the constitutional province of Callao (Lima's most important port), as well as 1821 municipalities/neighbourhoods (CIA World Factbook 2008).

The central government, the national level, consists of a president, a prime-minister and a ministers' council. Peru has a multiparty system. The central government resides in Lima. At regional/departmental as well as municipal/neighbourhood level, the administrative organisation consists of a president and a council.

Figure 4.1: Political division of Peru



Source: IGN, 2007

The metropole of Lima knows two provinces – Lima and Callao – and 37 neighbourhoods (Map 4.3) at local level. Every 4 years their citizens choose a new mayor. These elections take place on a Sunday, when most people are at home. Similarly a new president is elected, after which a new cabinet/government is formed. The (mayors of) provinces and neighbourhoods are allowed to make their own decisions. The provincial mayor controls the budget and has a larger self-generated income than the neighbourhood mayor.

There is no clear mechanism of coordination on urban and spatial planning (Riofrio, 2002,p.3).

4.3.2 Process of decentralisation in Peru in the 21st century

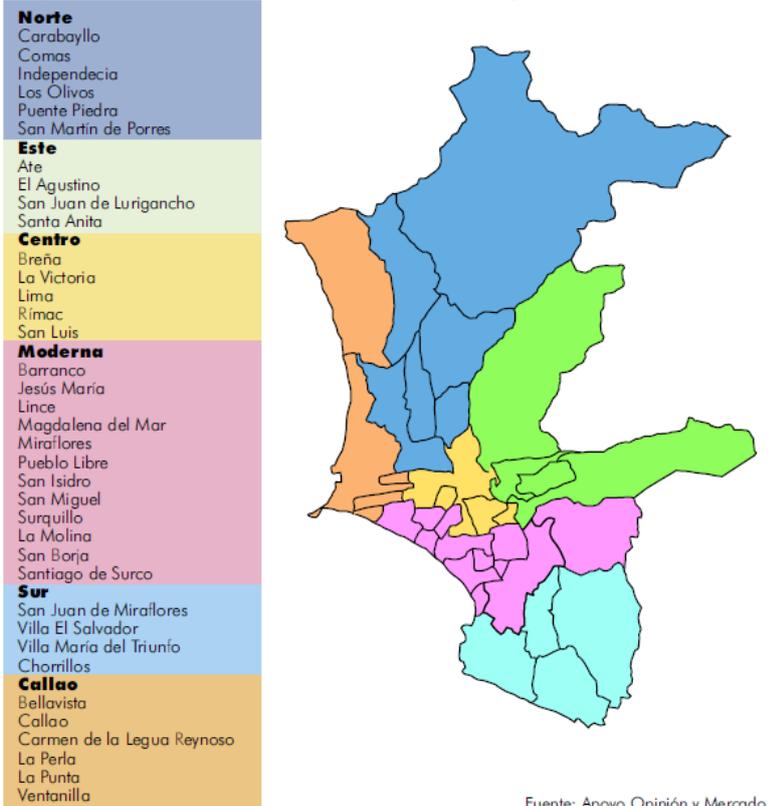
The political structure of Latin American countries has a tradition of centralisation which originated during colonial times (between the 16th and 20th century) (paragraph 2.3.1).

In 2000 a corruption scandal caused the departure of President Fujimori. During his rule he privatised state-owned enterprises which lead to a loss of 120.000 jobs in the public sector (mainly in the mining sector), a big increase of jobs in the informal sector and an increasing polarisation between rich and poor.

Ten years of Fujimori intensified the centralisation of the government, with the majority of power concentrated in the various government departments. During the years 1990 – 2000 the budgeting of many governmental bodies met with severe problems as a result of the social economic situation of the country.

Many items had to be struck from the budget and entire parts of the population were more or less neglected as the state was unable to meet the needs of the population for development at national, regional or even local level. This unstable macro-economical situation led to the deterioration of the existing provisions and to enormous delays in the execution of social and public projects. Social unrest and the people’s aversion against the state increased. The government lost its credibility and legitimacy, which also became obvious on various governmental levels. No coherence exists between the various development plans, budgets and the concrete development of the community; nobody listens to the opinion of the people (Gobierno Regional del Callao, 2004, p.47).

Map 4.3: Administrative division of metropole Lima²



Source: Fondo Mivivienda, 2006

The next president, Toledo, tried to restore the democratic government structure in Peru. He signed a national treaty with many civil organizations, trade unions and religious bodies. In 2002 the national government introduced a constitutional reform process that resulted in a law to promote the decentralisation of the government of Peru, in order to restore the relationship between the three levels of government and society and speed up the decision-taking. By transferring public functions and responsibilities to the lower tiered governments the national government hoped for more involvement from the citizens in the political decisions. It was made obligatory for regional governments, provinces and all neighbourhoods to make extensive development plans and annual budgets in a participatory way. The laws that constituted this obligation at a national level were supported by a structural law containing the concept of the participatory budget. This new concept

² The city of Lima covers 1281 km², to be divided in six different geographical zones from the historical town centre. The central zones, Callao and Modern include neighbourhoods which have been founded at the beginning of the 20th century, before that Lima Cercado or Rímac were known as traditional Lima. The new Lima includes the Cones North, South and East, the northern zone being the largest, namely 42 % of the city’s total surface. In this zone the largest neighbourhood of the city can be found. This is Carabayllo, which comprises 27,1% of the city’s surface.

was the result of a dialogue with society. The new structural law contains initiatives suggested by the people and the local governments.

During the years 2004-2006 Toledo's central government and that of his successor *Alan Garcia* (2006 - 2011) had not yet developed a clear structure for participation of citizens and other participants in the formation of development- and improvement plans for necessary joint budgeting (IAI, 2006).

With the help of an example in the province of Callao the development of decentralisation in the last decennium shall be illustrated as well as the various forms this took in the province. The mission of Callao's government is the organisation of how to tackle regional problems and the development of plans to promote the region's social-economic development (its natural sources, the environment, the infrastructure and urban/spatial planning of the area), together with the local authorities and the people of Callao, in the shape of *concertación* (Gobierno Regional del Callao, 2004, p.20).

Concertación is the name of the process in which agreement is reached between various participants with different interests, in order to formulate measures and assign responsibilities. It means more than consultation, though it is not the same as consensus (Hordijk, 2005, p.251).

In 2007, in most provinces and neighbourhoods of Peru the process of decentralisation as per national law of 2002 had been completed only for 20 %. Transfer of public functions and responsibilities to the lower governments was slow because the regional and local governments lacked the means or mechanisms to undertake these matters. Till then delegation and completion of projects, the building of schools, construction of infrastructure was arranged from the top and co-ordinated by the national government in Lima (Gobierno Regional del Callao, 2007).

4.3.3 Participatory budgeting

Still in 2002 the Department of Finance initiated an official experiment with the *participatory budget* for a number of regional governments, after which a year later all regional and local governments adopted this method and it was implemented in the political decision-making. After the elections in 2003 it became compulsory for all municipalities and regions to participate when drawing up extensive development plans and budgets for the year 2004. By way of this kind of budgeting citizens can voice their wishes and take part in the political decisions. They acquire responsibility and become co-governors of a neighbourhood in their own city. Citizens, entrepreneurs, NGO's and the local authorities can make use of the budget to define local priorities and needs for the development in the self-help settlements (Hordijk, 2005, p.224-225). This makes it possible for these parties to take part in discussions about investments made by province or municipality and/or about municipal /regional planning, development plans (Gobierno Regional del Callao, 2004, p.37). The participatory budget could be a vehicle for citizens to practise their citizenship (paragraph 2.4.1), when becoming involved in decisions regarding the making and execution of public investment projects concerning infrastructure, education, health care etcetera (Municipalidad Distrital del Ventanilla, 2006, p.60). The provincial and local governments only use the participative budget to realise public projects such as the construction of infrastructure, maintenance of the public order, social safety, construction of parks or the building of hospitals or schools.

In Box 4.4 other examples can be found of how citizens can influence political decisions.

Box 4.4: Ways in which citizens can influence political decisions

By presenting a political motion for which signatures have been collected it is possible to expel a political authority (mayor, alderman, regional authorities or an elected judge from his political function). Afterwards new elections will take place to choose a new functionary.

By means of collecting signatures the citizen can force the authority to justify its choices regarding the execution of projects in aid of the infrastructure or other public works, as well as its public function. The results of this justification will be published.

By proposing an initiative: a civil organisation can present a proposal for a project in aid of the development of the province, region or municipal neighbourhood to the government, a direction proposal (for the advisory commission of a neighbourhood) or a certain standard. All these have to meet with the ruling laws and regulation for this particular authority.

By means of a referendum: a civil organisation can collect signatures to propose the change of standards, laws or regulation in favour of the realisation of a project or activity.

Source: Gobierno Regional del Callao, 2004, pp. 36-37

The central government has authorised the provinces and neighbourhoods to draw up an economic development plan, according to their own directions and programs. At the same time the government can involve citizens in the planning and construction of public investment projects, by means of the participatory budget.

Sufficient financial means as well as the power to make independent decisions are required for the accomplishment of budgetary decentralisation, successful public functioning and the transfer of responsibilities for the supply of social and basic provisions. How this will have a positive effect on the development of the self-help settlements in Nuevo Pachacútec will be explained in chapter 7, in which the role of the government, its activities in behalf of neighbourhood improvement as well as cooperation with other stakeholders will be analysed.

4.4 The national policy of land legalisation

In this paragraph motives, objectives and application of this policy of the national government shall be discussed, as well as its consequences for the residents of the self-help settlements in Peru. In the next chapter the significance of issuing land rights and ownership papers to these people shall be gone into where the development of the researched settlements is described.

The cities of Latin America resemble each other in that during the fifties and sixties of the 20th century the capture of land on the outside of the cities by the poor was beginning. In most cases the government resisted these illegal actions in various ways. For this reason the poor people bought cheap land from illegally operating or informal land developers. In this Lima was an exception. Here self-help settlements grew by means of occupation of lands or governmental (re)settlement projects on peripheral land owned by the state.

The surrounding agricultural areas of Lima are oases which are irrigated from the river Rímac. Lima itself is situated in a desert on a coastal plateau. Large pieces of land outside these agricultural areas, the desert areas, cannot be irrigated and are unsuitable for agricultural purposes. Mostly this land was state-owned and of no significance for formal urban expansion. In the 1950's a change took place in this area, the urban periphery, by land occupation by migrants through self-help settlements. Two land markets came into being in these years: the official market in the areas made suitable by irrigation for agriculture or legal urbanization (with the land privately owned). And the other informal market consisting of desert land, originally state-owned, where self-help settlements were erected, some of those legalised afterwards by the government. In these days those markets already partly overlapped but nowadays the division between those two is less clear than in the past, because in the meantime the land had become privately owned and had to be bought by the residents (Harms, 1997, p.193).

The legalisation of the informal land market will be dealt with on the basis of the pursuit of the policy concerned by the national government between November 2000 and December 2002 in the metropole of Lima. The policy was drawn up by the government of (ex)-president Fujimori in 1996, with support of the World Bank, as part of a program for urban landownership- and rights. To legalise informal landownership and with that the self-help settlements more than one million landownership documents were issued to citizens (Calderon, 2004, p. 289-290).

This policy was inspired by the vision and ideas of the Peruvian economist Hernando de Soto, who was of the opinion that legalisation of ownership and especially the issue of ownership titles had a positive effect on the residents' tendency to investment and safeguarding their possessions (paragraph 2.2).

So the objective of issuing landowner rights and -documents to the residents of self-help settlements is to promote the way to official credit mechanisms (bank loans) and consequently to improve the population's standard of living. The government expected residents to be able to take out a mortgage on their dwelling or a larger investment in the improvement of their (self-help) home and was hoping for social changes by making the population appreciate the value of ownership rights and -documents (Fernandez-Maldonado, 2007. p. 13).

Previous mentioned rights and documents can be divided into a number of categories (Box 4.5). These categories shall be used in chapter 6 to investigate the role of landownership documents and -rights in the development of the researched self-help settlements.

According to Calderon (2004) it is clear that a connection exists between forms of landownership and the families' standard of living. Many people who have followed the process of legalisation have indeed begun to invest in and consolidate their property. When poor urban families feel secure enough to remain in the self-help settlement where they occupy a piece of land and are not being

ignored by the local authorities, they become inclined to invest in the improvement of their own home and to contact public and private enterprises to obtain water, electricity and sewerage (Calderon, 2004, p.298).

Box 4.5: Categorical classification of “owners” with or without landowner rights and documents

Legal ownership is ownership registered with the public land registry office. This registration offers security and is legally connected with family rights and the law of succession. It entitles to the division and alienation of the property. In short the property is of value and can be used as security for mortgages or loans.

“owners”/ tenants: those persons who have an official/legal lease for a piece of land or a house.

Illegal “owners”: those who are in possession of a piece of land/house in a legal housing area but have not as yet legal ownership.

“owners”/squatters: people who have illegally occupied public or private land that is in no way destined for housing. The government tolerates these settlements but for a few exceptions. This category has the lowest level of security. The occupants can only attempt to sell their constructions through the informal market.

“owners”/ illegal tenants: “owners” who either rent accommodation within non-legalised real estate or land in no-go areas, or a self-help house unsuitable for living in.

“owners”/ borrowers: those who simply occupy a piece of land or a house belonging to somebody else.

Source: Calderon, 2004, pp. 294-295.

4.5 Summary

In this chapter has been presented the national and regional geographical context of the research project. It has become clear that Lima is one of the most densely populated cities in the world. It is situated on the banks of the river Rímac which discharges there into the Pacific and it lies at a distance of 100 km from the Andes. It houses approximately 30 % of Peru’s population and each year the city expands further. More than 50 % of Peru’s economical activities take place in Lima. Between 2002 and 2006 the gross national product of Peru increased by 5,8 %. Added to this Lima’s regional economy is the most dynamic of the country and one of the mainstays of Peru’s economy.

The country’s social-economic inequality is considerable. Like elsewhere in Latin America the difference in income between the upper ten and the poor population is larger than in other parts of the world. There is a formal real estate market, more or less regulated and dominated by the financial sector and the city’s economic elite and at the same time a considerable informal market in self-help settlements, caused by unofficial urban expansion projects at the city’s periphery, resulting from cooperation between the poor/ low income groups, which could not obtain housing in existing residential areas. This informal process was more or less tolerated and even now and then supported by the national and/or local government.

Since 1950 Lima has experienced a large urban growth, caused by migrants attracted by the industrialisation taking place in the capital. This migration stream moved from the “country” (the highlands) to the city. In 1998 2.421.000 people, approximately 35 % of Lima’s population, lived in self-help settlements (Commission Habitat, 1998).

Next in this chapter have been discussed the administrative division, the decentralisation process in the past decennium and the budgetary system, as well as their perspectives and the possibilities open to participants to influence political decisions regarding public investments. With the help of an example has been elucidated to what extent the process of decentralisation in this last decennium has been successful.

Finally the motives, objectives and the use of the national government’s policy of land legalisation with its consequences for the occupants of the settlements have been dealt with. The policy’s motive was to legalise informal landownership and with that self-help settlements. The policy’s objectives were the favourable effect the legalisation and mainly the issuing of ownership titles would have on

the will of the people to invest and safeguard their property. The government expected that either residents would be able to take out a mortgage to build their houses or invest considerably in the improvement of their (self-help) houses. It also predicted social-economic changes by emphasizing the value of ownership rights- and documents. The significance of these rights and documents will be further discussed in the next chapter, with the description of the development of the researched self-help settlements.

4.6 Conclusion

Lima is the largest city of Peru and more than 50 % of the country's economic activities take place in Lima. Main cause of the urban growth is an informal urban expansion process at the city's periphery, which took shape through cooperation of the poor and the low income groups. These people have no access to the housing in existing housing areas. This cooperation leads to activities of communal- and neighbourhood organizations, networks responsible for development in self-help settlements. This unofficial urban expansion of Lima continues through the arrival of new migrants who occupy peripheral land or a government developing new (re)location projects. The big migrant streams causing Lima's strong urban growth since 1950 were attracted by Peru's fast industrialisation, which mainly took place in its capital. Multitudes of people moved from the "country" – the rural areas of the highlands – to the city. In order to survive they had (have) to make use of informal strategies, meaning that as well as seeking temporary work they were (are) forced to sell products on the street at an open market.

Since the nineties migration is no longer the main cause of Lima's expansion. Nowadays it's mainly the children of the Limeños who move to new urban settlements on the outskirts of the city to try and build up an independent existence. These – mainly young – migrants are seen as part of the new urban poor population. It will be made clear in the next chapter that this view influences the relations in and the behaviour of this group.

5 The local context of Nuevo Pachacútec and el Mirador

This chapter outlines the local context of the research project. The self-help settlements of Nuevo Pachacútec are situated in the municipality of Ventanilla.

That is the reason why in paragraph 5.1 the geographical and social-economical characteristics of Ventanilla will be discussed, while paragraph 5.2 deals with the urban development of the municipality and the objects of research: Nuevo Pachacútec and El Mirador.

In paragraph 5.3 a description will follow of the physical situation in Nuevo Pachacútec and El Mirador. In conclusion the administrative organisation of Ventanilla will be portrayed and mention will be made of those organizations which are active in the (researched) self-help settlements of Nuevo Pachacútec and El Mirador.

A view shall be given of the duties and possibilities citizens, NGO's, entrepreneurs, other interested parties and governments have at their disposal to carry out a project. The decision-making in favour of such a project shall be explained by using an example: a strategic development plan for the self-help settlements of Nuevo Pachacútec.

5.1 Geographical and social-economical characteristics of Ventanilla

5.1.1 Geographical characteristics

Ventanilla is one of six municipalities which are part of the province of Callao. It borders on the neighbouring municipalities Santa Rosa, Puente Piedra, San Martín de Porres, Ancon and Callao. The province of Callao (also region, see paragraph 4.3) covers 158,12 square kilometres and is situated in Lima's North Cone.

The six neighbourhoods of the province are: Callao (Cercado), Bellavista, La Perla, La Punta, Carmen de la Legua Reynoso and Ventanilla (Map 5.1).

The surface of the municipality of Ventanilla is approximately 81,18 square kilometres, this is 51,24 % of the province of Callao's surface.

Map 5.1



Source: IGN, 2007

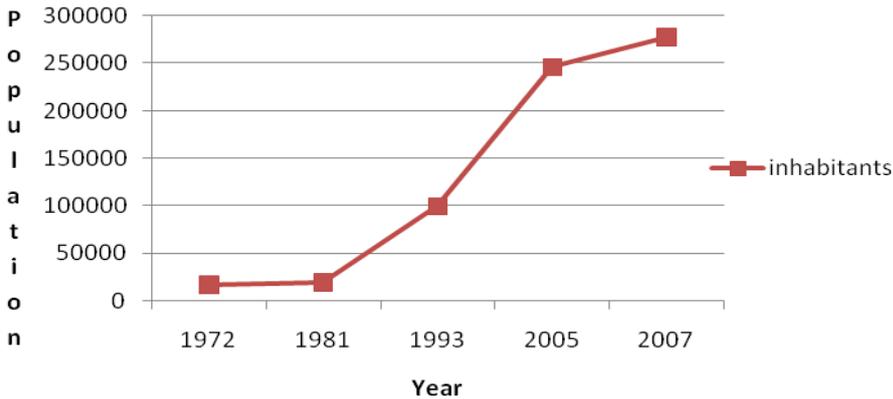
Ventanilla is situated in the north of the province of Callao, 34 km northeast of the historical centre of Lima and 18 km north of Peru's national airport. The climate is continental-maritime (paragraph 4.1): fog or mist in winter, May till November, and warm and sunny during the summer, December till April (Municipalidad Distrital de Ventanilla, 2006).

To the south the river Chillón flows into the Pacific. Geographically it is rather flat, with gentle slopes between 0 and 200 m from west to east. According to the most recent census in 2007 the municipality of Ventanilla had 277.685 residents. It is after Callao the most densely populated place

of the province of Callao. During the period 1972 – 1981 it knew a population increase of 1,7%, during the years 1983-1993 and 1993-2005 8,3% (Figure 5.1).

Till 1993 this increase is mainly due to the traditional migration movement from country to city. (paragraph 4.2) but the much stronger increase after 1993 has a different cause. In their joint regional development plan for Lima and Callao 1993 – 2010 both regional governments had stipulated that all available territory for urban expansion in the municipality of Ventanilla – 1100 hectares – should be used for housing (Gobierno Regional del Callao, 2006). Consequently in the last 15 years Lima’s entire urban expansion took place in Ventanilla. The internal migration stream from Lima to Ventanilla played an important part in this. The density of population in Ventanilla is fairly low, 30 people per hectare.

Figure 5.1: Population increase municipality of Ventanilla



Source: Municipalidad Distrital de Ventanilla, 2008

Next to the formal urban expansion the number of self-help settlements in Ventanilla increased from 45 in 1995 to 108 in 2001 (Municipalidad Distrital de Ventanilla 2006, p.27). The urban expansion will be discussed in the next paragraph, where also the objects of this research will be stated.

5.1.2 Social-economic aspects of Ventanilla

The municipality of Ventanilla lacks strong economical exponents. In the south, in Las Pampilla’s, there is some petrochemical industry. The resulting air pollution causes health problems for the residents. This refinery is the third largest producer of petroleum in Peru with a production of 27,5 million barrels in 2003. Another economic activity is a wholesale trade in pigs, consisting of approximately 1700 pigsty’s situated in the south of Ventanilla, in the industrial area Pampa de los Perros. It is managed by two corporations and four associations and also causes environmental problems as soil pollution and stench. Thirdly a few smaller activities take place in the industrial, commercial and in the public sector.

At the municipality’s periphery on the banks of the river Chillón and in the near-by hills small-scale non-metallic mining takes place. This activity contributes to the serious pollution of the Chillón river in the southern part of the province. Ventanilla may be a coastal municipality but does not possess the necessary infrastructure for the fishing industry, (marketing and/or processing). Trade in goods and services is scarce. The scanty local market does not contribute either to Ventanilla’s economic prospects. The economic activity is mainly influenced by small entrepreneurs in the informal sector. Unemployment is high as local employment is lacking.

The physical environment does not stimulate development either, owing to the unorganised growth of self-help settlements, the informal housing market and unplanned urban expansion in areas unsuitable for housing, as well as the pollution of water areas. Lack of a good road system which impedes the accessibility of industries and the delinquency in certain suburbs hamper the development of economic activities in the municipality of Ventanilla. It is one of the poorest municipalities in the province of Callao. According to the INEI in 2004 34 % of its residents had no

access to water, 9 % had no electricity and 6 % had no sewerage connection (Municipalidad Distrital de Ventanilla, 2006, p. 26).

Poverty is visible in the unfinished houses, houses without water- and energy supply, children staying home from school, uneducated parents who have trouble finding permanent employment, who, in order to survive, have to rely on informal strategies (paragraph 4.2).

A map of the municipality, showing the situation of the fore mentioned economical activities has been included as appendix IX.

5.2 Urban development of Ventanilla, Nuevo Pachacútec and El Mirador³

During the past 40 years the desert in which Ventanilla was situated has changed into one of the most densely populated areas of the city of Lima and Callao. During this period Ventanilla served as the receptacle of Peru's migration (Map 5.2). In paragraph 5.2.1 an outline is given of the urban development of Ventanilla to get an idea of the extent and scale of the urban development of the metropole Lima and of Callao. Paragraph 5.2.2 deals with the development of the researched self-help settlements in Nuevo Pachacútec and the housing project El Mirador, a more recent expansion of Nuevo Pachacútec.

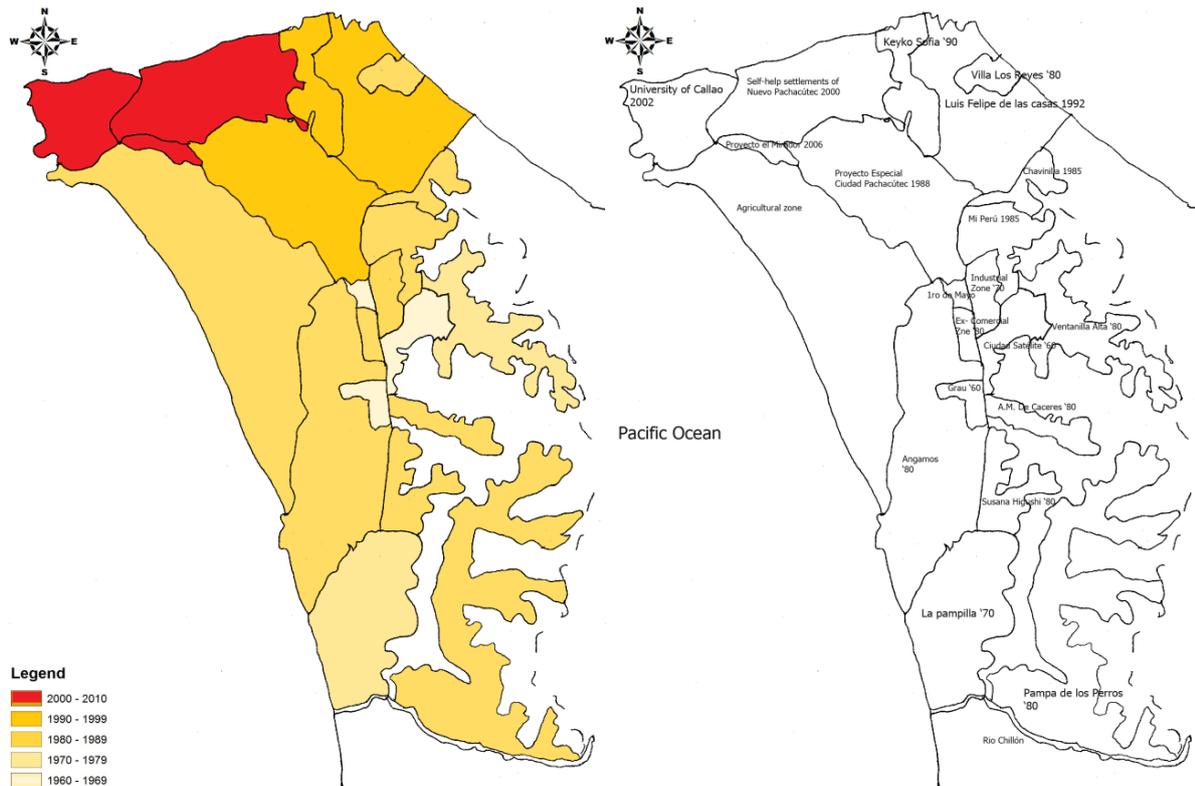
5.2.1 Development of Ventanilla

Ventanilla is a young municipality that originated during the 1960's from a housing program carried out by the regional government of Lima and Callao. The program was part of this government's policy of decentralisation. Its purpose was to further develop the metropole Lima-Callao by means of urban planning. Because at the time the central part of the city of Lima was densely populated the regional government meant to create space by expanding the suburbs of the city. Ventanilla became a satellite town of Lima, north of the city at a distance of approximately 34 km's from Lima's historical centre. The housing project, La Ciudad Satélite (the satellite town), contained the building of 20.000 houses for 100.000 residents in 10 living areas with every basic provision: sewerage, drinking water and electricity. In the end of the 10 areas only two were realised, namely Satelite and Almirante Miguel Grau. Their residents were mainly non-commissioned Navy officers. Because the town was not close to Lima, Ventanilla was sometimes called a dormitory town as in those days no shops, hospitals and schools could be found there.

In the seventies Ventanilla developed into a lively town with new living areas supplied with the necessary urban provisions. The first shops were opened, schools were built and medical care was realised.

³ Development represented on the basis of diagnostic analyses of Ventanilla 2007/8 and a strategic development plan of the municipality of Ventanilla 2006-2015.

Map 5.2: Urban development and areas municipality Ventanilla 1960 – 2000



Source: Urban development plan 2006-2015 from the municipality of Ventanilla, 2006

Also the basic provisions like drinking water, sewerage and electricity were adapted. During this decade the neighbourhood of Ventanilla Alta was built, the first industrial neighbourhoods were planned and built and a road was constructed to connect Ventanilla with the other places in the provinces Callao and Lima. The first industrial areas contained an oil refinery and petrochemical industry (paragraph 5.1).

During the eighties of last century, Ventanilla experienced a fast urban growth owing to migration from the rural areas of the Andes (paragraph 4.2). Many self-help settlements were built illegally on land in Ventanilla. Thus the neighbourhoods Villa Les Reyes, Luis Felipe de las Casas and Mi Peru (Box 5.1) north of the central industrial park in the municipality's centre came into existence. This park, developed in the eighties, accommodates two markets: Ex-Zona Comercial and Antonia Moreno de Cáceres.

Box 5.1: Mí Perú

Mi Peru is a self-help settlement built in 1985 by the national government of Alan Garcia for re-locating residents of Lima, Callao and other parts of Lima. During Fujimori's government in 1996 Mi Peru became a suburb of Ventanilla and is also named a "*centro poblado menor*". The law allows a limited area within a municipality to be autonomous and more or less independent from its capital, to form its own (sub-) municipality, if its population so wishes. Today Mi Peru has 40.000 – mainly young – residents. It has its own town hall, police station, hospital and a so-called halfway house for women who are abused by their partners. It lacks some of the basic and social provisions (water, electricity) and there is no decent housing. Mi Peru also has problems with petty criminality, drug dealing and gang activities.

Source: Caramutti, 2004

In the same period official living areas appeared in Ventanilla, namely Angamos and Antonio Moreno de Cáceres (Ciudad del Deporte). These suburbs are financed by the national government and FONAVI. FONAVI, a national housing fund established to provide housing for the middle- income groups. Employees contributed to this fund with a percentage of their earnings. However, the fund was not able to play a structural part in the national housing policy (Fernandez-Maldonado & Breedenoord, 2010, p.3). The areas might be called planned self-help settlements (Riofrio, 1991). Not only did the central government provide the newcomers with a piece of land to build their own

shelter/house on, but it also was supposed to help them obtain electricity, drinking water, sewerage, roads, schools and medical care, to be gradually realised by national or local government authorities. During the social, political and economical crisis in Peru of the 1980's the urban development of Ventanilla happened rather chaotically. There was a lack of social provisions, hospitals and schools. Because the government was indifferent the citizens formed community organizations. To be able to survive they created women's unions, communal and neighbourhood organizations as well as medical aid clinics (paragraph 4.2).

For 1988 a large housing project was planned in the north-eastern part of Ventanilla. The project was started during Alan Garcia's government and was called Proyecto Especial Ciudad Pachacútec (PECP). The allotment of this housing project was in the hands of a public organisation supervised by the department of Transport. The project covered an area of 2800 hectares (28 square kilometres) with 20.756 lots for the construction of self-help houses for migrants wanting to move from the rural Andean areas or other part of Lima and Callao. The Pachacútec project got scant attention during Alan Garcia's government. When in May 1990 Fujimori came into power he allotted the land to low-rank employees with the police force and the army and to institutions for the homeless that had set up housing corporations. In the first instance members of these corporations refused to move to the PECP area as it lacked basic provisions (water, electricity and sewerage). For the first residents circumstances were miserable. The Fujimori government supplied a provisional infrastructure, electricity and drinking water. During the nineties approximately 30.000 families moved to Pachacútec, so the housing project met its original object: the housing of migrants (NGO Alternativa, 2003 & interview with NGO Alternativa, 2009). Migration of new settlers to Ventanilla was strongly stimulated by the central government.

Between 1992 and 1993 another north-eastern part of Ventanilla was occupied by groups of migrants wanting to own a piece of land. These invasions took place in three stages. Successively the self-help settlements of Louis Felipe de las Casas, Lampa de Oro and las Lomas were realised. In order to be able to control this development the regional government transferred the ownership of this area to CORDELICA, the co-operative organization for development in the provinces of Lima and Callao. Neither the regional government nor CORDELICA intervened in the housing project of PECP.

During the 1990's Ventanilla's population strongly increased. Public buildings arose: the town hall, the police station (for both the local and national police force) and private institutions came into being to stimulate the municipality's development. During the last twenty years public transport within Ventanilla intensified and bus services between Ventanilla and Lima and Ventanilla and the neighbouring Puente Piedra were established. To make these services possible an asphalt road was constructed between Ventanilla, Santa Rosa and Puente Piedra and the old road between Ventanilla and Callao, which was built in the seventies was improved. During the 1990's motor taxi's appeared as a means of public transport in the suburbs of Ventanilla. Commercial activities in the informal section increased. In the self-help settlements markets appeared and in Ventanilla's centre (Zona ex-comercial) the market engaged in the sale of foodstuffs and other goods. For most goods the internal local market remained dependent on supply of products from the markets in Lima and Callao and bread was delivered by neighbouring municipality Puente Piedra. In 1999 the department of housing decided to issue land rights and ownership documents to the residents of 14 self-help settlements in Ventanilla, with the intention of winning votes for the re-election of president Fujimori.

5.2.2 (Urban) Development of Nuevo Pachacútec and el Mirador

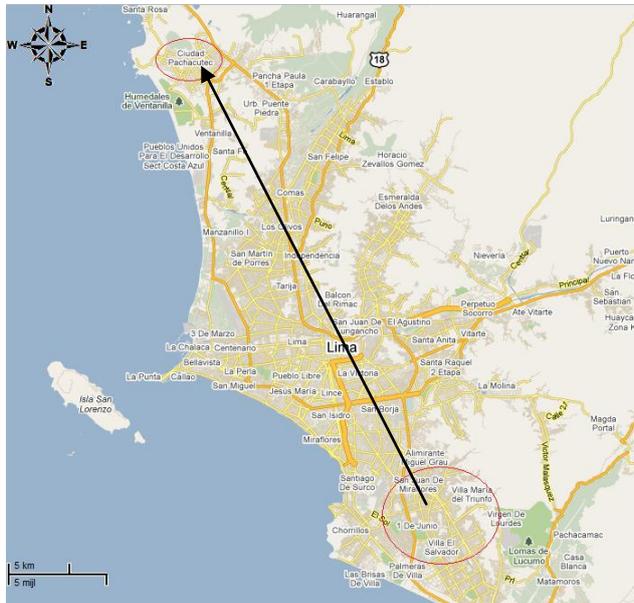
5.2.1.1 Nuevo Pachacútec

Nuevo Pachacútec is the most recent expansion of the metropole of Lima/Callao. It came into existence because in 2000 the regional governments of Lima and Callao transferred a serious housing problem of new migrants to the local government of Ventanilla. The idea was that thus the problem would be solved faster and its solution would contribute to the possibilities of re-electing president Fujimori and the mayor of the local government of Villa el Salvador (Map 5.3).

In December 1999 a group of young families which had been living in rental homes or with their parents in the south of Lima (San Juan de Miraflores, Vía María del Triunfo or Villa El Salvador) took possession of a piece of agricultural land with the intention to realise a new future on their own land. The police tried to prevent this as the land was privately owned. This resulted in rioting and even in the death of some of the occupants.

The national government decided to intervene and to solve the problem by offering newcomers a piece of land of their own with the promise of legalisation in the future. In this way re-settlement of 7000 families from Villa el Salvador to Nuevo Pachacútec was arranged. The regional governments of Lima and Callao selected the eligible families under PROFAM. It is true that president Fujimori was re-elected but later on he was accused of corruption and deposed (paragraph 4.3). It is not known whether the mayor of Villa el Salvador was re-elected.

Map 5.3: Situation of (Nuevo)Pachacútec in the metropole of Lima⁴



Source: Google Maps, 2010

The regional governments of Lima and Callao established a commission, supervised by the department of housing, which was supposed to conduct the so-called Proyecto Piloto Nuevo Pachacútec (PPNP) by supporting the residents in the development of their own community, neighbourhood and lot. The self-help settlements, neighbourhoods of Nuevo Pachacútec developed into villages. In paragraph 5.4 the organisation structure of these villages shall be dealt with (DFID, 2005, p.15).

In 2004 the supervision of this project was transferred to the regional government of Callao which in this way became the owner of all not yet legalised lots in Nuevo Pachacútec (interview with leader of neighbourhood C3, 2009). During the period 2000 – 2002 the regional government supplied the first settlers of Nuevo Pachacútec with provisional basic requirements like drinking water and electricity, constructed by public bodies such as CORDELICA, the co-operative for development and provisional infrastructure in the provinces Lima and Callao and SEDAPAL, the executive and coordinating authority for the construction and management of waterworks.

The army and police force also played a part. COFOPRI, (a commission supervised by the department of housing) spread 7000 households/families over 5 neighbourhoods in Nuevo Pachacútec and took care of their official registration (Pereyra, pp 4-9, 2005, p.15). Ownership formalisation took place between 2000 and 2002. The residents of neighbourhoods A2 and B4 only had to pay 100 soles (27 euros).

This approach showed once more that the (regional) government realised the importance of owning your own piece of land (interviews with neighbourhood leaders, 2009) and is entirely in line with the concept of the “*progressive self-help*” (paragraph 2.2).

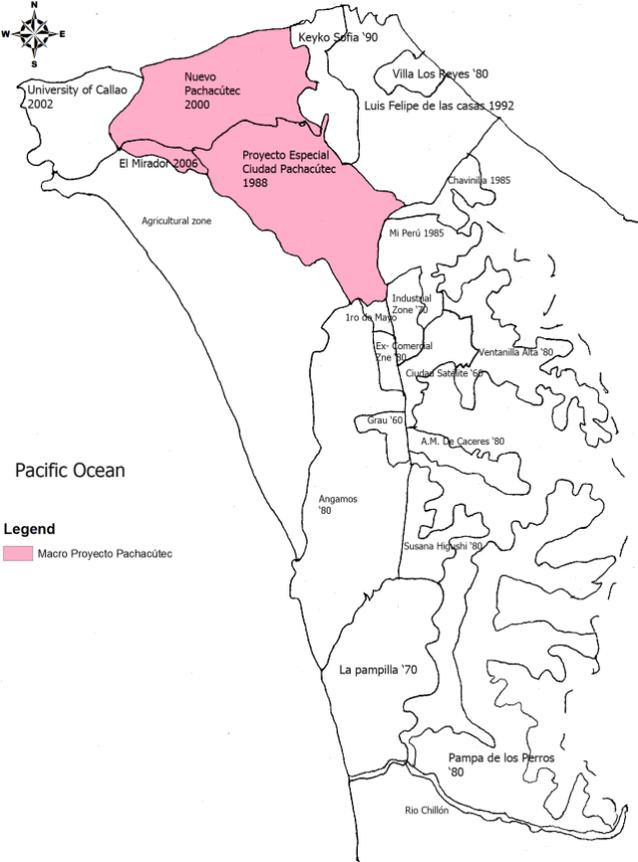
Since 2004 Nuevo’s Pachacútec’s housing project has been part of the Macro Project Pachacútec, also known as Ciudad Pachacútec (map 5.4) and nowadays it comprises three areas: the housing project Proyecto Especial Ciudad Pachacútec (PECP) which was started in 1988, the Project Nuevo Pachacútec (PPNP) of 2000 and the most recent housing project Pilot Proyecto Techo PropioDeudo

⁴ The squatters’ areas (the southern part of Lima) are marked, as is the area where they were settled by the Regional government, (Nuevo) Pachacútec.

Cero, of which El Mirador is part and which was started in 2006. This last project's development will be commented on in the next sub- paragraph.

In 2007 the municipality of Ventanilla suggested combining the three projects into one *centro poblado menor*, named Ciudad Pachacútec, as had already happened with neighbourhood Mí Perú (Box 5.1). Thus in the future Pachacútec could become an independent municipality with 180.000 residents.

Map 5.4: Situation of the three housing projects in Ventanilla



Source: Urban development plan 2006-2015 from the municipality of Ventanilla, 2006

5.2.2.2 El Mirador

El Mirador is situated in the southwest of Nuevo Pachacútec. It is a social housing project and a more recent expansion of Nuevo Pachacútec. The project was planned during the Toledo government (2004/2005) and was part of its national housing policy. It was named after the national social housing programme Techo Propio Cero. The public body behind this project was the Mi Vivienda Fund which was started in 1999 and reorganised in 2002.

Its object is to facilitate the accessibility to credit loans for the purchase of homes by the very low income groups. Through registration for one of the national governments housing programmes people without means of their own could qualify for a “soft” loan or a mortgage with Mi Vivienda.

As well as financing the programme Techo Propio Deudo Cero also aimed to attract private building companies to realise cheap housing. These companies should take on the design, the construction, the financing and the interior of the houses (Fernandez-Maldonado & Bredenoord, 2010). The task of the government would be to channel the project by means of careful planning and housing distribution. The lots remained the property of the national government, which for that matter did not meddle with the selection process.

According to the residents of El Mirador selection took place on the basis of their income, whether or not they were registered with the municipal land registry office as well as their actual living situation.

The price of a house in El Mirador is \$ 4000. To be eligible for financing one had to be able to pay a 10% deposit out of one’s own means. If they met all requirements the selected households could

receive a loan from BANMAT (Box 5.2). The selection of those households was made by private banks: “Wiese South American Bank, Interbank, Banco del trabajo, Financiera Solucion, Bancofinanciero, Caja Municipal de Maynas, CRAC SeñordseLuren –Ica, CRAC Nor Peru – Trujillo, Caja municipal de Trujillo, CRAC San Martin Tarapoto, Caja municipal de Tacna” (Caramutti, 2004, p.34). Always three eligible households were selected. If the first household did not meet every requirement the second household was eligible. However the first household was allowed a period of two years to sufficiently improve its situation before the second household was considered. The same went for the second household. Finally the third household might get a chance.

The El Mirador project is divided in 5 neighbourhoods. Its houses were designed by the Department of Housing and Urban Development and finance was made possible by BANMAT which supplied the necessary materials. Ultimately 1510 houses were built in El Mirador. The five neighbourhoods appeared in stages: the first neighbourhood in May 2006, the last in January 2007.

Box 5.2: Banmat

The Banco de Materiales regulates the financing of housing for the poor households without access to traditional banking because of insufficient income. BANMAT was established in 1980 but in later years president Fujimori used it for political ends. Since 2002 it enlarged its activities from providing loans to supplying building materials. BANMAT is not part of the regular banking system but directly deals with the groups concerned, which have to approach one of its offices to be included in the programmes.

Source: Bredenoord, J. & Fernandez-Maldonado, A.M. (2010)

5.3 Physical description of Nuevo Pachacútec and El Mirador

In this paragraph a physical description of both projects will be given: existing basic provisions, number of residents and how many lots in each neighbourhood. Also mention will be made of the authorities supplying the neighbourhood or community with the necessary basic provisions. The field work for this research was done in neighbourhoods A2 and B4 of Nuevo Pachacútec, and in neighbourhoods 2 and 3 of El Mirador (Map 5.5 & Chapter 3).

Map 5.5: The neighbourhoods of Nuevo Pachacútec and El Mirador



Source: Municipalidad Distrital del Ventanilla, 2009

Nuevo Pachacútec is part of Ciudad Pachacútec and lies in the north of Ventanilla on a desert coastal plain near the Pacific, with an area of 5,32 square km’s (Map 5.3 & 5.4). A commission established by the Department of housing (COFOPRI) took care of the allotment of land to the new residents in Nuevo Pachacútec (paragraph 5.2.2).

Between 2000 and 2002 the five neighbourhoods were subdivided into three, four or five neighbourhoods per neighbourhood. Nuevo Pachacútec numbers 21 neighbourhoods, 518 housing blocks and 10.500 lots for the residents to build their own self-help house on. Generally the lots are 120 m² big. In 2002 approximately 40.700 people lived in Nuevo Pachacútec. In appendix V a list can be found of the number of lots and residents per neighbourhood and neighbourhood.

El Mirador (Maps 5.3 & 5.4) has approximately 3200 residents who live in 1510 houses (Field research, 2009). The area's total surface is 0,49 km² and in the south it borders on neighbourhood E of Nuevo Pachacútec. The five neighbourhoods number respectively 358, 350, 302, 248 and 252 lots (Bedoya, 2006, p. 37). The exact number of houses in the project El Mirador is not known as no data were available. According to local information neighbourhoods 2 and 3 respectively numbered 370 and 300 lots. Not every house is occupied. On an average 8 of the 18 houses per block and 800 of a total of 1510 houses are inhabited.

The size of the lots of this social building project is approximately 72 m² (12 x 6) and the houses, designed by the Department of housing, were built on 22 m², with the possibility of extension if desired. The original house includes a kitchen, shower and toilet, a scullery and one bedroom (Caramutti, 2004. p.35).

The (sub-) project of El Mirador has asphalted approaches and footpaths, unlike the neighbourhoods in Nuevo Pachacútec where many streets are still unpaved. According to local development plans of 2000 and 2004 the neighbourhoods A up to and including E as well as the neighbourhoods 1 till 5 should all have provisions for schools, markets, living quarters, home business, parks and industry (DFID, 2005). What happened to the realisation of these plans will be dealt with in chapter 6.

In Peru the task of and responsibility for the supply of clean water, electricity, sewerage and a refuse collection service within its boundaries lies in the hands of the provincial government (Gobierno Regional del Callao, 2010). SEDAPAL is the executive authority for supplying most of these services in the metropole of Lima/Callao. EDELNOR is the executive and coordinating governmental authority for the installation and management of electricity systems.

The regional government agreed to cooperate with the municipality of Ventanilla regarding the (future) supply of services and the allotment of land within the planning for schools, hospitals or clinics and parks. In 2001/2002 the NGO Alternativa took care of the construction of waterworks in the neighbourhoods A till E in Nuevo Pachacútec, in partnership with the resident's associations and SEDAPAL, with money from the EU. A short description of the project can be found in Box 5.3.

Box 5.3: Construction waterworks system NGO Alternativa

In 2001 Alternativa started its activities in Nuevo Pachacútec with the construction of a drinking water supply system, supported financially by a German NGO: Agro Accion Alemana. The system contains independent water reservoirs with sufficient capacity for the population of Nuevo Pachacútec. These reservoirs (north and east of the municipality) are filled by water trucks; delivery and quality of the water are guaranteed by SEDAPAL. The water is conducted to the neighbourhoods A till E by way of a waterworks system. Each housing block has its own tap where the residents can fill their own barrels (Bonfiglio, 2002, p.16). The project of Alternativa was intended to limit health hazards. Up till then water of insufficient quality was transported weekly by water trucks to the selfhelp settlements. The new system provides acceptable drinking water for a price that poor people can afford. In some neighbourhoods the price per water barrel dropped from 1,20 soles (32 eurocents) to 1 sol (27 eurocents).

The project supplies 85% of the lots in Nuevo Pachacútec with drinking water and was realised in two stages. In 2001 9 reservoirs and 256 tap points for 1800 households were built. Nine working committees and 9 water authorities were engaged in managing and administrating the water consumption, the maintenance of the reservoir, the water supply network, the installation and the system's quality.

In 2002 the second stage was realised. Alternativa built another eight reservoirs as well as a drinking water installation for 4805 households. Eight new management organizations were appointed (neighbourhood organizations "water in the neighbourhood".) These bodies co-operated with other neighbourhood institutions from the pilot Project Nuevo Pachacútec in the management of the neighbourhood.

Source: NGO Alternativa, 2003

Almost every lot and every house in Nuevo Pachacútec and El Mirador is connected to the water-works. At the time of this research El Mirador was the only neighbourhood in Nuevo Pachacútec with a provisional sewerage system. The functioning of the water-works and the sewerage system will be explained in Box 5.4.

Box 5.4: Functioning waterworks and sewerage system of El Mirador

The social housing project of El Mirador has its own water supply. There are three plants for all neighbourhoods with a joint capacity of 25000 litres, which are replenished every three or four days by SEDAPAL's water trucks. By way of conduit pipes the water runs into the tanks on the roof of the houses in El Mirador.

Tanks on top of the houses El Mirador.



Sediment plant and natural filtration system.



Source: Field Research, 2009 & PUCP, 2006

El Mirador also has a – provisional – waste water purifying system. West of El Mirador there are fields with a certain kind of plants, where its waste water is filtered. Every other day the organic waste from the households is collected in two sediment containers before it is deposited in these fields. Every six months the containers and the fields are cleaned by employees of SEDAPAL. (Bedoya, 2006).

In 2001 EDELNOR installed a provisional electricity system for each housing block in the neighbourhoods A till E. The power bill was shared amongst all residents. In 2006 and 2007 EDELNOR extended these installations , so now everybody in neighbourhood A till E in Nuevo Pachacútec as well as in neighbourhood 1 till 5 of El Mirador has the use of electricity on their property (DFID, 2005 & Field research, 2009).

Nearly every neighbourhood has a leader, a small book store, greengrocer or other small shops but also organizations dealing with safety, water supply etc. In paragraph 5.4 these bodies will be further discussed.

5.4 The administrative division of Ventanilla and the social-political structure of Nuevo Pachacútec and El Mirador

In this paragraph the administrative organisation of Ventanilla will be portrayed and mention will be made of those organizations which are active in the (researched) self-help settlements of Nuevo Pachacútec and El Mirador. A view shall be given of the duties and possibilities citizens, NGO's, entrepreneurs, other interested parties and governments have at their disposal to carry out a project. The decision-making in favour of such a project shall be explained by using an example: a strategic development plan for the self-help settlements of Nuevo Pachacútec.

But first shall be gone into the governing bodies and the budget for spatial planning of Ventanilla to get an idea to what extent the municipality is able to fulfil her duties and responsibilities regarding the urban development and improvement of neighbourhoods and communities.

5.4.1 Governing bodies and the budget for spatial planning of Ventanilla.

As stated in paragraph 4.3 the municipality of Ventanilla is part of the region and province of Callao. It co-operates with the regional government regarding the supply of basic and social provisions (water, electricity, waste collection, schools, hospitals or clinics, parks and/or other necessities) as well as the allotment of land from the various development plans of the municipality of Ventanilla (Plan for citizens' participation, 2004, Gobierno Regional del Callao).

Ventanilla's local government has the same legal authority and instruments for planning its own area as the regional (provincial) government of Callao has for theirs. Every four years (on a Sunday) the population elects a new mayor and council (paragraph 4.3). The municipality of Ventanilla shares its vision on spatial planning with the province of Callao: to organise local issues in such a way that its social economic development, the natural sources, the environment, the infrastructure and structure of the area are stimulated in "*concertacion*" between the authorities and society. The municipality of Ventanilla always has to consult the regional governments of Callao and Lima and the national government (situated in the centre of Lima) in matters regarding its spatial planning (Municipalidad Distrital de Ventanilla, 2006, p.100).

The budget for the development of the municipality amounts to a percentage of the budget of the regional government of Callao for the development of its province/region. Each of Callao's six municipalities gets 16,1 % of this budget (100:6). 70 % of this budget is directly financed by the national government, 20% by FONCOMUN⁵ (fund national government) and 10 % comes from local taxes. In 2005 the local population contributed 144 soles (36 euros) per every owned lot/self-help house for the maintenance of the neighbourhood, such as waste collection, maintenance of parks, infrastructure, meetings and other activities organised by the council (Municipalidad Distrital de Ventanilla 2006, p.48).

In addition the municipality has its participatory budget (see par. 4.3.1), to be used for the realisation of public projects such as establishing infrastructure, maintaining public stability, social safety, the lay-out of parks, the building of a school or hospital. In 2008 this budget of Ventanilla amounted to 9 million soles (2,5 million euros), of which 5% (450.000 soles = 120.000 euros) was invested in projects realised by NGOs for the development of self-help settlements.

In Peru various NGO's cooperate with the local population. Thus they play an important part in regional and local development. They are mainly engaged in the setup of technical projects, training and coaching, pilot development programmes and other initiatives. They also endeavour to assist the community with information material, e.g. about hygiene and the preparation of food for families with children in order to become acquainted with a new healthier way of living (Lopez Ricci, 2003).

In the first instance NGOs will get in touch with the people and community- or neighbourhood organizations if they want to help with a certain activity or a private project. They present their own projects and ask the residents and other parties concerned in a "*mesa de concertacion*" to vote for their favourite project. In this way they make it possible for the community to offer their own suggestions about the social economic development, education, health care and the protection of their environment.

⁵ FONCOMUN is an initiative of the national government. A municipality or province is allowed to use 20% to stimulate underdeveloped areas and the remaining 80 % for its total planning.

5.4.2 Communal organizations at local level and social-political organisation structure of Nuevo Pachacútec

Whenever migrants have created a self-help settlement they form unions to be able to exert pressure on the government for assistance in developing their neighbourhood/neighbourhood by means of supplying basic and social provisions (paragraph 2.4.1). When thus organised the people can take part in and raise their voices about the way to deal with the neighbourhood's development and the problems that may arise. For example; in case of a conflict between households, a burglary, a conflict about the cost of electricity or maybe a shortage of capacity of the schools, etc.

Between 2000 and 2002 a commission supervised by the Department of housing, COFOPRI, initiated the basic organizations for each neighbourhood in Nuevo Pachacútec.

These organizations are responsible for the development of the neighbourhood. Every two years in a special resident's meeting each organisation (re-)elects the leader and residents' council (during this research in April 2009 a resident's meeting took place to determine a date for the election of a new leader in 2011). The neighbourhood leader is responsible for the organisation of meetings where the people can have a voice in deciding which activities for improvement should take place.

The residents council of each neighbourhood organisation consists of 7 or 8 people and discusses these subjects during meetings. When planning an activity or a certain project the local authorities of Ventanilla or the regional government of Callao has to be consulted. Each neighbourhood organisation is autonomous and is allowed to approach NGOs or local/regional governments about available support for their neighbourhood's development. (Interview with representative municipal council Ventanilla/ leader neighbourhood C3 Nuevo Pachacútec, 2009). Each leader and each representative has to have an official document approved by the town hall of Ventanilla which confirms their authority.

The 21 organizations together form a co-operative: "the housing project of Nuevo Pachacútec" and each month their leaders meet about important issues for the planning and development of the area. The president of this co-operative is elected by the people of Nuevo Pachacútec. This president – at the time of this research he was the neighbourhood leader of neighbourhood A2 – is responsible for the contacts and communication with the municipality of Ventanilla and other parties concerned. Next to a president Nuevo Pachacútec has an advisory board. In 2004 this board was re-organised by the regional government of Callao and only 7 members were allowed. At the time of this research the advisory board had again been brought up for discussion as Nuevo Pachacútec had become part of Ciudad Pachacútec, as described in the previous paragraph.

The municipality of Ventanilla has two important contacts in Nuevo Pachacútec, two residents who are council members. They have the task to inform the municipality of any development or problem that may arise. For example a small problem concerning the water supply or waste disposal will be dealt with and hopefully solved by telephone. The meetings each month between the neighbourhood leaders of El Mirador, Pilot Project Nuevo Pachacútec (PPNP) and Pilot Project Especial Pachacútec (PPEP) are of a different category. At these meetings important issues regarding development and planning are discussed.

Next to the neighbourhood organizations other communities play an active part.

In 2002 Alternativa established a water organisation in each neighbourhood for the management/administration of the capacity and maintenance of the reservoirs, the waterworks, installation and the quality of the system. These bodies cooperate with other neighbourhood organizations of the Pilot Project Nuevo Pachacútec. In 2001 the people of Nuevo Pachacútec established employers' associations to promote the development of commercial and industrial zones within the neighbourhoods of Nuevo Pachacútec and El Mirador.

A number of small associations, established by the neighbourhood leaders of Nuevo Pachacútec dealt with subjects as education, public transport, food kitchens, milk supply, etc. The education-, employers- and public transport associations also meet once a month to discuss the actual situation in the communities and neighbourhoods. They present their wishes and demands by telephone or during a meeting to the representatives for Ventanilla or other neighbourhood organizations.

Besides communities the local, regional and national governments have their own representatives for the residents of Nuevo Pachacútec and El Mirador. However, these have not been elected by the people but are appointed by the mayor of Ventanilla, of the region of Callao or by the national government of Alan Garcia.

In chapter 7 a further explanation will be given about the functioning of these organizations and representatives, the kind of activities they undertake and whether they are contributing to the development of the neighbourhood.

5.4.3 Decision making for neighbourhood improvement: the formation of a strategic development plan for Nuevo Pachacútec

During the period 2003-2004 the people of Nuevo Pachacútec, their community associations (organizations and leaders) and representatives of the housing project Proyecto Piloto Nuevo Pachacútec combined with a commission from the department of housing (representatives of the national and regional governments), the NGO COPRODELI (Box 5.5) and the San Marcos University in the formation of a strategic development plan for the years till 2010. This plan was an initiative of the resident's association and the leaders and was favourably received by the people within a process of "*concertacion*" (in which agreements are reached between various parties with different interests, so solutions can be formulated and responsibilities assigned (paragraph 4.3.1) where every interested party would be able to take part in the discussion about their city's future. The English Department for International Development financed this scheme (DFID, 2005).

Box 5.5: NGO COPRODELI

COPRODELI is a Spanish NGO with assistance- programmes for medical care, education, employment and self-help constructions for housing. It is an independent body that can make its own choices regarding the help needed. It contributes to the development of Nuevo Pachacútec's self-help settlements and neighbourhoods by stimulating the education of its children. At the moment COPRODELI is the only NGO active in the researched neighbourhoods of Nuevo Pachacútec.



Source: Field research, 2009

COPRODELI is active at four schools in Pachacútec: San Franco Solano, San Juan Macias, San Martin and at the recently opened small school Santa Maria. Besides the development plan an operational plan for 2005 was drawn up with proposals for improvement projects developed by the community associations of Nuevo Pachacútec. A few examples of these proposals were:

The construction of a basic infrastructure: "blacktop" main roads for a better connection between the neighbourhoods, as well of footpaths.

The installation of a sewerage system in each neighbourhood and neighbourhood.

Building schools, hospitals and markets for the city's inhabitants.

For the preparation of the development plan special neighbourhood organizations were appointed (see previous paragraph). The council of Ventanilla supervised the formation of the development plan with as object a strategic and durable development of Nuevo Pachacútec. The proposed projects were discussed in 2003 during meetings organised by the municipality of Ventanilla. Here neighbourhood associations and other representatives of Nuevo Pachacútec could speak out and sound their motivations in favour of these projects.

It is not clear which percentage of the participative budget actually was invested in the improvement projects. The development plan was seen by the advisory board of Nuevo Pachacútec as a possibility to organise local problems in such a way that the social economic development of its area, its natural sources (tourism), the environment, the infrastructure and the planning of the area should be tackled

in harmony with “*concertacion*” and co-ordinated with the local authorities and the society of the city of Nuevo Pachacútec (DFID, 2005). It is not known to which extent the development plan has been actually carried out. In fact – not a single interviewed leader of the researched neighbourhoods knew about the existence of such a plan.

Whether the development plan is still being used as a guide for regional planning will be made clear in chapters 6 and 7.

5.5 Summary

In this chapter the local context of this research project has been contextualized. As the researched neighbourhoods of the self-help settlements in Nuevo Pachacútec are part of the municipality of Ventanilla its geographical and social-economical characteristics are discussed first. Second an image of its urban development from its origin in 1960 to the most recent urban expansion within the municipality has been outlined. It has become clear that Ventanilla has no strong economic prospects or drivers. Trade in goods and services is limited and as jobs are scarce there is a high level of unemployment. The inconsiderable local market does not contribute to the economical perspectives either. It is mainly the small entrepreneurs in the informal circle that decide the economic activity.

The liveability of the environment did not contribute either to the municipality’s development, with reference to the unorganised growth of the settlements, the informal housing market and unplanned urban expansion in areas unsuited for habitation, environmental problems in watery country, bad road infrastructure obstructing the attainability of industry and the lack of safety and criminality in some neighbourhoods. All these problems impede the economic growth of Ventanilla.

Nuevo Pachacútec is the most recent urban expansion of the metropole of Lima and Callao and tells the story of new migrants coming from different areas, hoping to find better living circumstances in the capital. The history of this urban expansion has been discussed, its physical characteristics, the presence of basic provisions, the number of residents, how many parcels of land and which authorities are responsible for the basic needs available for each neighbourhood.

Also illustrated is to what extent the municipality can fulfil its tasks with regard to regional planning. Whenever Ventanilla wants to realise a planning project consultation will have to take place with the regional or local government about its preparation or execution.

Furthermore a description is given of the communal organizations active in the neighbourhoods and neighbourhoods of the (researched) self-help settlements in Nuevo Pachacútec and El Mirador and of the possibilities at the disposal of citizens, NGO’s, industries and other parties concerned for executing improvement projects, as well as the mode of decision making regarding such projects.

Among other items the next chapter shall deal with the history of migration, why the migrant has chosen to live in Nuevo Pachacútec and where did he/she live before. The answers to those questions are important to the answer to the first research question and to get a picture of the development of the areas involved, their population, the history of the self-help settlements in Lima and the (possible) shifting of the migration movements.

5.6 Conclusion

The self-help settlements of Nuevo Pachacútec and in consequence the neighbourhoods of this research are part of the informal urban expansion on the outskirts of the metropole of Lima. In Nuevo Pachacútec also the urban growth is shaped by collective efforts of the poor/ low income groups who structurally have no entrance to existing living areas. This collectivity shows in the functioning of neighbourhood and neighbourhood organizations, networks and associations responsible for the development of neighbourhoods or neighbourhoods in a self-help settlement.

These settlements are situated on the north side of the metropole in the municipality of Ventanilla, which owes its development to a rapid population growth since 1980. Between 1980 and 2007 the population rose from approximately 20.000 to 277,865 people and it is still growing. The most important cause of this increase used to be the traditional move from countryside to city (see conclusion chapter 4), but later on moving within the city (immigration) became more important and now they are more extensive than the migration moves from country to city. Thus a large part of Lima's urban expansion in the past 15 years happened inside the municipality of Ventanilla, where internal migration from Lima to Ventanilla played a very important part.

The measure of employment did not keep pace with this fast population growth. The municipality has no strong economical stays. The urban development shows a picture of random growth of settlements, urban expansion without planning in areas unsuitable for habitation, environmental problems in watery areas, an informal housing market, bad road infrastructure hampering industries and criminality preventing the development of economic activities.

The urban growth began in 2000 when the regional governments of Lima and Callao deposited the enormous housing problem which was a result of the arrival of many (im)migrants with the local administration of the municipality of Ventanilla, hoping that in this way the problem could be solved sooner.

However, the problem was that households that had been living in the south of Lima, in a rental home or with their parents, had unlawfully seized privately owned agricultural land in order to create a new future on their own parcel. The local authorities tried to evacuate this land so the National Government decided to intervene and relocate the households in the northern part of Lima. This happened between 2000 and 2002.

The national government provided the first residents of Nuevo Pachacútec with temporary basic provisions such as drinking water and electricity and gave them ownership papers. In 2000 the people of Nuevo Pachacútec only had their provisional basic needs, for the rest the area was like a desert where they had to build their own home with materials found in the surroundings. Later – in 2006 – the first residents of the social building project El Mirador in Nuevo Pachacútec were not so inconvenienced.

Through registering in a social building programme by the national government people without means of their own were eligible for a ready built home, for which they could take out a “soft” loan with a special credit bank. In the next chapter on the basis of empirical results the general characteristics of the residents of Nuevo Pachacútec and El Mirador will be outlined.

6 The residents of Nuevo Pachacútec and El Mirador and their general characteristics

In this chapter the during the spring of 2009 surveyed neighbourhoods of Nuevo Pachacútec: A2, B4 and El Mirador's neighbourhoods nrs. 2 and 3 are analysed, in order to find an answer to the first three sub-questions of this research project. These are:

1. *How and where lived the residents of Nuevo Pachacútec before they came to Nuevo Pachacútec and why do they live there now?*
2. *What are the general features of the surveyed self-help settlements in Nuevo Pachacútec?*
3. *What role do land ownership and (formalised) land rights play in the development of the surveyed self-help settlements of Nuevo Pachacútec.*

Because of the relatively small proportion and the poor response from the people in neighbourhoods 2 and 3 of El Mirador, their data have been combined for comparison with neighbourhoods A2 and B4. Also the sum total of the entire random test shall be used to show their relation to the average.

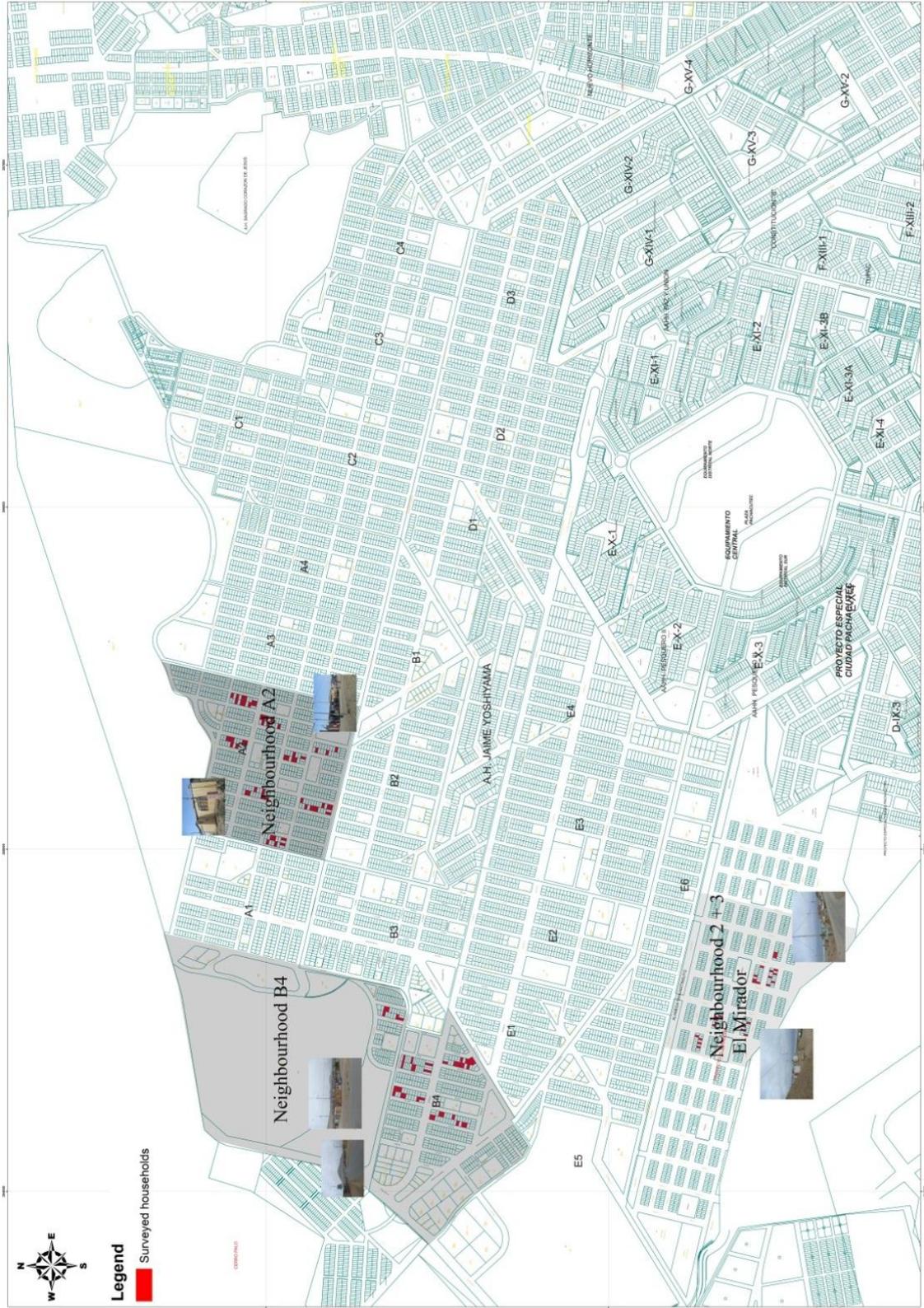
Firstly in paragraph 6.1 the demographical and social–economical characteristics of the residents will be described to get to know their identity, on the basis of data about the size of population, number of residents (men/women), age, education and employment situation. Thereafter the history of migration of the residents will follow: why did he/she choose to come/move to Nuevo Pachacútec, place of origin, his or her part in the process of improvement in the neighbourhood.

In paragraph 6.2 the actual general characteristics, the condition and features of the self-help houses and the ownership titles of the lots in the surveyed neighbourhoods will be outlined. This will explain the role of ownership and (the formalisation of) land titles in the development of the neighbourhoods and will also show how the residents fared in the process of improvement of their neighbourhood. The features discussed in this chapter will give a picture of reality in self-help settlements, such as safeguarding housing and ownership of the people and their families. The next chapter will deal with the possibilities for development that are available to the residents and other parties concerned to develop their neighbourhood further.

6.1 Who are the Nuevo Pachacuteños?

In total 124 inquiries have been carried out among the households in the surveyed neighbourhoods. The persons questioned were the housewife, the head of the household, or in their absence another member of the household older than 15 years (paragraph 3.1.4). In Map 6.1 an overview is given of the situation of the four neighbourhoods in Nuevo Pachacútec and of the households concerned. Appendix VI contains overview maps of each surveyed neighbourhood.

Map 6.1: Overview of the situation of the 4 surveyed neighbourhoods in Nuevo Pachacútec⁶.



Source: Municipalidad Distrital de Ventanilla, 2009

⁶ The map shows the situation of the four surveyed neighbourhoods: A2, B4 and neighbourhoods 2 and 3 in Nuevo Pachacútec. The households that were questioned are marked in red. A few photos are added to the map to give a picture of the local situation in the neighbourhoods.

6.1.1 Demographic features

The people of Nuevo Pachacútec belong to the 7,5 % of the population that prefers to live on their own property, a piece of land from which they cannot be expelled (Adrem, 2003). There is clearly a difference between the numbers of residents in the neighbourhoods A2, B4 and the neighbourhoods 2 and 3 in El Mirador (Table 6.1). The explanation for this difference is the number of land parcels per neighbourhood: Neighbourhood A2 with 800 lots, B4 with 523 lots and El Mirador (neighbourhoods 2 and 3) with 670 (300 + 370). In A2 and B4 on an average 12 of 24 lots per housing block are uninhabited and in El Mirador 8 of 18 lots per block. In paragraph 6.2 an explanation will be given for this considerable vacancy.

Table 6.1: Number of residents in researched neighbourhoods per gender

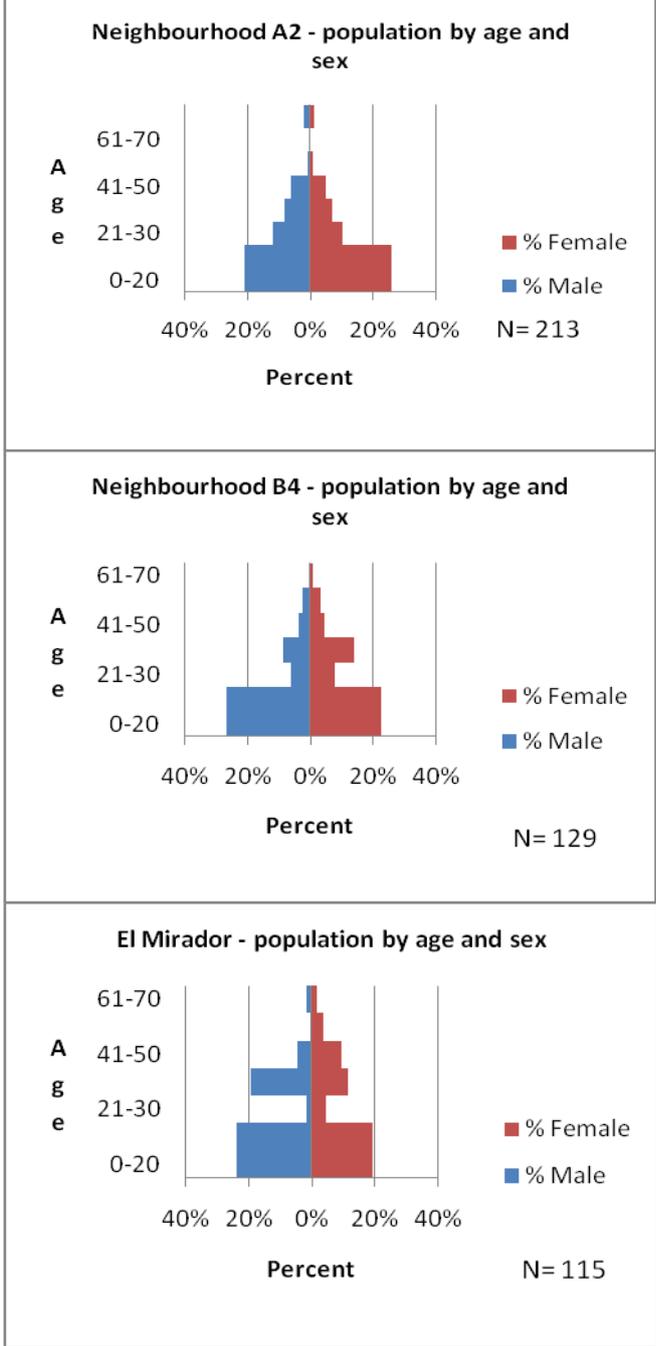
Gender	Neighbourhood A2		Neighbourhood B4		El Mirador		Totals	
	n=	%	n=	%	n=	%	n=	%
Male	118	51%	72	46%	55	47%	245	48%
Female	115	49%	86	54%	61	53%	262	52%
Totals	233	100%	158	100%	116	100%	507	100%

Source: Household survey, 2009

The female part of the population seems to be bigger in the younger neighbourhoods. The difference can mainly be found in the age groups 0-20 years (Figure 6.1). However, the definite numbers are too small to be significant.

Figure 6.1 shows a young population in the researched neighbourhoods which for the larger part may be explained by the so-called "*migration phenomenon*": young adults c.q. young couples want to live on their own and thus leave the parental home. As most of them have little means they opt for a self-help settlement for a place to live, hoping for a better and in particular an independent existence. Later in this paragraph the migration history will be discussed and this subject will be further gone into.

Figure 6.1: Age pyramids population surveyed neighbourhoods per gender⁷



Source: Household survey, 2009

The average size of the households in neighbourhood is 4,5. In neighbourhood B4 this is 4,3 and in El Mirador it amounts to 4. Most households are families with children. The average family consists of two parents and two children, but per household the number of children varies between two and eight. In Perú the average number of children with parents born in the seventies or eighties is two or three. The generation before that had five or six children (Arambúru, 2003, 106). 10 to 15% of the households are made up of various combinations of family members, parents and children, together with the grandparents, or with siblings, sometimes grandchildren as well as cousins. In El Mirador according to the leaders two to three families occupied each house. However this does not become evident from the results of this research (Table 6.2).

⁷ The category 0-20 is combined as the head of the household/ housewife refused to say the age of the children of the household.

Table 6.2: Composition of households

Households	Neighbourhood A2		Neighbourhood B4		El Mirador		Totals	
	n=	%	n=	%	n=	%	n=	%
Family with children	42	81%	26	66%	25	78%	93	76%
Single parent family	3	6%	4	11%	6	19%	13	11%
Family with no children	1	2%	4	11%	1	3%	6	5%
Several families	4	8%	3	8%	0	0%	7	6%
Single	2	3%	1	3%	0	0%	3	2%
Totals	52	100%	38	100%	32	100%	122	100%

Source: Household survey, 2009

These data confirm the fact that most households are families with children. Also when comparing the researched neighbourhoods with the average household composition it shows that most households are families with children.

6.1.2 Social economical characteristics

6.1.2.1 Education

Education is an essential building stone for the social economic development of mankind. After a solid primary education sufficient possibilities for secondary education are of the utmost importance for the future of the residents (Hall, 2003, p.633). There are four levels of education in Peru: elementary, secondary, institutional/technical and university. The technical school gets its pupils from non-academic secondary school graduates.

The majority of the residents (63 %) has had a (partial) secondary education. Neighbourhood B4 has a lower level of education than the other two neighbourhoods: many people there have followed a technical course or training at an institution. In El Mirador the percentage of former students of a technical college or institute is markedly larger than elsewhere and above average in the total random sample (Table 6.3).

Table 6.3: Level of education residents surveyed neighbourhoods ⁸

Education level	Neighbourhood A2		Neighbourhood B4		El Mirador		Totals	
	n=	%	n=	%	n=	%	n=	%
Illiterate	2	2%	0	0%	0	0%	2	1%
Primary school (unfinished/finished)	22	18%	17	25%	10	16%	49	19%
Secondary school (unfinished/finished)	78	66%	45	65%	35	55%	158	63%
Institute/technical career	16	13%	7	10%	18	28%	41	16%
University degree	1	1%	0	0%	1	2%	2	1%
Totals	119	100%	69	100%	64	100%	252	100%

Source: Household survey, 2009

⁸It is not clear what the education level is of the children of the households because the majority of the surveyed households, the housewife or head of household, refused to tell the education levels of their children, therefore the results presented could give a distorted image of the education level of the residents of the surveyed neighbourhoods. Furthermore it is important to keep in mind that the categorization of a person according to a certain level of education can imply several things. It may indicate that the person has completed (part of) this level and is no longer in school. However it may also signify that he or she was studying at this particular level when the research was conducted.

Most likely the children of Nuevo Pachacútec will be the future residents of this part of the city. If this will be the case they not only have to find employment but will also be required to further help develop their neighbourhood.

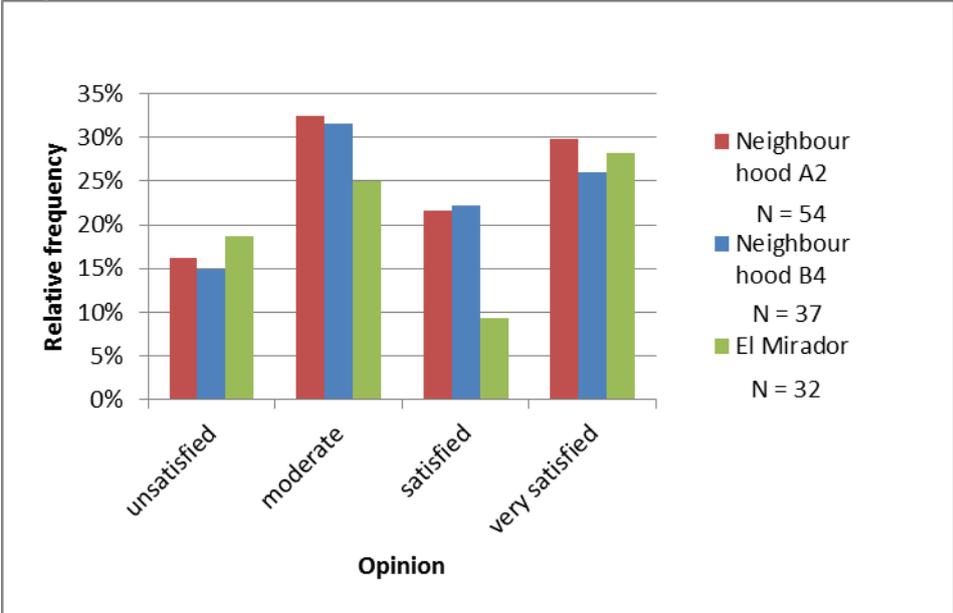
In order to get insight in how far the people in the researched areas are satisfied with the available means of education for their child their opinions about the quality of education were probed (Figure 6.2).

The people of neighbourhood A2 are moderately satisfied with the existing education possibilities in their neighbourhood. There is only one school. Owing to a shortage of teachers the teaching level is mediocre. The children do not go to school every day, sometimes only three or four hours a week. Besides a school there is also a play centre in this neighbourhood.

In Neighbourhood B4 there is no school but the people are satisfied with the surrounding schools . However, no conclusions can be drawn from this as the population is very small. El Mirador has no schools either. Its children go to school Neighbourhood E or in other neighbourhoods of Nuevo Pachacútec.

On balance the best education possibilities can be found in neighbourhood A2. In neighbourhood E teachers at elementary and secondary schools have to operate in unfinished schools because of the extremely low government budget for education. The plan was for the central government to build 12 schools for both types of education in Nuevo Pachacútec but till now hardly anything was realised. Residents and leaders of El Mirador tried to come to an agreement to cooperate with the department of education. To be eligible for subsidy the department has to judge a construction plan for a new school building, drawn up by the people of the neighbourhood. Up to the present any attempt to cooperation has failed as each year the residents have to deal with a new minister at the regional or national government and consequently have to present their plan again and again. The governments are willing to invest in education, but unfortunately in reality nothing much happens. The consequences of all this for the development of the neighbourhood and the children of Nuevo Pachacútec will be defined in the next chapter.

Figure 6.2: Opinion residents Nuevo Pachacútec about the quality of education in their neighbourhood



Source: Household survey, 2009

6.1.2.2 What do the Nuevo Pachacúteños do for their own living?

This paragraph deals with the activities of the residents in order to make their own living and with the informal economy of the self-help settlements. In appendix VI the location of the activity as well as the provisions (shops, markets, bus stops etc.) in the surveyed neighbourhoods is stated. The main point is that each resident each day has to earn his or her living in order to survive. This can be achieved by selling produce or doing odd jobs as an electrician, a security guard, market vendor, barber, baker's assistant, medical specialist, construction worker and/or basket weaver⁹. The residents with a permanent job work as a bus-/taxi driver, inspector for a bus company, construction worker or in another profession.

Table 6.4 shows that a large part of the residents is self employed. In neighbourhood A2 this percentage is above average. Often it is a case of temporary employment. In neighbourhood B4 there are markedly more family businesses such as shops at home (bookstores, bakeries, small supermarkets, pharmacies etcetera), whereby the whole family is involved. The category unemployed or other comprises those residents without a job at the moment of research, either because of family problems or health, retirement or because they were unable to specify the nature of their temporary employment. Compared with the other neighbourhoods this category is largest in El Mirador.

Table 6.4: Relations of the residents in the surveyed neighbourhoods of Nuevo Pachacútec¹⁰

Employment form	Neighbourhood A2		Neighbourhood B4		El Mirador		Totals	
	n=	%	n=	%	n=	%	n=	%
Salaried labour /permanent contract	11	10%	12	14%	6	9%	29	11%
Self-employed	45	40%	20	22%	14	21%	79	29%
Family business without employees	5	4%	10	11%	2	3%	17	6%
Household activities, unpaid work	38	34%	37	42%	31	45%	106	40%
Unemployed/ other	13	12%	10	11%	15	22%	38	14%
Totals	112	100%	89	100%	68	100%	269	100%

Source: Household survey, 2009

From table 6.5 can be concluded that neighbourhood A2 has relatively many traders and vendors (37 %) amongst its residents. Of the total sample this number is above average. An explanation could be the presence in neighbourhood A2 of two markets: Edificar and 3 de Febrero, where most likely the residents sell their products such as fruit, vegetables, meat, clothing etc. (Neighbourhood B4 only has one market).

⁹ Household survey, 2009

¹⁰ The category family business with staff has not been considered as in the surveyed neighbourhoods of Nuevo Pachacútec no such business was found.

Table 6.5: Percentage of employment according to profession in the surveyed neighbourhoods of Nuevo Pachacútec

Profession	Neighbourhood A2		Neighbourhood B4		El Mirador		Totals	
	n=	%	n=	%	n=	%	n=	%
Drivers	7	12%	1	3%	2	8%	10	9%
Service jobs	14	24%	4	13%	14	58%	32	28%
Builders	11	19%	11	34%	5	21%	27	23%
Traders / vendors	22	37%	7	22%	2	9%	31	27%
Science and professionals	3	5%	2	3%	1	4%	6	5%
Artisanal and factory workers	2	3%	7	22%	0	0%	9	8%
Totals	59	100%	32	100%	24	100%	115	100%

Source: Household survey, 2009

Another reason could be the number of households with home businesses. However, in neighbourhood A2 only five households were found with shops or a business at home (bookstore, bakery, small supermarket, pharmacy), whereas in neighbourhood B4 ten such households were counted and two in El Mirador. In El Mirador the percentage of households where either the head of the household or housewife has a service job (hairdresser, cleaner, medical specialist, security guard) is markedly high. In neighbourhood B4 some households produce handicraft (for example woven baskets) to sell at the local market or in the streets of the municipality of Ventanilla.

Table 6.6: Percentage of employment according to occupational group in the surveyed neighbourhoods of Nuevo Pachacútec

Occupational group	Neighbourhood A2		Neighbourhood B4		El Mirador		Totals	
	n =	%	n=	%	n=	%	n=	%
Industry	7	12%	1	3%	2	8%	10	9%
Construction	14	24%	11	34%	5	21%	30	26%
Commerce	11	19%	4	13%	2	8%	17	15%
Transport & communication	22	37%	7	22%	2	8%	31	27%
Education	3	5%	2	6%	1	4%	6	5%
Other services	2	3%	7	22%	12	50%	21	18%
Totals	59	100%	32	100%	24	100%	115	100%

Source: Household survey, 2009

Table 6.6 shows that in neighbourhood A2 with regard to the average many residents are active in transport and communication. Perhaps this can be explained with the presence of a bus/taxi station. For that matter neighbourhood B4 also has a bus station that employs some of the residents. In El Mirador the number of people employed in service jobs is above average.

Table 6.7: Location of employment head of household or housewife in the surveyed neighbourhoods of Nuevo Pachacútec

Location of employment	Neighbourhood A2		Neighbourhood B4		El Mirador		Totals	
	n=	%	n=	%	n=	%	n=	%
Nuevo Pachacútec	25	43%	15	38%	6	19%	46	36%
Ventanilla	6	10%	4	10%	3	9%	13	10%
Lima	13	22%	14	36%	20	63%	47	36%
Overig	14	24%	6	15%	3	9%	23	18%
Totals	58	100%	39	100%	32	100%	129	100%

Source: Household survey, 2009

Some 43 % of the working population of neighbourhood A2 is employed in Nuevo Pachacútec itself (Table 6.7), which is above average and most likely due to the fact that this neighbourhood has a school, two markets and a taxi/bus station. Noteworthy is that the largest part of the working population of El Mirador works in Lima, which is way above average. Contrary to neighbourhoods A2 and B4 there is little economic activity in El Mirador, such as shops, supermarkets or a bookstore.

Box 6.1: Public transport in the surveyed neighbourhoods

For traveling short distances (1,5 km) within their neighbourhood or the self-help settlements the residents generally have the use of motor taxi's, paying only 1 or 2 soles (27 or 54 eurocents) per trip. For commuting between home and work there are the so-called collective taxi's of which more people collectively can make use to reach their destination. These vehicles have their stands in neighbourhood A2 and take their passengers to wherever they have to go. Each trip costs 2 soles (60 eurocents). There are two connections: one with the centre of Ventanilla and one with the centre of Puente Piedra (adjacent municipality to Ventanilla). In Puente Piedra or Ventanilla travellers can take a bus that will take them to their work in Lima or Callao. There are also bus lines between Nuevo Pachacútec and Lima or Callao. The bus services are located in neighbourhood B4 and have their stands in neighbourhood A2. They have their stops on the main road which runs through neighbourhoods A,B,C and D of Nuevo Pachacútec. Another bus line runs from neighbourhood B4 via neighbourhood E of Nuevo Pachacútec to Ciudad Pachacútec. The fares of these lines vary: a single ticket to Ventanilla costs 1,20 soles but some bus services charge 1,80 soles for the same trip. The reach of public transport in Nuevo Pachacútec is moderate as buses only stop on the main road and the various bus services maintaining bus lines to the centre, the south and east of Lima and other adjacent municipalities of Ventanilla charge different prices. The residents of El Mirador have to walk more than a kilometer before they can use the bus.

Source: Field research, 2009

Working circumstances are mediocre. According to a fieldwork analysis of the municipality of Ventanilla (2007) 31% of the housewives spend 12 hours or more doing housework, 15 % between 8 and 12 hours, 30 % less than 4 hours. The head of household has to travel 3 or 4 hours each day by public transport to his or her work, leaving approximately at 4 am and returning at 10 or 11 pm.

In the survey the opinion of the residents was asked about the quality of public transport in Nuevo Pachacútec. The majority of the people in the surveyed neighbourhoods is dissatisfied. 62% of the residents in neighbourhood B4, 56 % of the people in neighbourhood A2 and 87 % of those in neighbourhoods 2 and 3 in El Mirador consider the public transport insufficient or bad. This has to do with the small number of bus lines and the inferior quality of the buses (Box 6.1)

Finally the sources of income of the residents of Nuevo Pachacútec (Table 6.8). Most important are private activities undertaken by the entire household and wage-work. It is notable that the majority of El Mirador's residents earn a wage instead of obtaining an income through private activities. This might be explained by the fact that many residents work in service jobs and have to travel for their work between Nuevo Pachacútec and Lima (Table 6.5, 6.6, 6.7). Nothing is known about the income of the households.

Table 6.8: Sources of income households surveyed neighbourhoods Nuevo Pachacútec

Income resources	Neighbourhood A2		Neighbourhood B4		El Mirador		Totals	
	n=	%	n=	%	n=	%	n=	%
Labour	24	31%	10	19%	18	50%	52	31%
Household	45	58%	32	59%	16	44%	93	56%
Own micro-enterprise	5	6%	10	19%	2	6%	17	10%
Family or friends	1	1%	0	0%	0	0%	1	½%
Remittances	2	3%	1	2%	0	0%	3	2%
Aid of NGO	0	0%	1	2%	0	0%	1	½%
Totals	77	100%	54	100%	36	100%	167	100%

Source: Household survey, 2009

6.1.2.3 Summary

A large part of the residents is self-employed, which usually means a temporary job. Naturally each resident has to try and earn a living every day again. There is little economical activity in El Mirador as half of its residents work in Lima in a service job. Economic activity can mainly be found in neighbourhoods A2 and B4. The residents of neighbourhood A2 have the best chance to find employment with two markets, whereas neighbourhood B4 only has one. The highest percentage of unemployed residents can be found in El Mirador, which might be explained by the lack of provisions in this neighbourhood. As in the entire municipality of Ventanilla the entrepreneurs of Nuevo Pachacútec have their market mainly within their own neighbourhood.

Like other residents of the municipality of Ventanilla the Nuevo Pachacuteño rely on the informal economy to be able to survive. This means that sometimes they have to be street vendors in Nuevo Pachacútec or at the market of Ventanilla to supplement the income from their temporary job in order to foresee in the living of their family.

6.1.3 History of migration

In the household surveys questions were asked about the migration history of each household in order to understand the origin of the self-help settlements in Lima and to envisage a possible shift in the traditional migration movement from country to city. Each respondent was asked what his or her most important motives were to move to Nuevo Pachacútec (Box 6.2).

The residents of the surveyed neighbourhoods mainly came to Nuevo Pachacútec to secure their own living space in an economically effective way. Other motives mentioned were: better prospects regarding employment and/or standard of living, in Lima, planning to live with relatives, personal or economical problems and the better climate of Lima compared with the Andean region. Employment prospects might improve because owning a piece of land entitles the settler to generate capital: residents who have registered at the public registration office are allowed to start their own shop, restaurant, cafe or other business. With a permanent address they are also eligible for medical care, education and formal employment (contractual).

Box 6.2: Example of a migrant

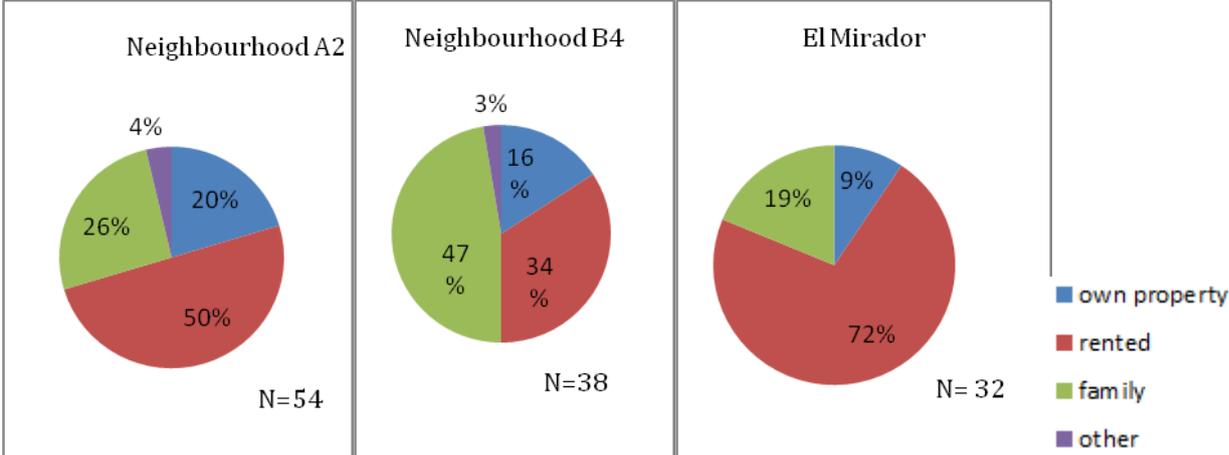
To provide an example, a young man of 23 years old moved with his mother, wife and two children to Nuevo Pachacútec in 2007 for a new start as they could not afford to stay in his grandmother's house, who owned the house in the municipality of Callao, where the family used to live. After the death of the grandmother the family had to find somewhere cheaper to live. The licensed banks (paragraph 5.4) selected this family as a first applicant for a self-help house in El Mirador as they had not been registered at the public registration office of the municipality of Callao¹¹

¹¹ Interview with neighbourhood leader in neighbourhood 3 El Mirador.

6.1.3.1 Features of the previous habitation of the Nuevo Pachacuteños

When asked about their previous habitation it appeared that the majority used to live in different parts of Lima (immigration phenomena). A minority moved from the country to one of the surveyed neighbourhoods.

Figure 6.3: Features of the previous habitation of the residents of Nuevo Pachacútec



Source: Household survey, 2009

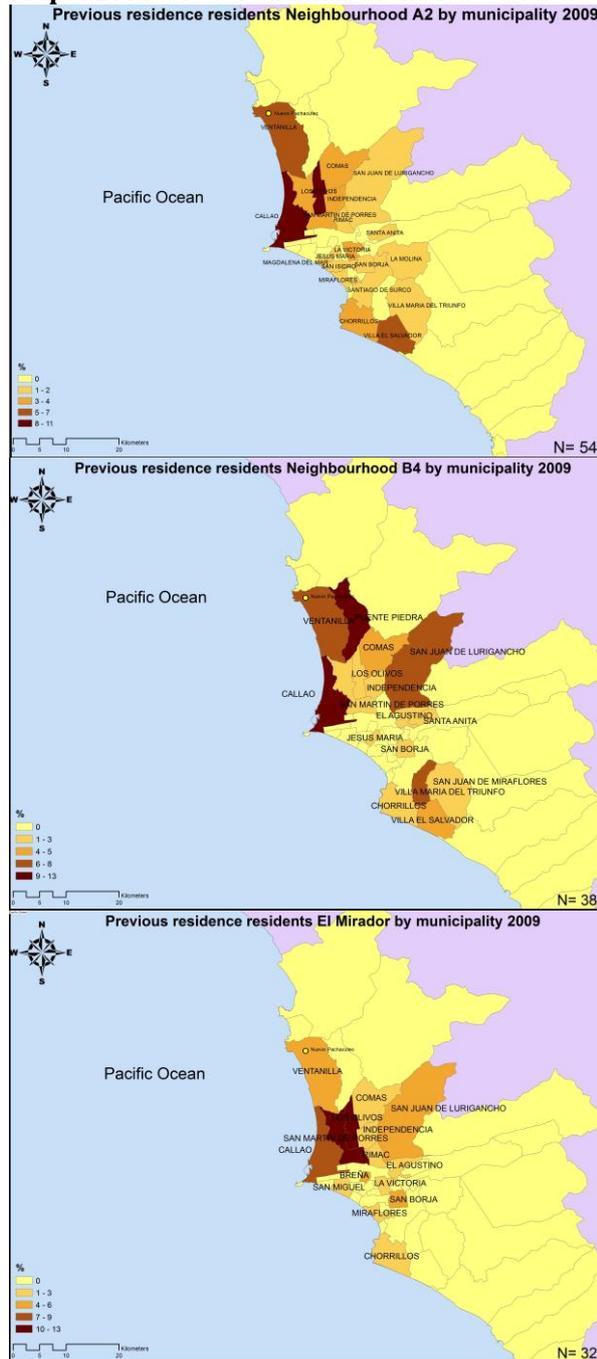
A large majority of the residents in the surveyed neighbourhoods used to live in a rental home or with relatives. In neighbourhood B4 47 % previously lived with parents, in neighbourhood A2 26 % and in El Mirador only 19 %. On the other hand three quarter of the residents of El Mirador used to live in a rental home. In neighbourhood A2 this was half of the residents and in neighbourhoodB4 more than one third. Both groups together represent respectively 76, 81 and 91 % of the households. This high percentage may be explained by the fact that many residents could not afford to buy a house in the more central – more expensive – parts of Lima (Figure 6.3).

In neighbourhood A2 11% of the population comes from the nearby municipality of Callao. In Neighbourhood B4 this is also 11 %, in neighbourhood 2 and 3 of El Mirador it is 9% (Map 6.2).

The residents of the surveyed neighbourhoods mainly came to Nuevo Pachacútec to secure their own living space in an economically effective way. Other motives mentioned were: better prospects regarding employment and/or standard of living, in Lima, planning to live with relatives, personal or economic problems and the better climate of Lima compared with the Andean region. Employment prospects might improve because owning a piece of land entitles the settler to generate capital: residents who have registered at the public registration office are allowed to start their own shop, restaurant, cafe or other business. With a permanent address they are also eligible for medical care, education and formal employment (contractual).

Of the residents in neighbourhood A2 8% have been accommodated by the central government and 16% of the residents in neighbourhood B4 come from Villa el Salvador, Villa Maria del Triunfo and San Juan de Miraflores (paragraph 5.4). A considerable part of the residents in the surveyed neighbourhoods used to live in adjacent municipalities as Callao, Puente Piedra, Los Olivos or San Martin de Porres.

Map 6.2: Previous residence of the Nuevo Pachacúteño

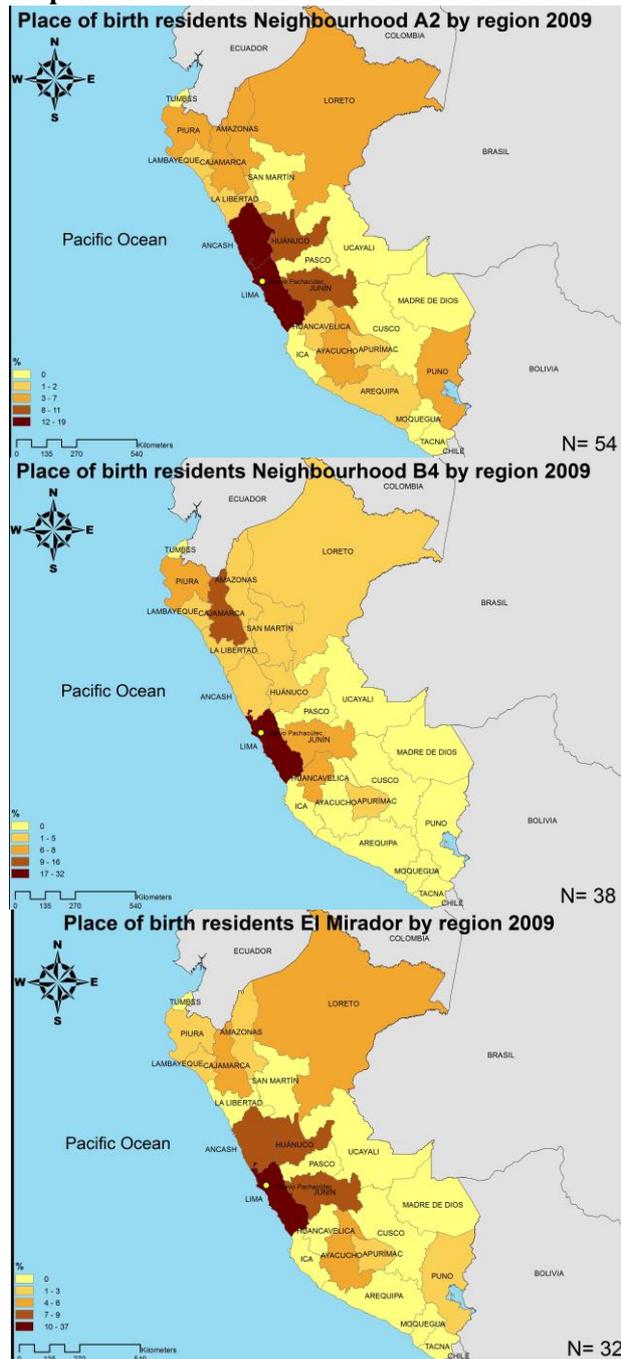


Source: IGN, 2007

6.1.3.2 Place of birth of the Nuevo Pachacúteño

Many residents in neighbourhood A2 and El Mirador come from regions bordering on the region of Lima, like Huanuco and Junin. It further appears that the majority of the residents in neighbourhood B4 used to live in one of the northern regions of Peru. According to the interviewed leaders of the surveyed neighbourhoods migrants from the north mainly settled in the self-help settlements to the north and east of Lima, whereas migrants from the southern regions seem to settle in the south of Lima (Map 6.3).

Map 6.3: Place of birth of the Nuevo Pachacuteño



Source: IGN, 2007

6.1.3.3 Summary

According to Riofrio (2002, p.78) the extent of migration from country to city nowadays stays behind that of the “immigration phenomena”. The results of this research confirm this. In fact the majority of the Nuevo Pachacuteños previously lived in adjacent municipalities in the North Cone of Lima. Having come from the country they first settled there, in a rental home or with relatives as they could not afford to purchase their own house in the more centrally situated (expensive) areas of Lima. From there they later immigrated to Nuevo Pachacútec.

6.2 General characteristics self-help settlements Nuevo Pachacútec

A self-help settlement knows various stages of development. At the beginning of the process people/households occupy a parcel of land somewhere on the edge of the city. This is an area without any infrastructure, no water and electricity, unpaved roads and no entry to important main roads. It also lacks an official zoning plan for the building of houses, drawn up by the council or the province.

How will the issue of housing for these settlers be solved and what about the ownership rights? The first subject deals with the qualitative aspects of the house, the (public) facilities and the matter of financing the self-help activities. Thereafter the significance of ownership rights shall be discussed.

6.2.1 The qualitative aspects of the self-help houses.

The technical features of the self-help houses: construction, lay-out, adjustment to the environment will be outlined, as well as the presence of technical basic facilities in the neighbourhood and the history of occupation.

6.2.1.1 Lay-out of the self-help houses

The size of the lots in neighbourhoods A2 and B4 is 120 m² (paragraph 5.3.4). Most houses in these neighbourhoods have a kitchen, a living room and a bedroom and each house has a lavatory. In El Mirador the houses as such are constructed from a basic module of 22 m² (built of reinforced concrete). They consist of a living room, kitchen, shower, lavatory and a scullery. 50 m² is extra for possible extension of the house (Alternativa, 2004 p.35). Of the 32 interviewed households in El Mirador 14 have already realised such an extension (Photo 6.1). (The description of the building features of the self-help houses in El Mirador is mainly based on the features of these extensions).

Photo 6.1: Spatial impression neighbourhood B4 and El Mirador



Source: Field research, 2009

6.2.1.2 Building materials used

In neighbourhood B4 one third of the houses have a thatched roof. In neighbourhood A2 more houses have a roof made of corrugated iron and/or asbestos. Asbestos appears to be an important building material. In neighbourhood B4 most of the houses have walls of timber. In neighbourhood A2 more brick walls can be found. The walls of the extensions mentioned before of the houses in El Mirador are mostly brick. In all neighbourhoods the floors mainly consist of sand which is also the case in the said extensions (Table 6.9).

Table 6.9: Materials used for self-help house¹²**The roof**

Material	Neighbourhood A2		Neighbourhood B4		El Mirador	
	n=	%	n=	%	n=	%
Thatch	3	5%	12	31%	0	0%
Corrugated iron	21	37%	9	23%	3	18%
Wood	1	2%	0	0%	0	0%
Cement	0	0%	1	3%	5	29%
Corrugated asbestos	27	47%	13	33%	9	53%
Plastic	5	9%	4	10%	0	0%
Totals	57	100%	39	100%	17	100%

The walls

Material	Neighbourhood A2		Neighbourhood B4		El Mirador	
	n=	%	n=	%	n=	%
Thatch	4	7%	1	2%	1	6%
Timber	35	61%	34	83%	9	56%
Metal	1	2%	1	2%	0	0%
Adobe ¹³	7	12%	3	7%	0	0%
Bricks	10	18%	2	5%	6	38%
Totals	57	100%	41	100%	16	100%

The floor

Material	Neighbourhood A2		Neighbourhood B4		Wijk 2 en 3 el Mirador	
	n=	%	n=	%	n=	%
Sand	16	28%	11	29%	6	43%
Sand and cement	33	58%	21	55%	7	50%
Timber or other material	8	2%	6	16%	0	0%
Totals	57	100%	38	100%	13	100%

Source: Household survey, 2009

It takes approximately 1 day to 2 weeks for the “landowners” to build their own house, depending on its construction (Box 6.3). A house built from straw mats and a corrugated roof with a sandy floor can be completed faster than a house with a concrete floor and brick walls with a roof made of corrugated iron or cement.

The majority of the residents in neighbourhoods A2 and B4 built their houses little by little, extending or improving them each year. In the neighbourhoods 2 and 3 of El Mirador the owner could occupy his subsidized house immediately. Till now few residents of the three neighbourhoods managed to build a second floor or extra space, mostly because they lacked finance. Other factors play a part as well, such as the continuous threat of earthquakes (Box 6.4). Not being able to enlarge one’s living space can entail serious problems. A household with 6 members living on 22 m² risks health problems, even with a lavatory (of sorts) at its disposal.

¹² Totals have not been taken into consideration as the building material used for the houses in El Mirador mainly consist of concrete and no selfhelp materials were used, this contrary to the houses in neighbourhoods A2 and B4.

¹³ Adobe is a material made from sand, clay, and water, with some kind of fibrous or organic material (sticks, straw, dung) which is shaped into bricks using frames and dried in the sun. It is similar to cob and mud brick.

Box 6.3: Impression recently build self-help house



A resident interviewed during the fieldwork of this research had recently purchased a lot in Neighbourhood A2, and had built in only one week his own self-house made of timber, corrugated iron and cement. New residents build (in most cases) immediately after purchasing a plot a (temporary) home to secure their own land property, to prevent it from getting invaded.

Photo Self-help house Neighbourhood A2, block M3, plot 8

Source: Household survey, 2009

Box 6.4: Natural threats to self-help houses

The land on which the houses in Nuevo Pachacútec are built is rather unstable and not very suitable for the construction of a second or third floor. Because of random earthquakes in Lima such floors may very easily collapse and cause the destruction of a self-help home¹⁴. That is why most houses in Nuevo Pachacútec are single floored. In case of an earthquake most of the self-help houses could collapse except those in El Mirador as they are built from stronger materials.

Photo: Impression building construction self-help houses.



Source: Household survey, 2009

6.2.1.3 Facilities and the connection with the surroundings

El Mirador has a temporary sewerage system (paragraph 5.3). In the other surveyed neighbourhoods containers are used, which in principle are collected 2 or 3 times a week by the council, together with the other domestic refuse. The garbage trucks only collect the refuse in the accessible neighbourhoods such as neighbourhoods 2 and 3 in El Mirador (paved roads or shingle roads with footpaths on both sides).

¹⁴ Interviews with neighbourhood leaders, 2009

In neighbourhoods A2 and B4 – except the main roads – streets consist of road-rolled sand and are therefore less accessible for the garbage trucks. The residents who live away from the access road are forced to take their refuse to a central point on the main road or to the landfill sites of La Sabana y la Franja in Pachacútec (Municipalidad de Ventanilla, 2006, p.59).

Nearly all self-help houses in the surveyed neighbourhoods are connected to electricity and water. The way this was achieved will be outlined in chapter 7.

6.2.1.4 History of occupation

The majority of the residents in neighbourhood A2 and B4 came to Nuevo Pachacútec 6 to 10 years ago. In Neighbourhood 2 and 3 of El Mirador the residency is much shorter as it is a more recent expansion of Nuevo Pachacútec (paragraph 5.3, Table 6.10). The composition of the neighbourhoods in the surveyed neighbourhood is in fact changing: some residents in neighbourhood A2 and B4 recently sold their own plots and houses and the new owners now are building their own house on these lots.

Table 6.10: Time of residency residents Nuevo Pachacútec

Time of residency in years	Neighbourhood A2		Neighbourhood B4		El Mirador	
	n=	%	n=	%	n=	%
1-2 year	7	13%	2	6%	16	50%
3 to 5 year	9	17%	7	19%	16	50%
6 to 10 year	38	70%	27	75%	0	0%
Totals	54	100%	36	100%	32	100%

Source: Household survey, 2009

6.2.1.5 Financing the self-help property

The people that bought a parcel of land mainly financed their self-help house with their savings or directly from their wages (Table 6.11).

Table 6.11: Method of financing own self-help house by surveyed neighbourhood

Method of financing	Neighbourhood A2		Neighbourhood B4		Wijk 2 en 3 el Mirador	
	n=	%	n=	%	n=	%
Own resources	41	84%	33	89%	12	100
Help from relatives or friends	5	10%	2	5%		
Mortgage of license bank	1	2%	1	3%		
Support by a NGO		0%	1	3%		
Other form of financing	2	4%		0%		
Totals	49	100%	37	100%	12	100%

Source: Household survey, 2009

There are some special cases. In neighbourhood B4 a NGO financed the building of a self-help home (with a concrete floor, walls of timber and a corrugated iron roof) because the residents (a widow with her daughter) were unable to finance it. In neighbourhood A2 some residents each month receive financial support from relatives or friends. In another case a (former) landlord helped with the payment because he wanted a room vacated in Miraflores, a centrally situated municipality of Lima. Sometimes an employer contributes. Another form of finance is a loan from the Banco de Materiales (BANMAT)¹⁵.

¹⁵ Banmat provides loans for the poorest families in the self-help settlements in order to enable them to improve or extend their own property, as this group has no access to regular banks because of their low income standard (Box 5.3).

6.2.2 Significance of land rights and home ownership for the development of the neighbourhoods

To understand the part of home ownership and (the formalisation of) land rights in the development of the surveyed neighbourhoods the residents were asked if they are the first owner of their lot, how they attained the ownership title and how they financed the purchase of the land.

6.2.2.1 Land rights and ownership

From the answers to the question regarding land ownership in Nuevo Pachacútec it appeared that the majority (82%) of the residents were the first owner of the land. In A2 this is 56%, which in the whole of the sample is below average. This may be explained by the recent changes in the composition of the neighbourhood (Table 6.12).

Table 6.12: First owner?

First owner	Neighbourhood A2		Neighbourhood B4		El Mirador		Totals	
	n=	%	n=	%	n=	%	n=	%
Yes	30	56%	31	82%	21	68%	82	67%
No	24	44%	7	18%	10	32%	41	33%
Totals	54	100%	38	100%	31	84%	123	100%

Source: Household survey, 2009

Quite a few residents in neighbourhood A2 obtained the ownership title of their lot through gifts from relatives, often parents. In El Mirador in the case of some ten houses the first prospective purchaser did not turn up or formally abandoned the purchase.

Other ways of obtaining a parcel of land in Nuevo Pachacútec are: squatting, renting a house in order to afterwards buy the land or via a friend.

Ownership entitles residents to personally generate capital from their property. If they are registered at the public registration office in their municipality they can open a shop, restaurant or any other business. Another source of income for the home owner is to let out his property to others.

6.2.2.2 Financing

The majority of the residents of neighbourhood A2 financed the purchase of their lot with their own money (Table 6.13); 6 households received help from relatives or friends and one household was supported by a NGO. This NGO bought the land and had a self-help house built for an illiterate woman who was unable to care for her children.

Table 6.13: Method of financing.

Method of financing	Neighbourhood A2		Neighbourhood B4		El Mirador	
	n=	%	n=	%	n=	%
Own money	47	84%	38	100%	32	100%
Help from relatives or friends	6	11%	0	0%		
Mortgage of license bank	2	4%	0	0%		
Support by a NGO	1	2%	0	0%		
Totals	56	100%	38	100%	32	100%

Source: Household survey, 2009

Each of the residents questioned in the neighbourhood of Nuevo Pachacútec has a certificate of ownership of his land and is therefore the legitimate owner. Between 2000 and 2002 the central government (COFOPRI) issued ownership titles to the residents of Nuevo Pachacútec. The people of neighbourhoods A2 and B4 only had to pay 100 soles (25 euros) for their ownership title (paragraph 5.2.2).

It is not difficult for residents in neighbourhoods A2 and B4 to sell their parcel of land. As legitimate owners they are free to sell any time. The capital generated on the land or in the house can be sold together with the self-help home in consultation with the buyer. It is not possible to sell if the government owns the land. The province of Callao owns those lots in Nuevo Pachacútec which are mortgaged or not yet being used.

Box 6.5: Mortgaged lots and new legislation and regulatory for the legalisation of land.

Some residents of the neighbourhoods A up till E in Nuevo Pachacútec have no certificate of ownership of their land or are not legitimate owners because in 2002 they did not pay the purchase price of 100 soles for the ownership title and -certificate of their lots. Those lots, as well as the empty ones are still mortgaged and owned by the province of Callao.

In April 2009 the regional government of Callao's policy for land legalisation has been revised. The new policy allows those residents who have been occupying a parcel of land in Nuevo Pachacútec for three years or longer are as yet entitled to legalisation of the factual "possession" of their land.

However in 2009 the value of the land has greatly increased as most neighbourhoods in Nuevo Pachacútec have basic facilities such as electricity and water . Therefore those people who have lived in Nuevo Pachacútec for three years or longer without ownership title will have to pay much more than 100 soles (30 euros) requested during the former legislation. Each neighbourhood organisation is under obligation to hold a copy of this new land policy.

Without an ownership title residents cannot start a business on their land, such as a small restaurant, bookstore or small market¹⁶

In neighbourhoods A till E of Nuevo Pachacútec there are some problems regarding home ownership and formalisation of land rights. In 2002 some households did not pay 100 soles for their ownership title of the land because they did not trust the government's policy for legalisation of the land. They only paid 80 soles (25 euros) and consequently their lot is now mortgaged. Those residents have taken out a loan at the credit bank BANMAT.

They are not allowed to extend their homes or build an extra floor because their land is owned by the regional government (Box 6.5) till they have paid off their debt with the creditbank BANMAT (Box 5.2). When this is done they can collect and pay for their certificate of ownership at the regional office of the province of Callao, which is the owner of all mortgaged and empty lots in Nuevo Pachacútec and El Mirador.

The residents of neighbourhoods 2 and 3 in El Mirador are allowed to sell their property as long as they have paid off the loan of \$3600 to BANMAT and have met with a few other conditions. When a resident of El Mirador wants to move away the legal owner of the house has to consult the next resident (second or third applicant, see paragraph 5.4) whether he is prepared to purchase the (possible) extension of the house. If no applicant has been selected the owner may sell his house to any prospective buyer.

6.2.2.3 The influence of land ownership and the (formalisation of) land rights on the development of the neighbourhood, the designation of the land and the access to basic facilities.

As soon as the residents of neighbourhoods A2 and B4 in Nuevo Pachacútec and neighbourhood 2 and 3 of El Mirador are in possession of their ownership certificate they can approach SEDAPAL or EDELNOR for installation of water supply and electricity. These public utilities demand from the residents proof of ownership as well as a certain income level. These residents are also eligible for medical care, education (schools, courses) and formal work (with a regular contract) as they now have a fixed abode. The medical centres in neighbourhood B4 and C2 do not meet the need for proper medical care. Most residents in Nuevo Pachacútec cannot afford medical insurance.

¹⁶ Interview with Neighbourhood leader E of Nuevo Pachacútec, 2009

Possession of property and thus a registered permanent place to live is also important when confronted with situations like sickness or employment of the head of household or some other emergency (UNCHS, 1996). Summarized an ownership certificate does not only mean the right to utilize but it also entitles one to other rights, c.q. permission to develop certain activities. Clearly it is very important for the residents to legally own the land on which they are about to build their houses. But this also applies to everyone who runs a stall within a shopping area or at a market in Nuevo Pachacútec, even when it concerns a planned industrial or commercial area which has not yet been legalised. A tradesman or vendor needs his own certificate to be able to sell his products or open his/her own shop.

The research showed that traders/vendors had no licence for a (market) pitch in Nuevo Pachacútec. The residents of neighbourhood A2 with a pitch on the market Edificar do not have individual licences. The secretariat of the neighbourhood organisation has bought up the licences for the market. If a resident does not use his/her pitch the organisation can give the licence to somebody else, with as a possible consequence a resident losing his employment.

Another situation where legal ownership in a housing block, neighbourhood or settlement is important, occurs when a NGO or the regional government has decided to help with a certain project. They demand legalisation of all parcels of land concerned. The reason for this is unknown. It may be that they want a guarantee from the residents that the help offered for the development of a home or the neighbourhood in reality will lead to results.

6.2.2.4 Trafficking in ownership titles of the lots in Nuevo Pachacútec

A notable phenomenon at the moment of research in neighbourhood B4 (but which also occurs in other neighbourhoods of Nuevo Pachacútec, except El Mirador) is the trafficking in ownership titles. This trade has a negative influence on the development of a neighbourhood. The assumption in paragraph 2.2 that legalisation of land ownership might create conditions for opportunistic behaviour so that well-informed people might influence the development process to their own advantage turned out to be accurate. Some neighbourhood leaders in Nuevo Pachacútec cooperate with the municipality of Ventanilla or the province of Callao about the formalisation of land rights and the issue of landownership certificates in their own neighbourhood and even sell land parcels to the new residents or migrants with no domestic or industrial destination, which in reality are meant for the lay-out of a park. The leaders also enrich themselves by asking high prices for “their” lots. Some residents of neighbourhood B4 have presented their own revision of the zoning for their neighbourhood to the local office of Ventanilla, wherein the original green destination changes into residential areas. Next the local government agreed to this change of zoning without asking the opinion of the population.¹⁷ Practices like these are causing conflicts amongst the residents of Nuevo Pachacútec and they want the authorities to deal with the problems. Fortunately the majority of the neighbourhood leaders are resisting these arbitrary zoning changes from green/parks. One of the reasons the residents like to have a park in each neighbourhood is that green areas have a favourable influence on urban air pollution (by oil refineries and petrochemical industry, see paragraph 5.2).

6.2.3 Summary

From the analysis of the self-help houses it appears that the houses in neighbourhood 2 and 3 of El Mirador are more solid constructed than those of the other surveyed neighbourhoods and that the neighbourhood itself is in a better condition. In the event of an earthquake one can expect that relatively many houses in neighbourhoods A4 and B4 will collapse. Contrary to neighbourhood A2 and B4 Neighbourhood 2 and 3 of El Mirador has a sewerage system. Consequently the houses in El Mirador will have a higher economic value for their owners than the self-help houses in neighbourhood A2 and B4. The estimated value of the houses in El Mirador is \$4000.-

Conclusion: home-ownership and formalisation of land rights are important for the development of the neighbourhood in case of planned activities for neighbourhood improvement by organizations or other stakeholders with the purpose of development in one of the surveyed neighbourhoods of Nuevo Pachacútec.

¹⁷ This phenomenon in Peru is called trafficking plots of land, the residents – called *traficadores* – present a plan to the local government of the municipality of Ventanilla to legalize ten plots of land for new migrants. The local government agrees and the plan is approved.

Home ownership and official land ownership entitle residents to basic facilities like water and electricity. These facilities will have to be maintained collectively. How this can be done shall be made clear in the next chapter. Formal land ownership is also a condition in case one wishes to increase the value of their property by expansion/improvement of their own home. It is essential for starting a business or shop and for access to other basic facilities and/or social services. The trafficking in ownership certificates of and licenses for land parcels has a negative influence on the neighbourhood's development, with as main example the change of zoning where it concerns the planned lay-out of parks etcetera which endangers the quality of living in the neighbourhood.

6.3 Conclusions

The first three sub-questions of the research project have been answered in this chapter, namely:

1. *How and where lived the residents of Nuevo Pachacútec before they came to Nuevo Pachacútec and why do they live there now?*
2. *What are the general features of the surveyed self-help settlements in Nuevo Pachacútec?*
3. *What role do land ownership and (formalised) land rights play in the development of the surveyed self-help settlements of Nuevo Pachacútec.*

The answers are summarized respectively in the following three paragraphs.

6.3.1 Sub-question nr 1

The first sub-question of the research project is:

- *How and where lived the residents of Nuevo Pachacútec before they came to Nuevo Pachacútec and why do they live there now?*

Neighbourhood development starts at random and grows with the progress of time. At first migrants are moving to the metropole's periphery and – illegally – occupy public or private land to build their own home, hoping to improve their standard of living by settling in a new self-help settlement in the city. They achieve this by squatting on the land they eventually hope to call their own.

The results of the research show that, before they came to Nuevo Pachacútec, the majority of the residents lived in adjacent places in the North Cone of Lima, such as Callao, Puente Piedra, Los Olivos or San Martín de Porres. Only a small part of the residents in neighbourhoods A4 and B4 used to live in Villa el Salvador, Villa Marina or San Juan de Miraflores. These people first migrated from country to city and occupied a rental home or lived with relatives as they could not afford to own a house in the more central, more prosperous neighbourhoods of Lima. After which they "immigrated" to Nuevo Pachacútec. Nowadays the extent of migration from country to city falls behind that of the "immigration phenomenon".

The residents of Nuevo Pachacútec are young adults c.q. young couples wanting independence and therefore having chosen to leave the parental home. As on the whole they have little money they choose to find a place of their own at the edge of the city where they plan to realise their own home, hoping for a better and especially independent future. Also from the results it appears that the households in Nuevo Pachacútec mainly consist of families with children. A small part of the households is made up out of all kinds of combinations of relatives: parents and children together with grandparent(s) or siblings, sometimes grandchildren or nephews and nieces.

This group belongs to the 7,5 % of Lima's population who prefer to live on their own land. A piece of land from which they cannot be evicted. Secondary motives, mentioned by the residents for living in Nuevo Pachacútec are: a better chance of employment in Lima, living with relatives, a better standard of living, personal or economic problems and a better climate in Lima compared with the highlands.

6.3.2 Sub-question nr 2

The second sub-question of the research project is:

- *What are the general features of the surveyed self-help settlements of Nuevo Pachacútec?*

The answer to question 1 showed that one of the demographic characteristics of the surveyed settlements is that in general the population is young and the households mainly consist of families with children. Education is the essential building stone for the social-economic development of the individual. This also applies to the residents of Nuevo Pachacútec. The majority of the people had some form of secondary education, approximately 63 %. Qua level of education Neighbourhood B4

falls behind both other neighbourhoods, considering the number of residents who attended an Institute to be educated or for a technical career. In El Mirador the percentage of residents that studied at a technical college or institute is considerably higher than average. Education for the children of Nuevo Pachacútec is insufficient. Although the residents in the neighbourhoods have access to schools for their children the level and quality of education is low. Teaching takes place in unfinished classrooms and there is a shortage of teachers. Because of this shortage the children receive no fulltime education. Sometimes lessons are given only three or four hours a week. Only neighbourhood A2 has a school. The children of El Mirador go to school either in neighbourhood E or in one of the other neighbourhoods in Nuevo Pachacútec. On balance the residents of neighbourhood A2 have the best educational opportunities. Neighbourhood A2 also has a play centre for the toddlers.

Another social economical feature of the surveyed settlements is the employment factor and the informal economy. A large part of the residents is self-employed; they either run a home-business or hold a temporary job. To earn their daily living some sell all kinds of produce, others work as an electrician, security guard, barber, baker's help, medical specialist, construction worker and/or basket weaver.

Besides a large number of the residents are busy in and around the home (cooking, cleaning, laundry, shopping, bringing the children home from school etc.). In El Mirador there is little economic activity. Half of the population works in Lima, mostly in the social sector. In neighbourhoods A2 and B4 there is a reasonable amount of economic activity. Employment for the people of neighbourhood A2 is relatively favourable because of the presence of two markets and a school. Neighbourhood B4 only has one market. El Mirador has the highest percentage of unemployment, which may be explained by the lack of facilities. As in the municipality of Ventanilla the market of the entrepreneurs of Nuevo Pachacútec is mainly within their own neighbourhood.

Like other inhabitants of Ventanilla the Nuevo Pachacuteños have to make use of informal strategies to be able to survive, meaning that they sometimes have to resort to street trade in Nuevo Pachacútec or at the market in Ventanilla in order to earn some extra money to sustain their family.

Other general features of the surveyed settlements used in this research project to outline the actual state of the neighbourhoods in Nuevo Pachacútec are the state and the qualitative aspects of the self-help houses. The analysis shows that the houses in El Mirador are of a stronger solid construction and consequently the neighbourhood is in a better state. In case of an earthquake many houses in neighbourhood A2 and B4 will collapse. El Mirador also has a sewerage system, unlike neighbourhoods A2 and B4. That indicates why the houses in El Mirador have more economical value than those in neighbourhood A2 and B4. The houses in El Mirador have an estimated value of \$4000.-

The houses in El Mirador are built from a basic module (of 22 m², constructed from layered concrete). Each house has a living room, kitchen, shower, lavatory and a scullery. 50 m² is left for future extensions. In neighbourhood A2 and B4 the size of the lots is 80 – 120 m² (paragraph 5.3.4). Most houses in these neighbourhoods have a kitchen, a living room and one bedroom, each house has a toilet. Nearly all self-help houses in all neighbourhoods are connected to electricity- and water supply.

In Nuevo Pachacútec most people built their houses bit by bit. In some cases it only took them one day, others needed 2 weeks, dependent on the choice of construction. In most cases improvement of the house is a slow process and extensions only take place when the money is available. This research has shown that this is true. In many cases no second floor had yet been built through lack of the necessary means. The fact that most people in the neighbourhoods A2 and B4 have lived in Nuevo Pachacútec for the last 6 to 10 years is no guarantee that during those years building materials have not changed. Owners can demolish their house and rebuild it with stronger materials: from rush-mats to timber or to a brick house with a corrugated roof. The home extensions are mainly financed with their savings. Till now hardly anyone of the residents of El Mirador has built an extension, they are satisfied with their subsidized - basic module- home of layered concrete, financed by the Mivivienda Fund (see sub paragraph 5.2.2.2). In short the conclusion can be drawn that the financial situation of the residents of Nuevo Pachacútec influences the measure in which they are able to realise the extension of their homes.

The residents of Nuevo Pachacútec and El Mirador have been able to safeguard their accommodation because in 2000 and 2006 they were supported by the national government. Between 2000 and 2002 the people of Nuevo Pachacútec were given their landownership titles so they could build their own house. In El Mirador the people could get a loan from the Mivivienda Bank, set up by the

government, in order to enable those population groups that are barred from access to regular banks to purchase a home of their own. For that matter they first will have to repay this loan to BANMAT and pay all other expenses regarding their own house before they are free to occupy their property.

6.3.3 Sub-question nr 3

The third sub-question of the research project is:

- *What role do land ownership and the (formalising of) land rights play in the development of the researched self-help settlements of Nuevo Pachacútec?*

Land ownership and its formalisation are important for the development of the neighbourhood.

This is the case whenever an organisation or stake holder wants to carry out a project to improve the neighbourhood or some other activity in one of the surveyed neighbourhoods in Nuevo Pachacútec.

It also is a condition for access to basic facilities like water and electricity, as the maintenance of these facilities is the task of the collective population. The next chapter will show the way this is achieved. Formal landownership is also required when one wants to build an extension to the house in order to increase the value of the land, or start one's own business or shop and to have access to all social services. The trafficking in ownership titles and permits has a negative influence on the development of the neighbourhood as a result of inflation of the land prices and undesirable land zoning changes.

7 Roles of residents, neighbourhood organisations and other stakeholders concerned in the process of neighbourhood improvement

The roles of the several stakeholders will be analysed in this chapter on account of the results of semi-structural and in depth interviews with residents, neighbourhood leaders and representatives of the water administration organisations in the surveyed neighbourhoods, as well as with the representative of Nuevo Pachacútec in Ventanilla.

Use also was made of policy papers of the region/province of Callao and the municipality of Ventanilla. In order to be able to outline the parts of the various stakeholders in the process of improvement the concept of participatory development (par.2.4) was used in this analysis. In paragraph 7.1 the residents' participation in the meetings held in the neighbourhood/neighbourhood shall be discussed to show the measure of involvement of the people in their neighbourhood's activities.

Paragraphs 7.2 till 7.3 will successively deal with the roles of the neighbourhood organizations, the specific community based organisations such as the milk- and soup committees, COVAAPS and public security organizations, the NGO's and the authorities in the process of neighbourhood improvement. Naturally the residents and the neighbourhood organizations in general played the most important role. These will be discussed extensively.

Some (neighbourhood) organizations have a small but very concrete task. The NGO's intermediate between residents (organizations) and the various authorities. This will be illustrated with items concerning neighbourhood improvement such as the appearance of the neighbourhood, its infrastructure, the development of self-help housing, the lay-out of a park or the building of a school etcetera. The functioning of the various stakeholders involved shall be outlined, in relation to their aims and tasks.

This will connect with chapter 5 where the tasks and possibilities of the citizens, NGOs, entrepreneurs, other parties concerned and the various authorities in realising a project were discussed, together with the process of decision-making on such projects.

The sub-questions 4 and 5 shall then be answered.

These are:

- 4. *What kind of activities are being partaken by the several actors (the residents, neighbourhood organizations and other stakeholders) in the researched self-help settlements to contribute to an improvement of their neighbourhood?***
- 5. *How and in what measure do neighbourhood organizations, residents and other stakeholders concerned cooperate in the process of neighbourhood improvement?***

The measure of cooperation between residents, neighbourhood organizations, governments and other participants will be outlined. For the answer to these questions use was made of policy documents and development plans of the municipalities of Ventanilla and Nuevo Pachacútec.

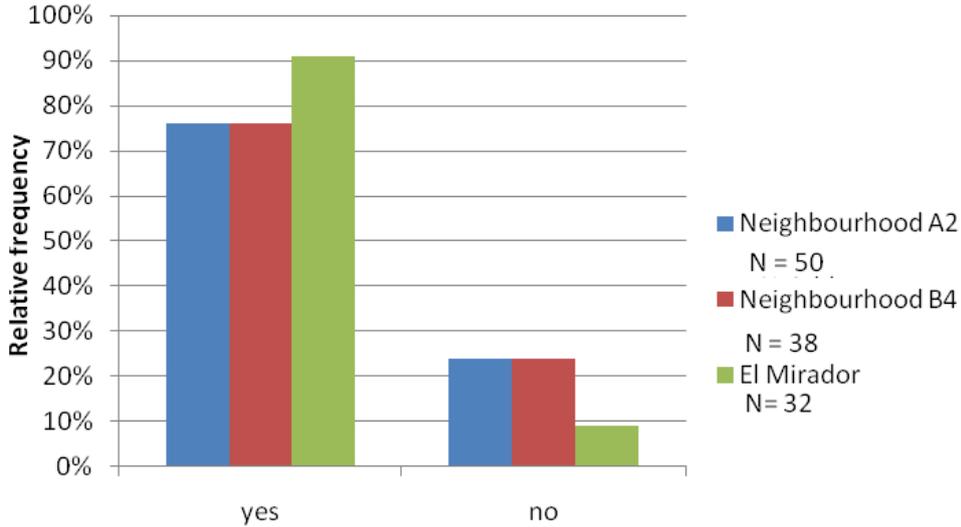
The interviews and household enquiries illustrate the answers to the questions about the measure of realisation of the proposed projects, where and how the stakeholder concerned failed and which other factors influence the accomplishment of planning and execution of projects. This will be the answer to sub-question 6, which is:

- 6. *What is the significance of these activities for the improvement of the neighbourhood?***

7.1 Participation of residents in neighbourhood- and community meetings

When a self-help settlement develops the residents unite in neighbourhood /neighbourhood organizations in order to be able to exert pressure on the government (see paragraph 2.2). Within these community-based organisations citizens can participate by voicing their opinion about the development and the problems within their neighbourhood (paragraph 5.4.2). To form a picture of the residents' involvement in the activities within their area they were asked if one of the members of the household was taking part in any of the local activities or attended the local meetings. Meaning not only the general neighbourhood/community meetings but also activities by the milk- and soup committee, COVAAPS, sport clubs, schools and other educational institutes or sporting events, occasionally organised for the children.

Figure 7.1: Participation of residents of Nuevo Pachacútec in meetings within their neighbourhood

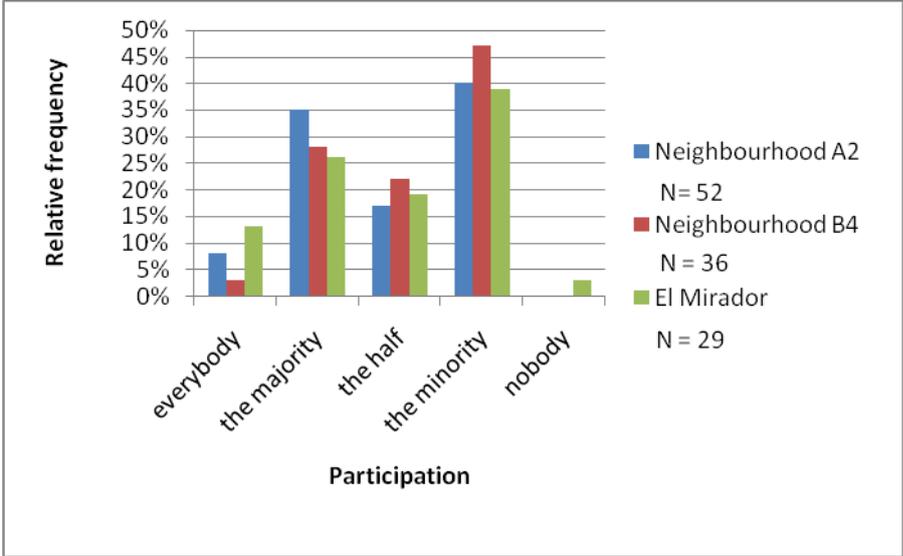


Source: Household survey, 2009

The majority of the residents take part in the neighbourhood meetings (Figure 7.1). However, participation depends on the functioning of the organizations and the frequency of the meetings. When attending other activities (Figure 7.2) the reverse seems the case: a minority of the people attends those activities.

This corresponds with the results of a research of the British Department for International Development in 2003 which showed that 79 % of the activities held in the neighbourhoods of Nuevo Pachacútec miss the involvement of their residents.

Figure 7.2: Participation of residents of Nuevo Pachacútec in other activities within their neighbourhood



Source: Household survey, 2009

The difference between the relatively high rate of involvement in official meetings and the low rate when it comes to other activities can be mainly explained by the fact that people not attending a meeting of the neighbourhood organisation or the water administration organization have to pay a fine, whereas attendance of the other activities is not compulsory.

7.2 Neighbourhood- and community-based organizations

These are the most important actors/stakeholders in the process of neighbourhood improvement. They are closest to the community and have to plead the interests and wishes of the residents.

Whenever certain public or basic facilities are absent the neighbourhood organisation is the obvious party to contact the council, a NGO or other organisation. They are responsible for legal duties such as the control of land legalisation for new residents. These organizations have a leader, who is responsible for organising meetings to enable the residents to voice their opinion in matters concerning improvement of their neighbourhood (paragraph 5.4.2). Whether a neighbourhood organisation takes its responsibilities seriously and fulfils its obligations depends for a great deal on the way in which the residents are organised and the measure of participation in making the decisions for their neighbourhood's development.

Paragraph 7.1 showed that residents' participation in their neighbourhood's activities depends on the way the organizations function and the frequency of the meetings. However, other factors may prevent the proper functioning of a neighbourhood organisation. All leaders of the neighbourhoods in the surveyed neighbourhoods of Nuevo Pachacútec are volunteers.

In neighbourhood A2 the leader is away from home all day as he works for a construction firm in the municipality of Santa Anita. Consequently he is not always aware of the problems in his neighbourhood.

The leader of neighbourhood B4 has a pitch at the market in the adjacent neighbourhood, which interferes with his task as neighbourhood leader. It is true that another member of the organisation will act for the leader and perform his tasks during the hours of his absence, but this does not really solve the problem. The neighbourhood leader of neighbourhood 3 in El Mirador has his own shop at home so he is able to keep abreast of any problems between families or other conflicts. The leader in neighbourhood 2 in El Mirador is a security guard and a member of the security organisation of his neighbourhood and thus entirely capable of fulfilling his task fulltime.

In order to meet the problem of absence during the day because of work outside the neighbourhood or neighbourhood, which for that matter also applies to many of the residents, nearly all meetings are held on a Sunday, when most of the people are at home. The people who work outside their own neighbourhood or neighbourhood usually do so from Monday till Saturday.

In paragraph 6.1.2.2, it was mentioned that the working circumstances of the residents of Nuevo Pachacútec en El Mirador are poor as the head of household has to travel by public transport 3 or 4 hours every day to reach his or her work, leaving home at approximately 4 in the morning, returning at 10 or 11 pm.

It also became apparent that a large part of the residents is self-employed in a temporary job. It has become clear that the head of household as well as the other members of the household have to exert themselves to earn a living.

This is one of the reasons of ignorance about their neighbourhood's leader: they often have no time to attend meetings when a new leader is being elected.

From talks with the residents of the surveyed neighbourhoods it became apparent that opinions about the functioning of the leaders were divided. In chapter 6 the background to this discrepancy was outlined, namely the phenomenon of the trade in land parcels intended for the settlement of new migrants. The established residents/owners trading in land manage to sell land ownership certificates of lots that have no housing destination but are intended for parks or other greenery. The majority of the leaders do not allow this practice but some condone it. Amongst the neighbourhood leaders it is a known fact that some colleagues in such cases ask extra money from the newcomers who want to buy such a plot.

Some examples of the activities of neighbourhood leaders in trying to solve any problems that may occur in the neighbourhood and to meet the local needs and preferences of the residents are:

- A collective campaign of neighbourhood leaders in El Mirador to attempt the national department of education to agree to finance the construction of a school in El Mirador. Today the school has not been built yet as no adequate co-ordination between leaders and national government exists. When a department changes so do the representatives of the department and therefore the Leaders have to present their application/proposal for the building of a school again and again. The residents would like the national government to fulfil its promise and provide El Mirador with a school so that their children will not have to walk or otherwise travel to schools elsewhere in Nuevo Pachacútec.

- The leader of neighbourhood A2 had organised a meeting for the households which had had no Food parcel from the relief programme of the national government (see Photo front page thesis) Under this programme (PRONAA) each household in Nuevo Pachacútec receives a two-monthly food parcel containing oil, butter, eggs, rice and other nourishing products. The purpose of this meeting was to make sure that those households would still receive a food parcel on the spot. From the regional administration the leader had obtained a list with the names of the households That had missed out. The food relief programme tries to contribute to the improvement of the food situation for the poorest part of the population in Nuevo Pachacútec and El Mirador.

- In 2008 the neighbourhood leaders of Nuevo Pachacútec and El Mirador collectively campaigned for a waste water purification system in Nuevo Pachacútec. This project Agua para todos (water for everybody) had to be registered per neighbourhood at the office of the national government in Lima. Five representatives of the neighbourhood leaders together with hundreds of residents went to the centre of Lima to demonstrate in order to induce the government to include the self-help settlements of Nuevo Pachacútec, El Mirador and Pachacútec in the water programme “*Agua para todos*”. In fact this programme is intended for rural areas that are not yet connected to the public waterworks (Fernandez-Maldonado, p.12, 2009). It is hard to say how far this campaign has been successful, but in February 2010 an item was published which stated that the project for waste water purification had been included in the participatory budget of the government and would be realised in three stages in 2010, 2011 and 2012.
 It is a macro-project for Nuevo Pachacútec and El Mirador and will cost 276 million soles (74 million euros), approx.. one third of which the people themselves will have to pay (some 92 million soles (24,7 million euros). SEDAPAL, the authority responsible for governmental water projects will provide the remaining two thirds of the financing of the project. The European Union also promised to contribute but with how much is not known. When the project will be completed the 147.000 residents of Nuevo Pachacútec and El Mirador no longer need to collect their own waste water and will be able to flush their lavatories.
 The water administration- and neighbourhood organizations of Nuevo Pachacútec and El Mirador have also cooperated when negotiating with SEDAPAL to reach an agreement about the realisation of the project (Agencia de prensa Lima Norte, 2010).

- The definite connection to the electricity network in Nuevo Pachacútec was also obtained as a result of a collective action. Since 2007/2008 most neighbourhoods in Nuevo Pachacútec have electricity. The interviews with the neighbourhood leaders made clear that the campaign conducted for this purpose closely resembled the action for the project “*Agua para todos*”. The national government under president Alan Garcia has completed this project. It is not clear if the residents had to contribute to its cost.
 Each neighbourhood in Nuevo Pachacútec and El Mirador has its own agreement with the public utility EDELNOR, responsible for the supply of electricity. In consultation both bodies fix the rate to be paid for its supply. At first when occupying their new houses the people of El Mirador had no electricity but after a campaign by the residents in front of EDELNOR’s office in Callao neighbourhoods 2 and 3 were connected to the net within two months.

The coordination and communication between the national government and the residents of Nuevo Pachacútec regarding the planning and realizing of projects moves slowly. Years may pass before the people will have been granted basic and social facilities. However when the neighbourhood- and neighbourhood organizations form a pressure group to campaign collectively the national government together with the lower administrations will take care of the required facilities (Water and Electricity).

In short, it is imperative that the citizens of Nuevo Pachacútec and El Mirador and the municipality of Ventanilla cooperate with the national government if they wish to be eligible for a new project, because they depend on the decisions made by politicians. Paragraph 7.5 shall be more specific about the role of the government, its activities on behalf of neighbourhood improvement and the rate of cooperation with other stakeholders in this process.

7.3 Specific community-based organizations

7.3.1 Glass of milk committees

The objective of these committees is to provide fresh food and beverage for children between 0 and 6 years of age, pregnant women and the poor population of Lima. In Nuevo Pachacútec they are formed by residents of other neighbourhoods in Ventanilla. It is a social programme initiated by this municipality that aims to increase food safety of the children in Nuevo Pachacútec and El Mirador.

Each day milk and fresh fruit or vegetables are handed out to these children. The programme can be called a success.

7.3.2 Soup kitchen committees

The soup kitchens were initiated by housewives from the neighbourhoods of Nuevo Pachacútec with as objective the preparation of cheap meals for the poor who cannot afford to buy fresh food at the market. The price of a meal is 1,50soles (40 eurocents). These collective meals create a feeling of solidarity. The people start to identify with their environment and together they will care for their neighbourhood. They can exchange ideas about the ways their neighbourhood may be improved. It is not clear if these committees are also active in El Mirador. The number of people making use of these meals is not known.

7.3.3 COVAAPS

COVAAPS are meant to maintain the water reservoirs and their capacity, the water supply system, the installation for blocks and houses and the quality of the water system, as well as to take care of the administration.

Their objective is to supply water to their members as cheaply as possible. Every three months each COVAAP organises its own neighbourhood meeting to reach an agreement with its members about the purchase price of water for the next period. In practice the frequency of these meetings depends on the readiness of the representatives to organise a meeting. Every two years the residents (re-)elect their representatives in the COVAAP. COVAAP 9 in neighbourhood B4 preferred to conclude their own agreement with the water supplier SEDAFAL to achieve the lowest possible purchase price per litre for its members. The price of water may differ from neighbourhood to neighbourhood (Box 7.1).

The organizations with their own agreement with SEDAPAL do consult together. COVAAP 10 in neighbourhood A2 does not use any longer the water system constructed by the NGO Alternativa in 2002 (see after). The organisation also had its own agreement with SEDAPAL, on account of which about two years ago each household/lot that was represented by COVAAP 10 has been connected – temporarily and sometimes permanently – to a water supply system till inside the home. Previously a neighbourhood meeting had to be held to decide upon a fixed price per month instead of purchase from water trucks three or four times a week.

Box 7.1: Differences in purchase price water between the various water administration organizations in neighbourhoods A2 and B4

A 200 litre water barrel for COVAAP 9 costs 0,70soles (15 eurocents), a barrel with 120 litres 0,80 soles (13 eurocents). During the winter months (May till September) the water vendors sell water at the door four times a week (filling the barrels of each household from the neighbourhood’s central tap). In summer (October-April) they do this 5 times a week. Each household knows how much water is needed and pays accordingly.

To get an idea of the purchase price of water per neighbourhood in Nuevo Pachacútec the residents were asked how much they pay monthly for their water.

The households which are member of COVAAP 10 pay between 10 soles (2,50 euros) and 20 soles (5 euros) . With excessive consumption they pay 60 soles (15 euros) per month.

The majority of the households in neighbourhoods 2 and 3 of El Mirador pay between 20 and 25 soles monthly for their water, depending on membership of a COVAAP.

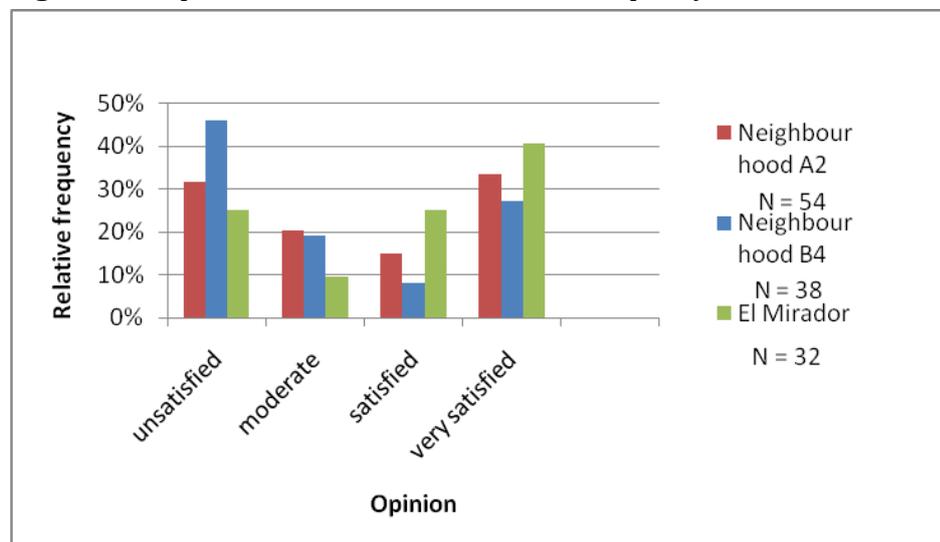
Differences in the price of water between housing blocks are possible, depending on membership of a COVAAP. In neighbourhood A2 55% of the residents are paying 6 soles (1,50euro) per month for their water because they are a member of COVAAP 10. Other housing blocks in that neighbourhood which do not belong to COVAAP 10 but to a different organisation have to pay from 15/20 soles (4 or 5 euros) to as much as 60 soles (15 euros) each month for their water, depending on their monthly use.

These price differences may be explained by different needs and preferences of the members of the various water organizations. Members of COVAAP 9 prefer a check on the monthly purchase price and the monthly use and therefore buy each month from the water vendors; they have their own agreements with SEDAPAL. The members of COVAAP 10 pay a fixed sum for the water and a small charge for installation to their homes. This COVAAP buys a certain quantity of water each month and divides the cost between its members. For them there is no limit to the use of water.

Source: Field research 2009.

The residents of the surveyed neighbourhoods were asked their opinion about the quality of the water supply system and the service offered by SEDAPAL to each housing block and neighbourhood. The majority of the people in neighbourhood B4 are dissatisfied with the installation and describe the quality of the water as insufficient. An exception is neighbourhood A2, where 46% of the residents are satisfied with the system. The reason might be that several housing blocks in this neighbourhood have a complete installation and do not have to buy their water from the water sellers any longer (Figure 7.3).

Figure 7.3: Opinion residents about service and quality of water.



Source: Household survey, 2009

Mainly why the majority of the residents of neighbourhood B4 and 50 % in neighbourhood A2 are not satisfied with the service and the quality of the water supplied by SEDAPAL is that many are not (yet) connected to a waste water purification system.

The waste water from kitchen, lavatory, etc. has to be disposed of by the households themselves. Only the households in El Mirador have a provisional purification system and therefore they are well satisfied with the service and the quality of the water. In this system organic material is collected in a reservoir, after which it is filtered through special plants (see paragraph 5.3). However the system only works partly as waste water from kitchen and toilet attracts insects.

To conclude, the residents of the researched neighbourhoods are supplied with water for cooking, washing, personal hygiene, washing-up and other purposes as watering their gardens or for their animals. For using it as drinking water it has to be boiled first to avoid ill effects because of pollution. It is true that the residents of neighbourhoods 2 and 3 of El Mirador have the use of a purification system, contrary to neighbourhoods A2 and B4 in Nuevo Pachacútec, but this system is – as already mentioned – not very effective.

7.3.4 Neighbourhood watch organizations

The theme of security and criminality in Nuevo Pachacútec is very complex. The residents of Nuevo Pachacútec have to come up with their own strategies to face little crime in Nuevo Pachacútec (Box 7.2).

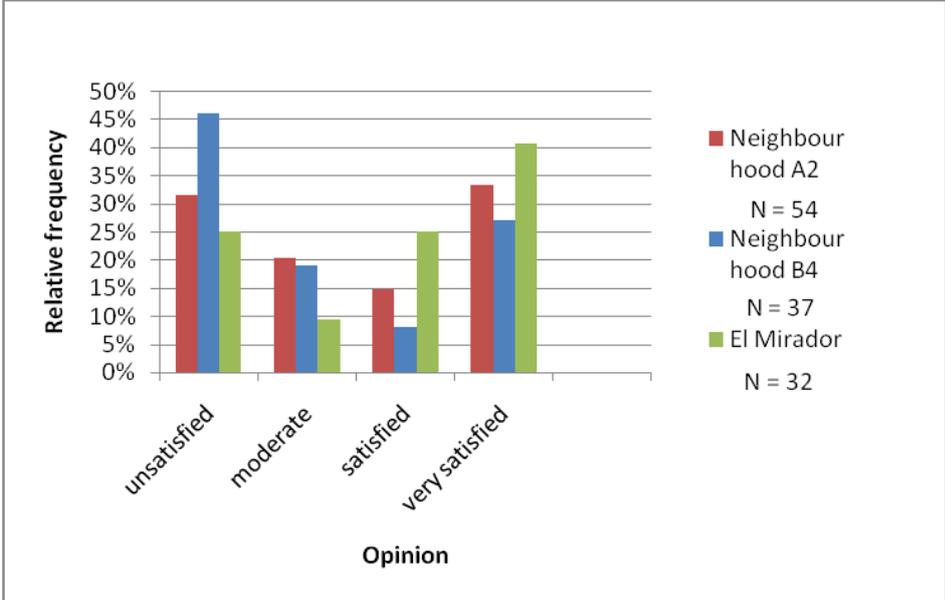
Box 7.2: Social safety situation in Nuevo Pachacútec

Petty and heavy delinquency perpetrated in Nuevo Pachacútec are: (petty) theft, gang activities, illegal trafficking in land parcels and murders. Criminality is undermining the feeling of security and mutual trust and damages the feeling of solidarity between the communities in the neighbourhoods. The residents do not like the police. They very rarely take action which sometimes forces the population to desperately find ways and means to defend or arm themselves against the criminals and thus become vigilantes. According to a household enquiry of DFID (English Department for International Development) 29 % of the residents of Nuevo Pachacútec have had dealings with theft.

Source: DFID, 2005, p.37

In this research project the residents were asked how they experience the social safety situation in their living area. The people in neighbourhoods A2 and B4 of Pachacútec appear to be dissatisfied because they do not feel safe in their own neighbourhood. This feeling of social insecurity is mainly the result of the inactivity of the local police of Nuevo Pachacútec (Figure 7.4).

Figure 7.4: Opinion residents Nuevo Pachacútec about the social safety situation in their neighbourhood



Source: Household survey, 2009

It is the task of the organizations competent to guard the social safety of the people to maintain the peace in their neighbourhoods. Each house block, neighbourhood or neighbourhood can form such an organisation and select a person to keep an eye on things and thus make their area a safer place.

In neighbourhood 2 and 3 of El Mirador such an organisation exists, initiated by the residents. Here a person was selected to take care of the social safety in the neighbourhood. This vigilante provides a feeling of security and is paid a certain amount by the residents. Housing block D4 in neighbourhood B4 also knows this kind of security but no surveillance or police are present during the day. Till today neighbourhood A2 has no form of protection at all.

In this neighbourhood the local police pays two visits daily: once during the day and one at night. The leader of neighbourhood E 1 considers the situation in Nuevo Pachacútec unsafe.

The citizens campaigned at the council office of Ventanilla for more presence of the local police as they are reluctant to leave their homes empty during the day in case for instance their gas canister gets stolen. The self-help houses built of rush matting and plastic are not safe for people with bad intentions who can easily get inside. According to the leaders of neighbourhoods E1 and A2 the locals at yet will have to take care of keeping the peace: parents have to look after their own children.

However, in Nuevo Pachacútec the majority of the parents goes to work at 3 or 4 a.m., working in Lima all day and returning at night. Maybe then some social contact between parents and children is possible. But if the father goes to work at 3 or 4 a.m. and returns at 10 or 11 p.m. he plays no part at all in the education of his child. This causes children to rebel and take the path of (petty) criminality.

This criminality, the youth gangs (children between 11 and 18 years old) but also the illegal trafficking in land make that Nuevo Pachacútec is a neighbourhood without social identity. The local police of Ventanilla are not capable to maintain the peace in Nuevo Pachacútec as their corps only counts 12 people. The strength of the national police force is comparable.

In general the conclusion can be drawn that neighbourhood watch organizations in neighbourhoods 2 and 3 of El Mirador and housing block D4 of neighbourhood B4 take care of improving the safety situation and keeping the peace in those neighbourhoods.

It has to said, however, that the neighbourhoods in El Mirador, contrary to the other neighbourhoods of Nuevo Pachacútec are completely surrounded by a black plastic fence. Although one can move freely between the neighbourhoods, to be able to enter El Mirador one has to pass a barrier and a watch-post, manned in neighbourhood 2 and 3 by a security guard of the social safety organisation.

7.4 NGOs

In Peru various NGOs cooperate on different areas with the organised local population. Thus they play an important part in regional and local development. They mainly are engaged in drawing up projects with instant result, training and coaching pilot development programmes and other initiatives. They also try to help the community with informative material, e.g. about hygiene or the preparation of food for families with children, with the purpose of acquiring new habits in this respect (Lopez Ricci,J., 2003).

In the first instance NGOs seek contact with the residents and neighbourhood organizations whenever they want to offer assistance with activities or a project of their own. They list their own projects and ask the people and other parties in a "*mesa de concertación*" to vote for the best project, thus offering the community the possibility to bring in their own suggestions for social economical development, education, medical care and protection of the environment in their neighbourhood. This "*concertación*" is the process in which agreements are reached between various parties with different interests so that solutions may be found and responsibilities can be assigned (paragraph 4.3). An NGO is only prepared to help those residents build their self-help home who legally own their land.

In principle NGOs such as CORPODELI (see hereafter) can choose their own projects as they receive money from external sources as the EU and other sponsors, but they depend on local politics when it comes to their realisation. In 2008 NGO's could submit project suggestions to the municipality of Ventanilla in which 5 % of its participative budget – 450.000 soles (112.500 euros) would be invested if the project should be an important contribution to the development of the neighbourhood and the community. An NGO that wants to start and execute a project in Ventanilla, for example a school, sanitary facilities or the building of a house has to submit a concrete plan containing their wishes and requirements to the local and regional authorities (mayor and council) to get permission.

If it concerns a small project such as financing a self-help house or a shop the NGO can go ahead in consultation with the residents and the neighbourhood organizations of Nuevo Pachacútec.

The NGO Alternativa saw to it that the purchase price of water was reduced and the quality of the water in Nuevo Pachacútec was slightly improved (paragraph 5.4.1.3). To manage the capacity and the maintenance of the reservoir, the water supply system, the installations and the quality of the water system plus the administration involved, Alternativa established the water administration organizations (neighbourhood bodies for the management of water in the neighbourhood). These cooperate with other neighbourhood organizations of the Pilot Project Nuevo Pachacútec and they were discussed in paragraph 7.3.3.

The presence of a water-supply system enables the Nuevo Pachacuteños to do their laundry, their cooking and to use the water for perhaps a small vegetable garden or to keep (domestic) animals to support their own living.

However, as no waste water recycling system has yet been installed the purchased water is still of an inferior quality. It has to be boiled before it can be drunk. It also happens sometimes that the water supplied by SEDAPAL is bacterially contaminated or otherwise infected.

Besides Alternativa one other NGO: COPRODELI contributes to neighbourhood improvement in Nuevo Pachacútec. This NGO began its activities in 2000 with the building of the first schools. According to World Bank (2007) COPRODELI is active with an elementary school and a secondary school. In 2009 it financed the building of an elementary school in neighbourhood B3 of Nuevo Pachacútec.

Box 7.3: NGO COPRODELI

The NGO COPRODELI financed the building of four schools In Pachacútec and Nuevo Pachacútec: San Francisco Solano, San Juan Macias, San Martin and the recently opened school Santa Maria. These schools are situated in neighbourhoods B3 and E3 in Nuevo Pachacútec. COPRODELI is a Spanish NGO with aid programmes on health care, education, employment and self-help housing constructions. It is free to choose its own objects. It contributes to the development of neighbourhoods in Nuevo Pachacútec and Ventanilla by stimulating the education of children at its schools. At the moment COPRODELI is the only NGO active in Nuevo Pachacútec within the aurveyed neighbourhoods.

Source: Field research 2009.

In principle COPRODELI makes it possible for children from neighbourhoods A2, B4 and neighbourhoods 2 and 3 in El Mirador to go to school. However, not every child profits as for some the schools are too far from home.

During the period of research it became clear that in not one of the other neighbourhoods an NGO was busy with a project to improve the neighbourhood. Considering the activities of the NGOs COPRODELI and Alternativa in the past and in the present it can be concluded that NGOs play an intermediary part in the process of neighbourhood improvement between the people and the various administrations. On the one hand they have to make the residents vote in a “*mesa de concertacion*” for the best project. On the other hand they must confer with the government whether the project is in accordance with its policy on development in the municipality. Thus COPRODELI has an agreement with the national government for financing the wages of the teachers at their schools.

The value of the activities of NGOs lies not so much in their number which is rather low, but in the fact that they show that it is possible to reach results on behalf of improvement (Riofrio, 2001 p.14).

7.5 Governments

The local and regional governments' (among which Nuevo Pachacútec) aim for 2011 is to develop the infrastructure and the planning of the area and to devise a planning strategy that stimulates the social economical development of the region and takes responsibility for natural resources and the environment (paragraphs 4.3 & 5.4.1). But every time it seems necessary that the population speaks up before the government realises a project (paragraph 7.2). If the municipality of Ventanilla for whatever reason is loath to carry out a project for a school, hospital or waste water purification plant, the citizens can approach a higher government authority, the provincial or even the national government to achieve the realisation of the project concerned (if enough signatures have been collected and there is a strong protest movement from neighbourhood organizations and citizens).

Every 15 days or once a month the neighbourhood leaders of El Mirador, Pilot Project Nuevo Pachacútec (PPNP) and Pilot Project Especial Pachacútec (PPEP) meet.

At these meetings important issues regarding development and planning of the area are discussed. Small problems in the neighbourhood, for instance with the drinking water or the waste water are usually solved by way of the telephone (Chapter 5).

Various committees have been established by the people on behalf of collective projects. These committees are to watch over the infrastructure of the area: water, health care and environment, sports and public transport. Each committee keeps an eye on the programmes from the local/regional government to see if and when action should be taken to be considered for the realisation of a project. The committee for public transport arranged the funding and construction of 60 km roads by El Mirador, PPNP and PPEP of the national government together with the regional and local governments. Since the completion of this project in 2008 travelling time from Nuevo Pachacútec to the centre of Ventanilla has been cut by 20 minutes. Before it took 30 minutes over sandy roads, nowadays Ventanilla can be reached in 10 minutes. The last 18 km's have been recently constructed, the sidewalks and pavement for the neighbourhoods of El Mirador. By means of cooperation between the committee for public transport, the municipality of Ventanilla and the province of Callao, the objective to improve the infrastructure was achieved. The project lead to more safety in the neighbourhoods and neighbourhoods and to an extension of the public transport sector with more bus services between Nuevo Pachacútec and surrounding municipalities of the city of Lima.

The local administration, the municipality of Ventanilla cannot do much for the development of Nuevo Pachacútec and El Mirador as for various reasons it is too short of funds and has not enough decision power. The local and regional governments have the same legal authority and instruments for regional planning, each for their own territory that partly overlaps. Besides the final decision on which projects are considered and will be carried out, lies with the judicature and policy of the national government. This creates confusion about the part the municipality can play in reality in the decision-making regarding local development. As the national government in general still has the last word in deciding what in reality should be the task of the regional and local administrations, the autonomy and the functioning of the local government is undermined.

An example is a landfill site in Ventanilla, La Cucaracha for the waste collected in the province of Callao, which is out of bounds for Ventanilla. This was decided by the regional government without consulting the municipality of Ventanilla.

Another example of the problem caused by the provincial government having the same legal authority in matters of planning its own area is that the municipality of Ventanilla has no control over the spatial and urban planning of its area.

Till 2004 the national government owned all the land in the municipality of Ventanilla and it decreed the planning of projects in this neighbourhood in consultation with the provincial and local government. In 2004 these tasks were assigned by the committee for legalising informal property (COFOPRI) to the provincial government which now owns the land in the municipality of Ventanilla.

The result is that the municipality of Ventanilla has insufficient knowledge of the situation in the self-help settlements on its territory. This is detrimental to its development, the realisation of projects and the wielding of political power and control in its own territory.

In 2000 the national government transferred a problem to the local council of Ventanilla (chapter 5). The council had no choice and had to follow the housing policy of the national and provincial governments. In the eighties under President Alan Garcia the project "new city" in the municipality of Ventanilla saw the light.

This project contained the entire space for the regional planning of Nuevo Pachacútec in the year 2000. The objective was to provide people migrating from the country to Lima their own piece of land as property to stimulate the development of neighbourhoods by supplying electricity, roads, schools, medical care, waste water purification systems etcetera, each to be delivered in time by national or local governmental bodies.

Gradually between 2000 and 2010 various public investment projects were realised or started in Nuevo Pachacútec and El Mirador by the national, regional and local governments. It is not clear; however, if the local government made use of the participatory budget to involve community organizations and residents in the decision-making on these projects (paragraph 4.3.1).

The last ten years in the surveyed neighbourhoods and the adjacent self-help settlements various projects have been executed to stimulate development and to give the area a more urban aspect. Recently Nuevo Pachacútec and El Mirador have been connected to the electricity network and water supply system of Lima and most probably will be supplied within the next two years with a waste water purification installation for their residents.

In Nuevo Pachacútec a few elementary schools were built, financed by the regional government and in neighbourhood A2 a secondary school can be found. No other public or private schools were found in the surveyed neighbourhoods. No medical facilities were as yet present in any of the neighbourhoods or in Nuevo Pachacútec, only one medical centre is to be found in neighbourhood B4.

From paragraph 7.3 which dealt with the functioning of the neighbourhood organizations and their activities can be concluded that the various governments hardly play a role in the regional planning of the researched neighbourhoods. According to the residents and leaders that were interviewed this could be caused by the fact that next to the two representatives of the council the municipality of Ventanilla and the province/region of Callao have their own representatives in Nuevo Pachacútec.

The mayors of Ventanilla and the province of Callao chose only to cooperate with their own representatives, as the politics of the municipality are not popular amongst its residents. However, if the people decide to collectively campaign with actions of protest the authorities soon show their readiness to negotiate with the neighbourhood leaders and representatives of Nuevo Pachacútec and El Mirador about planning a public project, similar to the examples mentioned with regard to infrastructure (construction of roads), water/sewerage systems and the construction of a electricity network in Nuevo Pachacútec and El Mirador.

The conclusion might be drawn that in theory as regards the planning and execution of public projects the national, regional and local authorities made use of the vision on the development of Nuevo Pachacútec for 2010, initiated in the period 2003 -2004 and that the neighbourhood leaders of El Mirador, Nuevo Pachacútec and Ciudad Pachacútec also use the development plan that was initiated by the residents' association and the neighbourhood leaders of Nuevo Pachacútec (paragraph 5.4.3). For the projects for a drinking water/sewerage system, infrastructure and a power network were proposals for improvement by the community associations of Nuevo Pachacútec.

7.6 Conclusions

In this chapter the last three sub-questions of the research project have been answered, namely:

4. *What kind of activities are being partaken by the several actors (the residents, neighbourhood organizations and other stakeholders) in the researched self-help settlements to contribute to an improvement of their neighbourhood?*
5. *How and in what measure do neighbourhood organizations, residents and other stakeholders concerned cooperate in the process of neighbourhood improvement?*
6. *What is the significance of these activities for the improvement of the neighbourhood?*

In the next paragraph the answers given will be successively summarized.

7.6.1 Sub-question nr 4

The fourth question of the research project is:

- *What kind of activities are being partaken by the several actors (the residents, neighbourhood organizations and other stakeholders) in the researched self-help settlements to contribute to an improvement of their neighbourhood?*

One can think of a community meeting, consultation within the neighbourhood for changing the water supply system in the neighbourhood, more efficiency in handling the water or the price of electricity. The national government helped the residents of Nuevo Pachacútec to set up basic organizations, which are the so-called neighbourhood associations, whose function is to represent their interests and wishes. The majority of the residents attend the meetings organised by these associations, depending on their functioning and the frequencies of the meetings. Their participation in other activities concerning the neighbourhood is a lot less. This difference in involvement may be explained by the fact that residents who do not attend official meetings of their neighbourhood organisation or water organisation have to pay a fine.

In short the government stimulates the community of Nuevo Pachacútec to take its own responsibility and to decide its own contribution in the way of civil initiatives which will lead to improvement of their neighbourhood. In general can be said that the activities of the neighbourhood watch organizations in neighbourhoods 2 and 3 of El Mirador and Block D4 of neighbourhood B4 have led to an improvement of the public and the social safety situation.

However, as mentioned before, the neighbourhoods of El Mirador, contrary to those in the other neighbourhoods of Nuevo Pachacútec, are protected by a black plastic wall. One can move freely between the neighbourhoods but to enter El Mirador the visitor has to pass a barrier and a watch-post occupied by a security guard from the neighbourhood watch organization. Till today neighbourhood A2 has no neighbourhood watch organisation. In this neighbourhood the local police pays a daily visit – once during the day and once during the night.

In order to induce the local, regional and national governments to fulfil their task to supply the communities of Nuevo Pachacútec and El Mirador with basic facilities and social provisions the neighbourhood organizations cooperate and by means of pressure (collective protest actions) try to achieve right of say in the decision-making with regard to the neighbourhood improvement projects. Committees initiated by residents are charged with the maintenance of the planning of the area and the facilities such as water supply, medical care, environment, sports and public transport. Each committee keeps an eye on the programmes of the various authorities in case actions should have to be planned to be considered for a certain project. In this way between 2000 and 2010 various public investment projects have been gradually realised or are still being executed in Nuevo Pachacútec and El Mirador by the national, regional and local governments.

In the first instance NGO's, whenever they want to support people with some activity or a project of their own, will get in touch with the residents and neighbourhood organizations of a certain neighbourhood. They draft their own projects and ask all participants to vote in a "*mesa de concertacion*" for the most favourable project. These projects concern social and economic development, education, health care and protection of the environment. Thus they make it possible for the community to present their own suggestions with regard to these issues.

In principle some NGO's, such as CORPODELI (see hereafter) are free to choose their own projects because they are financed by external sources as the European Union and other sponsors.

The NGO Alternativa accomplished a decrease in the purchase price of water and a slight improvement in the quality of the water in Nuevo Pachacútec (paragraph 5.4.1.3). For the

management as well as the administration of the capacity and maintenance of the reservoir, the water supply system, the installation process and the quality of the system, Alternativa founded the water administration organizations (neighbourhood associations for water management). These organizations cooperate with others belonging to the Pilot Project Nuevo Pachacútec. Besides Alternativa the NGO COPRODELI contributes to the neighbourhood improvement in Nuevo Pachacútec. This NGO started its activities here in 2000 with the building of the first schools.

According to the World Bank (2007) COPRODELI is active with an elementary school and a high school. In 2009 its activities were extended by financing the building of an elementary school in neighbourhood B3 in Nuevo Pachacútec. NGO's activities are usually limited but extremely valuable in that they manifest the possibility of attaining good results in the process of neighbourhood improvement.

7.6.2 Sub-question nr 5

The fifth question of the research project is:

- *How and in what measure do neighbourhood organizations, residents and other stakeholders concerned cooperate in the process of neighbourhood improvement?*

There are various forms of cooperation, e.g. partnerships (paragraph 2.4.2) between the neighbourhood organizations (water organizations, neighbourhood watch organizations, sports unions etc.). But it can also lead to the realisation of a sports field or a school.

To be able to answer sub-question 5 it is important to consider who takes the decisions in the matter of executing a project or solving a problem and how the construction of public works or the draft of a development plan is achieved.

The answer to sub-question 4 made clear that participation of the actor concerned depends on the way the relevant organisation is functioning and the frequency of its meetings. Each actor has its own interest in the outcome of a decision in the process of neighbourhood improvement. Their measure of responsibility with regard to the decision-making depends on interests, targets, desires and priorities they wish to represent. Each party has its own position in the process of neighbourhood improvement.

The neighbourhood- and community based organizations are closest to the community: they have to plead the interests and wishes of their residents. Whenever certain public- or basic facilities are missing it is the task of the neighbourhood organisation to approach the council, a NGO or other actor.

One of the main causes of the malfunctioning of the neighbourhood organizations is the fact that their leaders, having to work all day, six days a week, only have the Sunday to listen to the people about their ideas of change in the neighbourhood.

In general the leaders in Nuevo Pachacútec try to solve existing problems by holding meetings in which the residents get a chance to give their opinion and together find solutions for their problems and wishes.

Often it takes years to develop and execute neighbourhood improvement projects. The reason is that the residents/citizens of Nuevo Pachacútec and El Mirador have to cooperate with the national, regional and local authorities to be eligible for projects as mentioned in chapter 5, 6 and 7 with regard to the infrastructure (construction of roads), drinking water/sewerage system and the construction of an electricity network.

The governments' political decision-making is sometimes capricious and often very slow. With regard to the researched neighbourhoods in Nuevo Pachacútec and El Mirador the role of the authorities is insignificant when it comes to regional planning (read: the drawing up and realising of projects for neighbourhood improvement).

This is mainly caused by the fact that the local and regional government, each for its own area, have the same legal power and instruments for regional planning. Another reason is that the political power and judicature of the national government decide which projects will be realised at regional and local level; consequently the lower governments do not know what their official authority is worth. Thus their position in the decision-making process is undermined.

NGOs play an intermediary role in the process of neighbourhood improvement between residents and the various authorities. On the one hand because their suggestions for projects are put to the vote by means of a mesa de concertación to determine the residents' preference, on the other hand

NGOs have to consult with the government to fit in with the (local, regional or national) development policy.

This concertación is the way in which agreements are reached between the various participants with their different interests with regard to the realisation of the projects (paragraph 4.3).

7.6.3 Sub-question nr 6

The sixth sub-question of the research question is:

- *What is the significance of these activities for neighbourhood improvement?*

This significance has become clear already from the answers to the sub-questions 4 and 5. During the last ten years problems in the researched neighbourhoods like unemployment social insecurity, lack of facilities, perilous food supply, bad health and criminality have been dealt with in various ways.

This research shows in how far some of these problems were solved by effective cooperation of the participants. Recently Nuevo Pachacútec and El Mirador have been permanently connected to the electricity network and the water supply system of Lima. The commission for public transport achieved the financing of 60 km's road construction (footpaths and pavement) in Nuevo Pachacútec and El Mirador by means of cooperation between the national government and the regional and local authorities.

Since the project that was started in December 2008 was finished travelling time between Nuevo Pachacútec and the centre of Ventanilla has been shortened by 20 minutes; before it took 30 minutes or longer via unpaved roads, at present it only takes 10 minutes.

Recently the last 18 km's have been constructed for the neighbourhoods of Ventanilla. Thus the objective to improve the infrastructure has been reached by sound cooperation between the commission for public transport, the municipality of Ventanilla and the province of Callao. The project lead to more road safety in the neighbourhoods and self-help settlements and an extension of public transport, more bus services between Nuevo Pachacútec and neighbouring municipalities and Lima.

In the surveyed neighbourhoods of Nuevo Pachacútec the residents still experience unsafe situations and criminality. As the local police is short-staffed little will change here. Those problems do not occur in neighbourhoods 2 and 3 of El Mirador because of the activities of the neighbourhood watch associations.

It is more than likely that in the next two years a waste water purification system and conduit pipes for water supply for each house will be realised. After the completion of these projects the residents of Nuevo Pachacútec and El Mirador will no longer have to collect their own waste water and shall be able to flush their lavatories. The water supply system enables the Nuevo Pachacuteños to do their laundry, cook their meals and start a small vegetable garden or keep domestic animals to support their own livelihood. The NGO Alternativa between 2000 and 2002 achieved a decrease in the purchase price of water and some improvement in the quality of the water in Nuevo Pachacútec (paragraph 5.4.1.3)

However the water is still of inferior quality because of the absence of a purification system. The water has to be boiled before it can be drunk and the water supplied by SEDAPAL is sometimes contaminated by bacteria or polluted otherwise (Chapter 7).

8 Conclusions

This research aims to show the most important drivers behind the process of neighbourhood improvement and is an attempt to discover how the residents together with other stakeholders concerned try to improve their neighbourhood within a self-help settlement and in what way they deal with the occurring problems. The process of neighbourhood improvement begins immediately after the self-help settlement comes into existence and as time passes it develops.

The central question in this research was:

What are the key drivers behind the process of neighbourhood improvement within the self-help settlements of Nuevo Pachacútec and what are the roles of the residents and other stakeholders in this process?

In order to be able to answer this question attention was paid to:

- the history and backgrounds of the process of neighbourhood improvement in the self-help settlements of Nuevo Pachacútec and the involvement of the residents and other stakeholders in this process
- the nature of activities undertaken by the residents and other parties to contribute to the improvement of their neighbourhood
- the cooperation between neighbourhood organizations, residents and other stakeholders in the process of neighbourhood improvement

For this research four neighbourhoods were selected in order that a better insight might be obtained in the ways of development in the self-help settlements of Nuevo Pachacútec. A comparison between these neighbourhoods has been made on account of general characteristics and the presence of basic facilities and/other social provisions such as water, electricity, water organizations, a neighbourhood leader and neighbourhood organizations supplying milk for babies (milk glass committees) and security. The diversity in the features of the self-help houses has been discussed: some are built in brick, others from rush-mats, some have soft floors, etcetera.

8.1 The stake-holders

Chapter 7 dealt with the roles of residents, neighbourhood organizations and other stake-holders (the parties concerned: organizations c.q. authorities each contributing to the result in the process of neighbourhood improvement).

The concept of participatory development that has been used in this research proved to be useful when stating the ways in which stakeholders may get involved in the process of improvement and participation has to be seen as an important condition for effective and possibly continuing cooperation between the parties in solving mutual problems (paragraph 2.4). The interests of the community, neighbourhood, neighbourhood, municipality and other parties depend on the social, geographical, political and economical characteristics of the area concerned. It has become obvious that the participation of members of interested parties depends on their own functioning and the frequency of their meetings.

The measure of responsibility taken by these parties depends on their interests, objectives, wishes and priorities (paragraph 2.4). Each party holds its own position with regard to solving the problems that present themselves in the process of neighbourhood improvement. According to the UN (1979, p. 225) community participation may be defined as *"sharing the advantages of development, the active contribution of the population to the development of their community/society and the population's involvement in the decision-making at all political levels in society"*.

The national government helped the people of Nuevo Pachacútec to establish basic organisations, i.e. the so-called neighbourhood organizations, whose task it is to represent the interests and wishes of the residents. They are closest to the community/society of the neighbourhood and whenever the neighbourhood lacks certain facilities they are the obvious party to approach the government, NGO or other actor.

The residents take the responsibility to obtain a position in the process of improvement by means of organised collective campaigns and protest actions in behalf of the realisation of desired projects.

Mostly the leaders of the neighbourhoods in Nuevo Pachacútec try to solve problems risen by means of meetings in which the people get the chance to voice their wishes so that solutions can be found in mutual agreement. One of the reasons a neighbourhood organisation may be malfunctioning is the problem of absence of the leaders due to their long days at work, with Sunday the only day they can listen to the wishes, demands and priorities of the residents.

Summarizing, a citizen of Nuevo Pachacútec can execute his citizenship, by taking part in joint events such as neighbourhood and neighbourhood meetings citizens can present their wishes and demands to the council, where they will be heard (paragraph 2.4.1).

The decision-making procedure requires much patience. In most cases it takes years before progress is made, which is mainly due to the fact that the national, regional and local authorities have to cooperate when planning and executing projects such as the neighbourhood infrastructure, construction of roads, water supply system, electricity network and sewerage -/water purification systems. Political developments strongly influence the governments' decision-making policy. This is one of the reasons these governments in practice hardly play a role in the improvement of the surveyed neighbourhoods of Nuevo Pachacútec and El Mirador. Another reason is that both the local and the regional governments, each for their own territory, have the same legal authority and the same instruments for regional planning.

Because of lack of funds and power to make investments the local government, the municipality of Ventanilla, can do little for the development of Nuevo Pachacútec and El Mirador. In the first instance provisional basic facilities for Nuevo Pachacútec were supplied by the national and regional governments between 2000 and 2002. In the end the national government's political power and judicature decide which public projects will be considered, with the result that the local authority can never be sure of its role in the decision-making process about local development. The fact that the national government in Lima still has the last word in decisions at regional or local level is greatly undermining the autonomous part and the functioning of the local authority.

NGO's have an intermediary role between the residents and the various authorities in the process of neighbourhood improvement. This happens by means of so-called *mesa de concertación* where people can vote for their favourite project.

Also NGO's consult with the government about the suitability of a project with regard to the (local, regional or national) development policy of the municipality, region or province.

8.2 Migration and housing

The thesis begins with the statement that during the sixties of the last century the city of Lima experienced a strong growth. Large numbers of people moved from the country to the suburbs of Lima, where they hoped to find better living conditions, a roof over their heads and especially where they would get a decent chance to start a family with their children growing up peacefully and without worries. These migration movements had serious consequences for the local authorities of Lima, mainly with regard to housing.

In chapter 6 it became clear that, contrary to the situation in the past, the extent of migration from country to city is surpassed by that of the so-called *immigration phenomena*: young adults and young couples with little money, eager to live their own lives, are leaving the parental home in the city and choose to buy their own land at the periphery of the city to build their own home, hoping for a better and especially independent existence.

Migrants occupy a parcel of land and thus a self-help settlement is initiated. At first there are no basic- or other facilities. The people do not (yet) get any support from the authorities for the construction of their settlement. Usually the authorities in Peru are not prepared to meet the demands for housing from the poverty-stricken part of the population.

Poor as they are those people have to manage to build their own houses, possibly with the help of friends or relatives (paragraph 2.1). However there are some exceptions.

Nuevo Pachacútec is the latest urban expansion of the metropole Lima/Callao and was established when in 2000 the regional government of Lima and Callao transferred a large housing problem of new migrants to the local authorities of Ventanilla, hoping that in this way the problem would be solved faster, this in order to help bring about the re-election of president Fujimori and the mayor of Villa el Salvador. The problem was, however, that a number of households that used to live in the south of Lima in a rental home or with parents, had illegally occupied a piece of privately owned agricultural land with the intention to build their own future.

When the local authorities attempted to end the illegal occupation, the national government decided to intervene and to house this group in the north of Lima. By offering the people a parcel of land which eventually they would legally own the national government expected to solve the housing problem.

The illegal occupation of the land by new migrants in the south of Lima can be seen as leading to the latest urban expansion in the north of the metropole, namely Nuevo Pachacútec.

The idea of the national government to meet the needs of a group of families in this way and thus solve a social as well as a political problem turned out to be an important **key driver** for the origin of Nuevo Pachacútec and for its further development where cooperation between the neighbourhood organizations and the various governments is essential in order to be eligible for realisation of neighbourhood improvement projects (infrastructure –roads- . water, sewerage and electricity) in Nuevo Pachacútec and El Mirador. In this way progress can be made in the process of neighbourhood improvement.

Nuevo Pachacútec was founded in 2000 and at the time only had the use of provisional basic facilities. The people were forced to live in a desert where nothing had been built yet. They had to build their own house with materials found in their surroundings. The readiness of the residents to create a new existence within a self-help settlement originates in the wish for a place of their own, their own piece of land on which they can build a house for their family in an economically effective way and thus improve their standard of living. This aspiration in fact is another important key driver for the development and improvement of the self-help settlements.

In chapter 6 it became clear that most of the residents in the self-help settlements are employed in casual work or have a temporary job. To somehow supplement their income the people have to resort to informal strategies. Some sell various products in the streets in Nuevo Pachacútec or at the market of Ventanilla to earn a little extra to be able to provide for their families.

8.3 The self-help house as key-concept

In chapter 2 the key-concepts used in this research into the key drivers behind the process of neighbourhood improvement were discussed. From the application of these concepts in the analysis the conclusion can be drawn that the self-help process of the residents in their own neighbourhood, also called progressive self-help, may be seen indirectly as one of the key drivers of this process.

In Nuevo Pachacútec most people built their houses bit by bit. In the first instance it takes them from one day to two weeks, depending on the construction. In most cases the resident improves his house gradually, building extension(s) whenever he has money. This seemed to be the case in the researched neighbourhoods. Often no second floor had been added as yet while the owner lacked the necessary money. The majority of the residents in the neighbourhoods A2 and B4 have lived there for the last six to ten years.

In the meantime their self-help houses sometimes have been drastically changed. Some people decide to demolish their house if for instance it has been built from rush matting and to build a house of timber or bricks instead, with a corrugated roof.

These renovations/ extensions are mostly paid with money from the household savings. It greatly depends on the financial situation of the residents of Nuevo Pachacútec whether or not they will be able to realise extensions or innovations.

In El Mirador hardly any extensions will be found as the people are satisfied with their subsidized basic module dwelling of layered concrete which was financed by the Mivivienda Fund. Moreover they have only been living there a short time (one to three years- see sub paragraph 5.2.2.2).

The conclusion that the financial situation of the residents of Nuevo Pachacútec and El Mirador determines the extent of innovation coincides with the assumption of De Soto that through lack of credit possibilities families have to occupy their houses a very long time before they are able to finish them. From the money necessary for the daily cost of living little can be put aside.

According to Turner the positive view the people have of the possibilities for development and the strong wish for social identity are the most important basic elements for development in a self-help settlement. Housing is essential and the security of ownership plus the fact that their children will go to school.

The housing of the people in Nuevo Pachacútec is secured: they were able to safeguard their property with the help of the national government in 2000 and 2006. Between 2000 and 2002 this authority gave the residents the ownership titles of their land to enable them to build their own home. In El Mirador residents not eligible for borrowing from regular banks were able to take out a loan from the government-owned Mivivienda Fund. This loan had to be paid back in full at BANMAT and all other expenses regarding their own house had to be paid as well before house and lot became their legal property.

8.4 Legalisation of land rights

Another **important key driver** behind the process of neighbourhood improvement is the formalization of the land rights, in general the role that home ownership plays in the development of the neighbourhoods in Nuevo Pachacútec and El Mirador. It is obvious that the utility of property does in fact represent economic value in Nuevo Pachacútec.

Official ownership entitles the owner/occupant to generate capital on his own land. In Nuevo Pachacútec and El Mirador the issue of land rights lead to the installation of basic facilities such as water supply and electricity. These facilities have to be maintained collectively. Also formal land ownership is required before improvements to the house (and thus to the neighbourhood) can be carried out. Residents who own their parcel of land can, if they are registered with the council's public registration office, start a business (shop, restaurant, cafe, etc. – chapter 1 & 6). It can be said that for the resident a formal ownership certificate of his own plot/house, e.g. right to dispose it, is an important key driver behind the development of the neighbourhood in the surveyed neighbourhoods.

There can be achieved no progress in the process of neighbourhood improvement as long as the lots have not been legalized, because NGO's and governments demand that the residents are firmly established within their self-help settlements so that their contribution to the development of the neighbourhood will lead to actual results.

A these improvement projects is their contribution in combating poverty in the self-help settlements of Nuevo Pachacútec and El Mirador. In the present discussion about legalizing (land)ownership in development countries the assumption may be included that in fact the poor do profit from the benefits of legal ownership of their property when their government is in agreement (paragraph 2.2).

In principle the people of Nuevo Pachacútec have these privileges, but whether De Soto's vision that in general legalisation of ownership and in particular the issue of ownership titles stimulates the inclination to invest and create capital could not be confirmed in this research.

For that matter, the findings from this research correspond with the statement of Calderon (2004) that the issue of land rights to the residents in the self-help settlements in Lima only has an insignificant effect on the willingness of these people to invest. The rate of investments remains the same as before. Most residents finance the extensions of their property, house from the household savings and not through loans.

8.5 Decentralisation and participation

The transfer of public functions, tasks and responsibilities from the central government to subordinate, lower tiered government organizations, the process of decentralisation initiated in Peru in 2002 (chapter 4) did not lead to a better supply of basic- and other social provisions in Nuevo Pachacútec and El Mirador. In 2007 it became clear that in most provinces and municipalities of Peru only 20% of this decentralisation process had been realised. The transfer was slowed down because the regional and local authorities were short of mechanisms and/or means to undertake these public functions and responsibilities.

It is true that this decentralisation process made it possible for citizens to influence politics considering their own wishes and priorities regarding regional planning and initiating projects in their own area. Thanks to the participatory budget established by the national government citizens can have a voice in the political decision-making. They can take on responsibilities and become co-governors of their own municipality. Participatory governance stimulates the local government to take its responsibility and make its own contributions with due observance of the citizens' initiatives

These findings correspond with the vision within the international development debate, that the local authorities should be responsible for transparent solutions for local problems. The concept of participatory governance has been useful in analyzing the way in which the government tries to involve citizens and other parties in the process of political decision-making regarding development plans and the realisation of public investment projects, as well as the question why such activities eventually were not achieved.

When in 2004 a development plan for 2010 for Nuevo Pachacútec was initiated use was made of the process of *concertación*, a form of process in which agreements are reached between various participants with different interests in order to reach solutions and responsibilities can be assigned (paragraph 4.3). In the beginning this process worked well, a development – and execution plan for the neighbourhood improvement projects initiated by the neighbourhood- and community based organizations of Nuevo Pachacútec together with the national, regional and local authorities was drawn up. Afterwards nothing more was heard. In 2009 it appeared that hardly anybody knew anything about the planning. The lack of coordination and communication between the national government and the residents of Nuevo Pachacútec about the decisions regarding the realisation of projects is evident.

Nevertheless the participation of the residents in cooperation with the neighbourhood organizations and other interested stakeholders in activities that might lead to development/progress may be seen as another **important key driver** behind the process of neighbourhood improvement. According to Cambell & Vainio-Mattila (2003, p.40) participation may be seen as an important condition for the realisation of effective and possibly lasting cooperation between parties in solving mutual problems.

In the last ten years problems such as unemployment, lack of facilities, food safety and health problems, social insecurity and criminality in the researched neighbourhoods have been tackled in various ways. In this research project it has become clear that through participation effective cooperation has been achieved in the process of neighbourhood improvement. Recently Nuevo Pachacútec and El Mirador were permanently connected to the electricity network and the water supply system of Lima.

The local, regional and national authorities are mainly interested in having their own aims and objects, wishes and priorities represented in the public investment projects for the self-help settlements. It is therefore no surprise that from the side of the residents there is little support for their decisions and for their politics in general. Instead of trying to establish decent communication with the people and other parties interested in neighbourhood improvement they mainly stick together. Even if cooperation between the authorities and the communal organizations/residents leaves a lot to be desired the latter do have the opportunity to participate in the management of their own area (paragraph 2.3.1).

One might say that the government's contribution is restricted to the creation of opportunities for the residents, various organizations and the private sector to realise their own housing and the basic or social facilities required.

The 21 neighbourhoods of Nuevo Pachacútec and the 5 neighbourhoods of the social housing project El Mirador are unified in the so-called housing project of Nuevo Pachacútec. Both areas, together with the adjacent quarter Proyecto Especial Ciudad Pachacútec, have been recently joined

together to form the administrative unit Ciudad Pachacútec with 170.000 residents (Chapter 5). At the time of this research this unit was in the process of development and the representatives of the neighbourhood and community based organizations still had to be chosen.

8.6 The result

In this research an attempt was made to get a better insight in the way people try to create their own neighbourhood from nothing and the gradual development of the new settlements of Nuevo Pachacútec into new suburbs of Lima.

It has become clear that these self-help settlements initially did not have any basic or other facilities. From the established key drivers behind the process of neighbourhood improvement it became obvious that many factors are involved in the possibilities of the residents to develop their neighbourhood. One of these factors was the government's decision to comply with the wishes and demands of a group of residents for social –political reasons.

As has been said before Nuevo Pachacútec initially only had provisional basic facilities at its disposal. The people had to live in a desert without anything having been built as yet. They had to be prepared to exert themselves to create their new future in a self-help settlement, to build their own home with materials found in the vicinity, the phenomena progressive self-help in the development and improvement of the settlements playing an important part in this endeavour. The formal issue of land rights has led to the new owners' acquisition of the various basic facilities, such as electricity, on condition of mutual maintenance.

During the first ten years Nuevo Pachacútec experienced problems such as unemployment, lack of facilities, unsafe food and health problems, social insecurity and criminality. This research has shown that these problems have been dealt with in various ways during these years.

However, the possibilities for education for the children of Nuevo Pachacútec are still very limited. The residents have access to the existing institutions but the level and the quality of education is low. Teaching happens in unfinished classrooms and there is a shortage of teachers. Parents are supposed to take care of their own offspring, but the fact that they are away at work all day contributes to the children going astray. The parents play a minor role in their education. Youth gangs (between 11 and 18 years of age) operate in Nuevo Pachacútec.

Consequently the social identity of the neighbourhoods in the self-help settlements is poor. With a strong social identity these problems would not occur and the children would have better chances. In this research it has become clear, however, how by way of participation effective cooperation can be achieved to solve some of these problems. This participation of the people in cooperation between them, neighbourhood organizations and other parties is indispensable in the process of improvement, because to keep the local, regional and national authorities active in rendering services regarding basic and social facilities the residents' organizations have to collectively campaign in order to get access to the decision-making with regard to the realisation of projects for neighbourhood improvement.

A success for Nuevo Pachacútec and El Mirador is the recently finished project, namely the permanent connection to the electricity network and the water supply system of Lima. Considering the activities and projects undertaken and still being carried out by the NGO's COPRODELI and Alternativa one may conclude that the NGO's have an intermediary part in the process of improvement between the residents and the various authorities, as in a mesa de concertación the people can vote for the best project. NGO's then have to consult with the authorities if a project fits in with the local development policy of the municipality. The NGO Alternativa between 2000 and 2002 managed a decrease in the purchase price and an improvement of the quality of water (paragraph 5.4.1.3).

The installation of the water supply enables the Nuevo Pachacuteños to do their laundry and their cooking and perhaps lay out a small garden for the production of fruit or vegetables or to keep (domestic) animals, in order to partly earn their own livelihood. But owing to the lack of a waste water purification system the water is still of an inferior quality, it has to be boiled before consumption and sometimes the water supplied by SEDAPAL is bacterially or otherwise contaminated (chapter 7).

The commission for public transport saw to it that the national government cooperated with the regional and local authorities for the financing of 60 km's road construction in Nuevo Pachacútec and El Mirador. This project was started in 2008 and has shortened travelling time from Nuevo

Pachacútec to the centre of Ventanilla by 20 minutes. When before it took 30 minutes or longer along unpaved roads nowadays one reaches Ventanilla within 10 minutes. Recently the last 18 km was completed, sidewalks and pavement for the neighbourhoods of El Mirador. Thus the objective for improving the infrastructure has been reached by means of cooperation between the commission of public transport, the council of Ventanilla and the province of Callao. The project has led to more safety in the neighbourhoods and neighbourhoods and an extension of the public transport network, a better bus service between Nuevo Pachacútec and surrounding neighbourhoods and the city of Lima.

It also became evident that the residents of the neighbourhoods in Nuevo Pachacútec still experience the problem of social insecurity and criminality because the municipal police force of Ventanilla is short-staffed. The activities of the neighbourhood watch organizations in neighbourhoods 2 and 3 of El Mirador have solved the security problems in these neighbourhoods.

It is highly probable that in the next two years a waste water purification system and water supply for each lot will be installed for the people of Nuevo Pachacútec and El Mirador. After completion of these projects the residents do not have to collect their own waste water any longer and will have flush toilets.

Recommendations for further research

This thesis has presented many new views on public housing and the possibilities for residents to develop their own living area in new suburbs of the city of Lima. Various key drivers have been found which lead up to the process of neighbourhood improvement and influence this process each in their own way.

It may be interesting to carry out the same research in 5 or 10 years' time to discover if these possibilities for development have changed and whether the procedure factors are still the same or if they have changed. Or if other key drivers can be found and if so, what they might be. Have the demographic and social –economical characteristics of the neighbourhoods changed? Have education facilities improved, has a hospital been built?

Also in order to receive an answer to the question why the government has no significant role in improving neighbourhoods it should be interesting to investigate in which measure participatory governance in reality contributes to the development of new (planned) self-help settlements in Lima. *Do other parts of Lima also develop and is the population uncertain as to what the government actually can mean to them?*

For a future IDS student it may be of interest to carry out a qualitative research project together with a local NGO or non-profit organisation realising an aid project for the local population. To get a better idea of the functioning of political decision-making at a local level, the government's activities on behalf of the development of self-help settlements and the way in which a NGO acquires access to government services, how it can organise a mesa de concertación in which also residents and local authorities participate.

After which agreements can be reached about the necessary activities for further development of a self-help settlement.

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Appendixes

Appendix I: List of Consulted Institutes

NGO Alternativa, centro de investigacion social y eduaccion popular

Emeterio Perez nr. 348

Urb. Ingenieria

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Appendix II: Explanation of terms and features used in conceptual model

General characteristics of self-help settlements:

Qualitative aspects and characteristics of self-help houses =

What material are the self-help houses made of? Do they have a wall of plastic, straw, bricks or stone, is the roof made of corrugated iron, asbestos or tiles or other type of material, is the house build recently or has it been constructed just a few years ago. Quality aspects of the houses, wall, floor and roof and whether there is the presence or absence of basic facilities like water, electricity or gas.

*Land and property rights of plots =*Is the occupant the owner of the plot and the land that he/she possesses or is he/she the tenant or did the occupant obtained the plot illegally?

Presence or absence of social and basic facilities = is there the availability of a water supply system, basic infrastructure (like asphalt roads), electricity network, a school, medical post, police, church or sport association

Residents= the people who live in the self-help settlements of Nuevo Pachacútec

Demographical and socio-economic characteristics=

Features to present how many people live in Nuevo Pachacútec, their age, education level, type of work, temporary or permanent job, employment and daily activities that the head of the household or housewife undertake and other sources of income

*Migration history=*Where did the inhabitants of Nuevo Pachacútec live before, where they were born and why do they live here now in Nuevo Pachacútec

*Settling motives=*What were the motives of the inhabitants to settle in Nuevo Pachacútec

*Method of finance own house and plot =*The way how inhabitants financed their own house and plot in Nuevo Pachacútec

Stakeholders= “Stakeholders are organisations agencies whereby each stakeholder has a stake in the outcome of a decision” (Dale, 1995, p.5).

Legal Framework for development=

How in laws and legislation is taken care of a new development. How this is complied, and if the set-up activities by the formulation of a strategic development plan, project implementation leads or no leads to an improvement of neighbourhoods in self-help settlements and how actors cooperate with each other in het process of neighbourhood improvement.

The participatory budget= Actors, like NGO's, communal organisations or micro entrepreneurs in a self-help settlement could receive a certain budget (amount of money) from the central, regional or local government, if they come with a good proposal (by example the construction of a beautiful park, sidewalks, something creative)

Appendix III: Household survey neighbourhoods Nuevo Pachacútec

Encuesta Piloto: Proceso de mejoramiento de barrios en asentamiento humanos en Nuevo Pachacútec, Distrito Ventanilla, Provincia Callao

Mi nombre es, Wybren Klaver, estudiante de la Universidad de Utrecht (estudiante de estudios internacionales de desarrollo) y con la ayuda de la Universidad Mayor de San Marcos, hago un contexto de mi investigación para mi maestría, acerca del proceso de mejoramiento de barrios en los asentamientos humanos en Nuevo Pachacútec.

Mediante esta encuesta, estoy investigando:

Por qué los residentes o (personas) han elegido para vivir en asentamientos humanos (cuales son sus razones) o han vivido antes en un asentamiento humano (por ejemplo: el proyecto de reasentamiento de gobierno, Villa El Salvador, Pachacútec).

Por esta razón, apreciaría su ayuda de poder participar en mi investigación.

Los resultados de la investigación serán procesados en anónimo.

Croquis de la casa

Número de encuesta:

Fecha:..../.../2009

Sector/Manzana:

Número de casa:

Más casas por lote? No / Sí, ve número de encuesta...

Más familias por lote? No/ Sí:

Datos Generales

1. Sexo de encuestado: F/M

Observación

Cómo construyo su casa: con ayuda

sin ayuda: Quién

Características de vivienda/ Uso de materiales

Piso	Paredes	Techo
Arena	Ladrillos/bloques	Calamina
Cemento	Estera	Tejas
Madera/Nordex	Madera	Concreto
Enladrillado	Metal	Plástico / cartón
	Plástico / Cartón	Madera

Condición de la calle: tierra / calle grava /pavimentado /asfalto

3. ¿Cuántos personas viven en el hogar?

..... (comentar, cuantos personas, familia u otra, la estructura)

Continua con los Datos generales >> Esquema de los hogares

La vivienda

4. ¿Cual es el lugar de su nacimiento?

Distrito:..... Prov.:..... Dep.:.....

5. ¿Desde cuando vive usted en Pachacútec?

Hace.....

1. 1-2 años pasado
2. 3-5 años pasado
3. 6-10 años pasado
4. > 10 años

6. ¿Cuál fue el motivo principal para mudarse y vivir en Pachacútec?

.....

.....
7. ¿Donde vivía usted antes de mudarse aquí... y en que año...?
Lugar:..... Distrito:..... Prov.:..... Dep.:.....

8.¿En qué lugar de Lima vivió primero cuando llegó a esta ciudad?
.....

9. ¿En qué trabajó usted primero en Lima y en que año.....?
.....

10. ¿Cómo obtuvo usted su primer trabajo en Lima?
.....

11. ¿Cómo ha conseguido usted su primer vivienda en Lima?
.....

12. ¿La casa en que vivió antes de mudarse aquí era...
1. su propiedad
2. alquilado
3. familiar.....
4. otra.....

La casa, el lote y alrededores de casa

13. ¿El lote en que viven es.....
a. Donado..... por quién?.....
b. Comprado al contado
c. Esta pagándolo mensualmente
d. Esta alquilándolo mensualmente
e. Otro.....
f. NR

14.¿Cómo ha financiado su lote?
a. propio con recursos
b. Con ayuda de mi familia / amigos
c. Con ayuda de una organización de financiamiento
d. Con ayuda de un ONG
e. Otro.....
f. NR

15.¿Cuanto tiempo le tomó para construir su casa en este estado en este terreno?
1. < 1 años
2. 1-2 años
3. 3-5 años
4. 6-10 años
5. > 10 años

16.¿Cómo ha financiado la construcción de su casa?
a. ahorro propio
b. Con ayuda de mi familia / amigos
c. Con ayuda de una organización de financiamiento
d. Con ayuda de un ONG
e. Otra.....
f. NR

17. ¿Usted es el primer habitante de este lote y de esta casa?

- a. sí, sigue a pregunta 20
- b. no
- c. NR

18. ¿Quién fue el propietario antes que usted?

- a. Familia
- b. Amigo
- c. Una empresa
- d. Ministerio de vivienda
- e. Municipal
- f. NR

19. ¿Por qué cree que le han transferido este lote a usted?

- a. tienen otra casa en Lima
- b. Se mudaron a fuera de Lima
- c. Tenían mas lotes en Pachacútec
- d. Servicio a familiar/ de amigos
- e. Reasentamiento programa de gobierno
- f. Techo propio
- g. Otro es decir...
- h. NR

20. ¿Cuales son los servicios básicos que tiene su casa?

- a. Electricidad
- b. Agua en pileta, agua en instalación
- c. desagüe
- d. Silo/pozo
- e. Telefono

21. ¿Cómo ha obtenido estos Servicios basicos (amenities)?

- a. El gobierno (municipal, regional)
- b. ONG's
- c. La organización comunal
- d. Edelnor
- e. Sedapal
- f. Otra...

22. ¿Cuanto tiempo ha durado para obtener el luz definitivo?

- a. 1-2 años
- b. 3-5 años
- c. 6-10 años
- d. >10 años

23. ¿Cuanto tiempo ha durado para obtener el agua en pileta/instalación?

...

24. ¿Cuáles son sus gastos por el agua al mes?

..... Soles por cilindro / cuanto cilindros x semana

25. ¿Cuáles son sus gastos por la electricidad al mes?

..... Soles / no tengo / ilegal

26. ¿Cuáles son sus gastos por combustibles al mes que consume en la cocina?

..... soles

27. ¿Cuántos divisiones tiene su casa?

..... cuartos: dormitorios / sala / sala, cocina incluida / cocina / baño

28. ¿Cual es su opinión con respecto a la calidad de las siguientes servicios?

	Insuficiente	Mas o menos	Regular	Bueno	Muy bueno
Las tiendas					
Educacion					
Servicio de electricidad					
Servicio de agua					
Servicio de transporte					
Seguridad Ciudadana					
Centro de Salud					

Participación de los hogares en el proceso de mejoramiento de barrio

30. ¿Tiene contacto con sus vecinos? Si / Poco / No

31. ¿Esta usted participando en una organizacion (de barrio) o reunión para negociar con la municipalidad o ONG's, para resolver problemas que ocurren en su barrio?

1. Si >>>> ir a 34

2. No >>> ir a 33

32. ¿Por qué no participa o participa poco en una organizacion?

- tiene otros asuntos que atender
- no cree que sea necesaria su participación.
- El barrio/la etapa no está bien organizado
- No se toman en cuenta las decisions de la comunidad
- No existen recursos para resolver los problemas.
- No le interesan las actividades
- No existen problemas
- Tiene poco tiempo viviendo
- No le gusta
- NR

33. ¿En general, cuánta gente participa en actividades en su barrio?

- Todos
- La mayoría
- La mitad
- La minoría
- Nadie
- NR

34. ¿Qué instituciones apoyan el desarrollo de su pueblo?

- gobierno central
- gobierno regional
- gobierno local
- ONG's
- Otras:

Características del encuestado

Por ultimo quisiera consultarle algunos preguntas generales

35. ¿Qué tipo de ingresos tiene su hogar?

- asalariado
- cuenta propia
- propia empresa
- remesas de (personas) por Mes
- ayuda de ONGs

- f. ayuda de familia / amigos
- g. alquilar habitaciones /casas
- h. pensiones
- i. otra.....
- j. NR

36. ¿Cual es el ingreso promedio mensual de su hogar?

.....

37. ¿Después de pagar la casa, agua, electricidad, cuanto plata queda para vivir, para la alimentación, ropa, etc.?

- a. bastante
- b. suficiente
- c. insuficiente
- d. nada
- e. NR

38. ¿Usted ahorra dinero?

- a. Sí,
- b.No
- c. NR

Opcional

39. ¿Cual era el ingreso promedio de su hogar en Villa el Salvador u otro asentamiento humano por mes?

.....

40. ¿Qué le pareció usted la encuesta? ¿Si, desea puede usted darme algunas comentarios.....

1 Encuesta proceso de mejoramiento de los barrios en Pachacútec

Miembros del hogar	Sexo	Edad	Estado civil	Relación	Educación	Ocupación
	1.M 2.F		1. casado 2. seperados 3. viudo 4. conviviente 5. solteros 6. madre soltera 7. menores	1. esposo / a 2. hijo/a 3. abuelo / a 4. padres/ suegros 5. nieto / a 6. otra 7. convivientes 8. hermano/a	a. Primaria b. Secundario c. Instituto..... d. Universitaria.... e. Otra	1.Trabaja cómo..... 2.desempleado 3. ama de casa 4. estudia 5. otra, es decir...
1.						
2.						
3.						
4.						
5.						
6.						
7.						

Condición de actividad	Categoría de trabajo	Dónde trabaja?	Temporal / fijo	Tipo de ingresos	Ingresos mas o menos de 500 soles
1.patrón / propia empresa 2.cuenta propia 3. asalariado 4.trabajo familiar sin renumeración	1.formal 2.informal	1. Pachacútec 2. Ventanilla 3. Lima (distrito y barrio 4. otra	1.fijo 2.temporal 3.estacional	1. fijo 2. variable 3.comisión de corredor 4. salario a destajo	

Appendix IV: Overview surveyed households in the researched neighbourhoods of Nuevo Pachacútec and el Mirador

Neighbourhood	House block	Number of plot
A2	J1	2, 6, 7, 9, 10, 14
A2	M3	2, 3, 5, 7, 8, 10, 13, 15, 17, 18
A2	D1	1, 3, 6, 9, 13, 14
A2	G	1, 2, 4, 8, 9, 10, 12, 15, 23
A2	G2	4, 5, 10, 11, 17, 20
A2	J3	1, 2, 6, 8, 15, 16, 17
A2	K	9, 13, 23
A2	L2	5, 9, 11, 13, 14, 15, 17
B4	D4	4, 5, 10, 15, 16
B4	F1	2, 5, 11, 12, 17, 20, 24
B4	H1	3, 5, 10, 11, 14, 15, 16, 17
B4	E2	1, 2, 6, 8, 9, 10, 11, 14, 22, 24
B4	I2	6, 7, 9, 18, 19, 23, 24, 28
2	4P	1, 7, 9, 12, 14
2	4J	1, 2, 4, 10, 18
2	4I	1, 5, 8, 10, 12, 16
2	4S	2, 3, 4
3	3H	8, 12, 14, 16
3	3L	2, 5, 6, 12
3	3N	3, 5, 12, 18

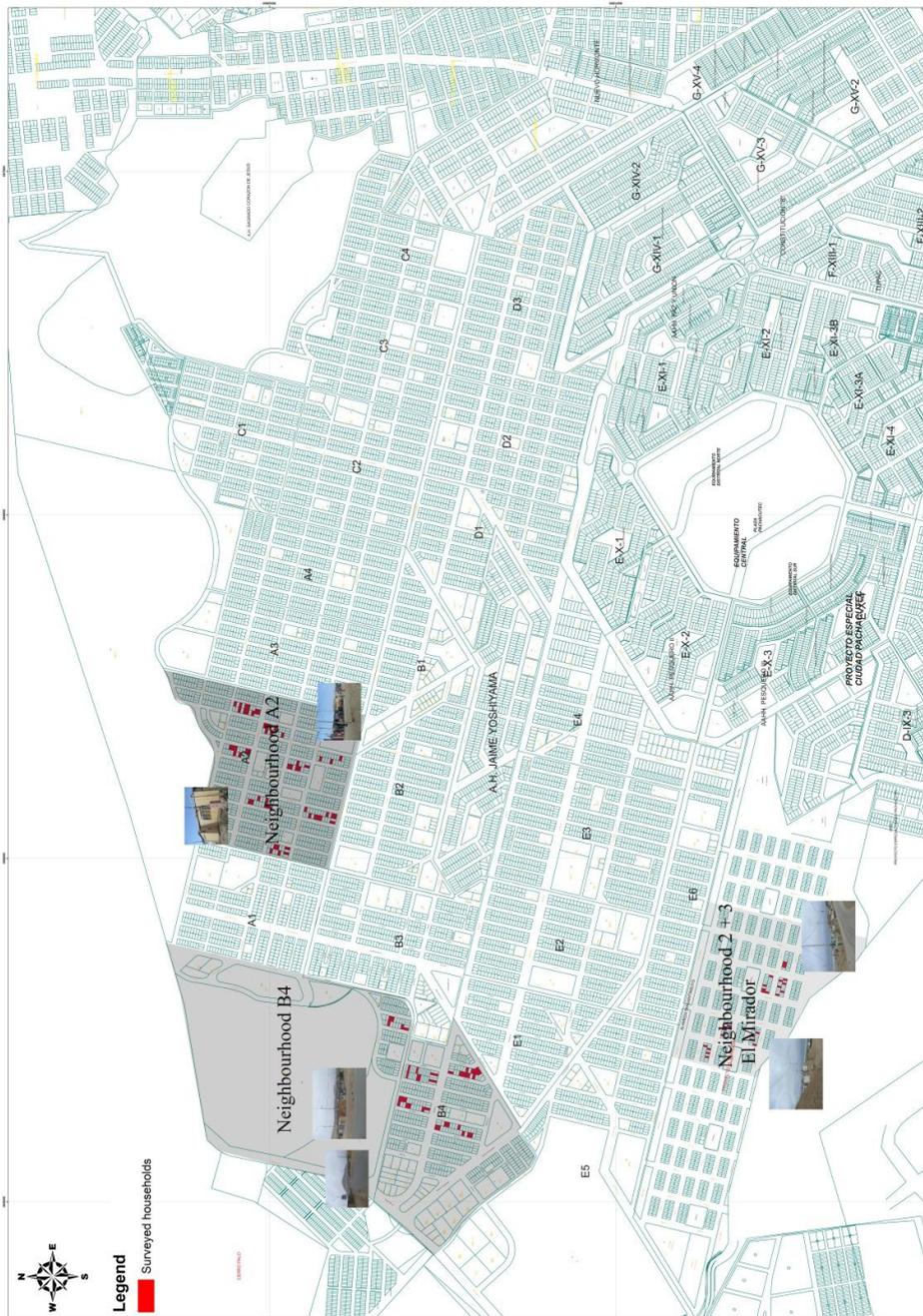
Source: household survey, 2009

Appendix V: Distribution of plots, house blocks and residents Nuevo Pachacútec by neighbourhood (without el Mirador)

Neighbourhood	House blocks	Number of plots	Average household size	Number of inhabitants	% residents
A1	26	462	3,73	1723	4,2
A2	43	800	3,73	2984	7,3
A3	30	581	3,73	2167	5,3
A4	29	562	3,73	2096	5,1
Total A	128	2405	3,73	8971	22
B1	12	222	4,11	912	2,2
B2	21	518	4,11	2129	5,2
B3	26	484	4,11	1989	4,9
B4	24	514	4,11	2113	5,2
Total B	83	1738	4,11	7143	17,5
C1	29	507	3,97	2013	4,9
C2	32	631	3,97	2505	6,2
C3	32	537	3,97	2132	5,2
C4	19	371	3,97	1473	3,6
Total C	112	2046	3,97	8123	20
D1	23	458	3,82	1750	4,3
D2	32	516	3,82	1971	4,8
D3	43	758	3,82	2896	7,1
Total D	98	1732	3,82	6616	16,3
E1	15	397	3,87	1536	3,8
E2	16	481	3,87	1861	4,6
E3	27	719	3,87	2783	6,8
E4	8	212	3,87	820	2
E5	17	382	3,87	1478	3,6
E6	14	357	3,87	1382	3,4
Total E	97	2548	3,87	9861	24,2
Total	518	10469	3,89	40713	100

Source: DFID, 2005, p. 118

Appendix VI: Global overview of the four surveyed neighbourhoods of Nuevo Pachacútec and surveyed households and maps of each neighbourhood¹⁸



Source: Municipalidad Distrital de Ventanilla, 2009

¹⁸The map shows the situation of the four surveyed neighbourhoods: A2, B4 and neighbourhoods 2 and 3 in Nuevo Pachacútec. The households that were questioned are marked in red. A few photos are added to the map to give a picture of the local situation in the neighbourhoods.

Map 2: Neighbourhood A2



Source: Municipalidad Distrital de Ventanilla, 2009

Neighbourhood A2 consists of 800 plots and 44 house blocks. In this neighbourhood were selected eight house blocks for the household survey and 54 households that were questioned are marked in red on the map. In Neighbourhood A2 are next to the main roads, the streets in the neighbourhood made of road-rolled sand.

In the map are indicated which public and social facilities are available in this neighbourhood. The map does not coincide with reality. Therefore the park zoning areas are not indicated in the map. There has not been realized yet one till today in Neighbourhood A2.

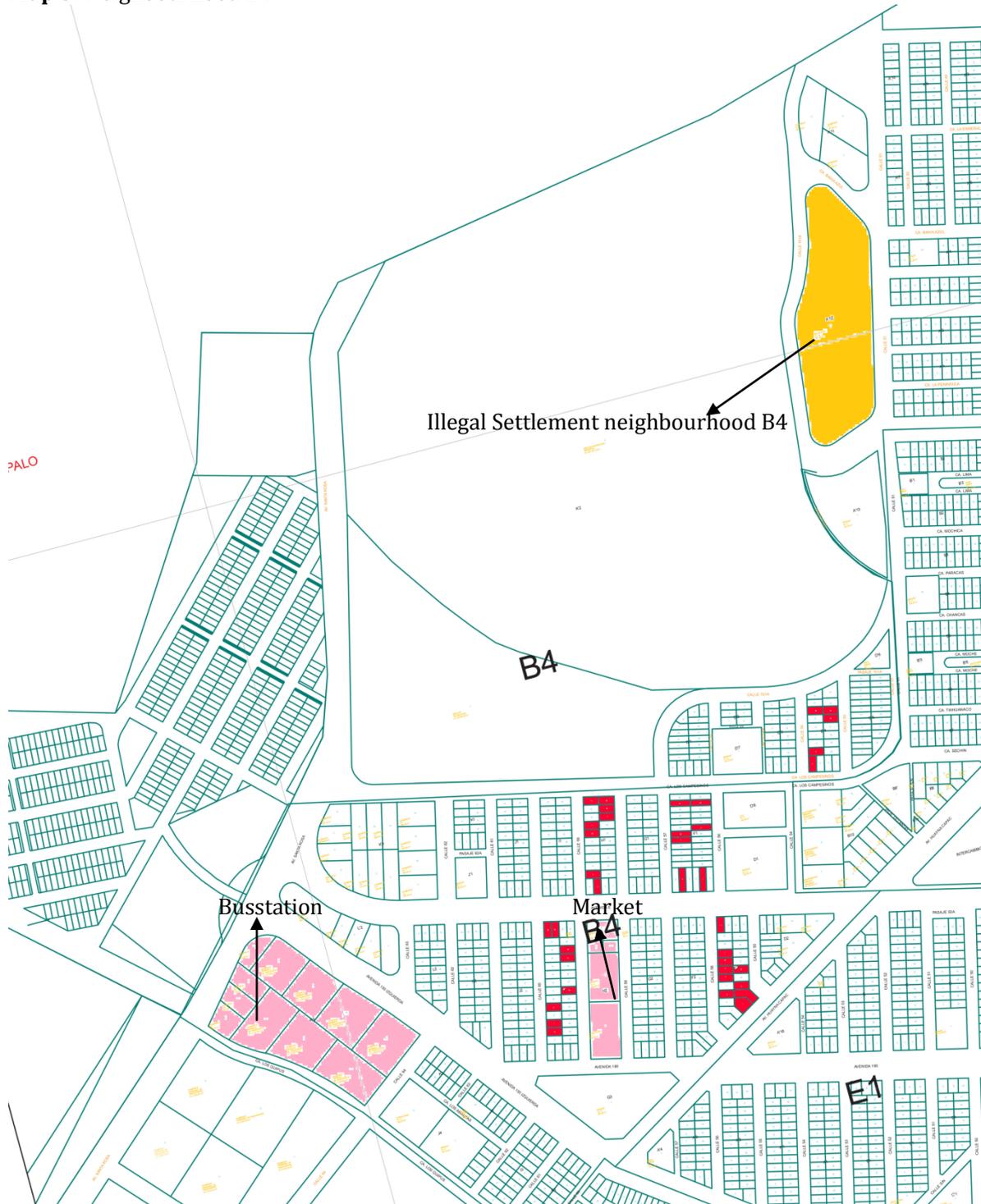
Neighbourhood A2 has two markets, Market 3 de Febrero en Beneficar. There is a secondary school and a pre-school playgroup. Also can be found a taxi and bus stop.

Photo: Impression Neighbourhood A2 Nuevo Pachacútec



Source: Field research, 2009

Map 3: Neighbourhood B4



Source: Municipalidad Distrital de Ventanilla, 2009

Neighbourhood B4 is larger in area but the space for housing are lesser than Neighbourhood A2, because Neighbourhood B4 contains 523 plots and 24 house blocks. In this neighbourhood were selected five house blocks for the household survey and 38 households have been questioned. Marked in red these are indicated in the map. In pink is indicated the social and public facilities that are available in this neighbourhood, namely a market and a bus station. It should be noted that the marked area in reality is not as large as the intended area, because only a third is used by the residents. The illegal settlement which has been come across in

neighbourhood A4 is indicated in orange. In neighbourhood B4, next to the main roads, the streets are also made of road-rolled sand.

Photo: Impression Neighbourhood B4



Source: Field research, 2009

Map 4: Neighbourhood 2 and 3 of El Mirador



Source: Municipalidad Distrital de Ventanilla, 2009

Marked in red are indicated the surveyed households in the map. A total of 32 households have been questioned. Neighbourhood 2 consists of 370 and Neighbourhood 3 of 300 plots and houses. The designated areas in the map for parks are Parque 3 and 4 and Area 3 and 4, but in reality there were come across no parks in both neighbourhoods, and these so-called green areas in the zoning plan of el Mirador have not been realised yet. The neighbourhoods are open, wide and spacious.

The neighbourhood has a rectangular design, whereby the house blocks of neighbourhoods 2 and 3 of el Mirador consist in average of 18 plots and houses. The neighbourhoods are easily accessible, the streets are made of asphalt and the sidewalks are made of gravel or pavement is already realized. Each house has access to basic facilities like water, electricity and sewerage. Each house block has an average of one or two household with a commercial function, i.e. where a household member sells food, books or other. Or there is a restaurant where the residents of the neighbourhoods can go for lunch in the afternoon.

The house blocks are built on a sloping hillside, when you walk down in the West direction via the street, you can find the next house block. See the photo on the next page for illustration:

Photo: Impression el Mirador



Source: Field research, 2009

Appendix VIII: Income areas Lima

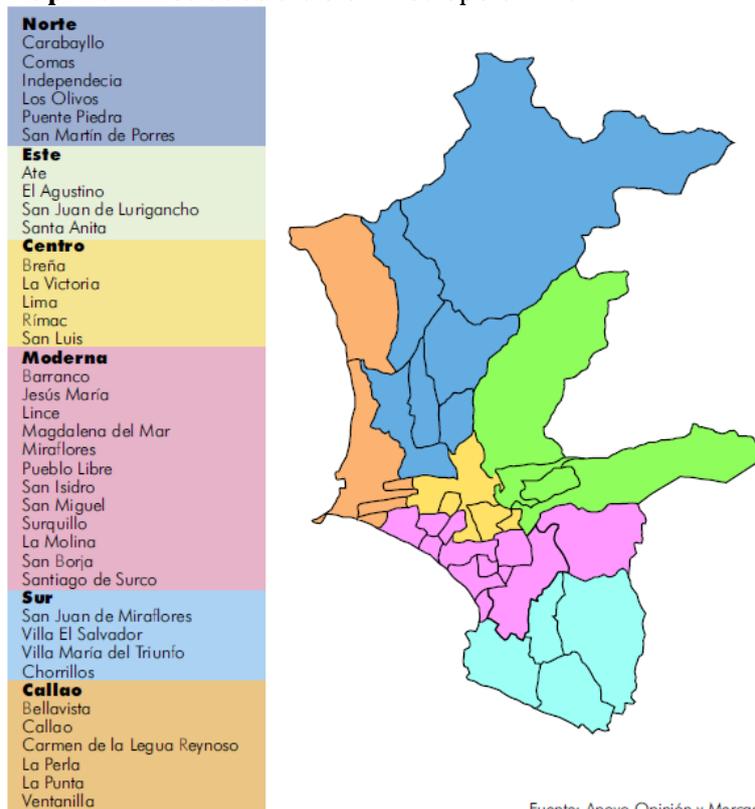
Most surveys in Perú are done according to the NSE (socioeconomic levels) scheme, based on variables related to the possessions and consumption habits of the households, head of household and housewives. In the surveys of the Peruvian Association of Market Research Firms (APEIM) the most important variables are: level of education of the household, way of access to the medical system, tenure of household equipment and services, level of home crowding and home building materials.

According to this criteria households can be classified in 5 socio-economic levels namely: high-income (A level), middle income (B level), middle-low-income (C level), low-income (D level) and very low-income (extreme poverty) (E level).

Referring to last criteria, also the urban areas of Lima can be classified in these socio-economic levels, whereby an economic composition can be made of the urban areas of Lima (paragraph 4.3.1).

The metropole of Lima has two provinces, -Lima en Callao - and 37 municipalities (Map 4.3).

Map: Administrative division metropole Lima¹⁹



Source: Fondo Mi Vivienda, 2006

¹⁹ The city of Lima covers 1281 km², to be divided in six different geographical zones from the historical town centre. The central zones, Callao and Modern include neighbourhoods which have been founded at the beginning of the 20th century, before that Lima Cercado or Rimac were known as traditional Lima. The new Lima includes the Cones North, South and East, the northern zone being the largest, namely 42 % of the city's total surface. In this zone the largest neighbourhood of the city can be found. This is Carabayllo, which comprises 27,1% of the city's surface.

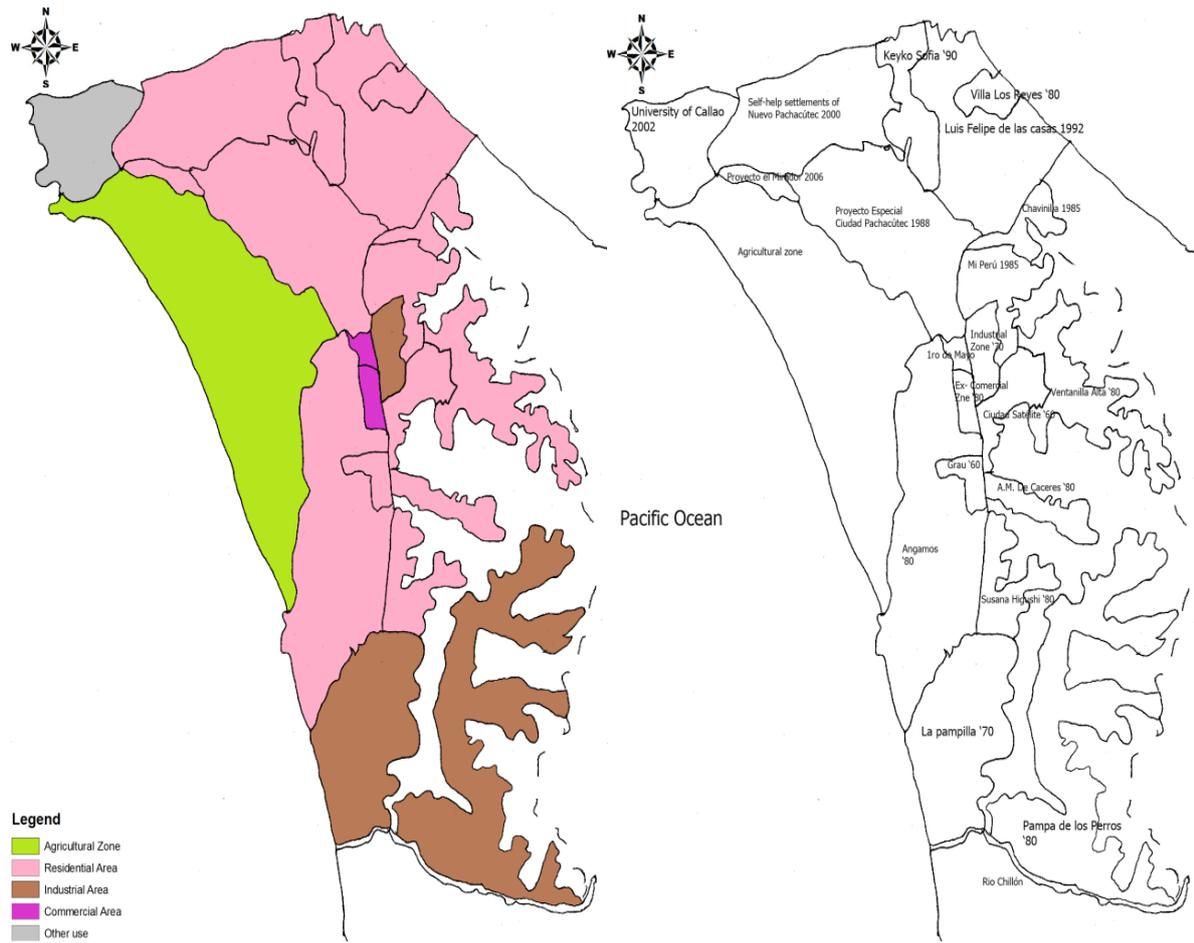
Table: Urban areas classified by income level households

Urban area	Level A	Level B	Level C	Level D/E
North Lima	0	5,3	36,6	58,1
East Lima	0	5,2	31,7	63,1
Central Lima	0,1	23,6	52,7	23,6
Modern Lima	27,0	55,3	14,2	3,4
South Lima	0,2	5,0	34,7	60,1
Callao	0	12,1	38,3	49,5
Totals	3,7	14,0	33,4	48,8

Source: Fondo Mi Vivienda 2006

It appears that in modern Lima many households have a high middle income. In East, North, South Lima and Callao many households have a low income or live in extreme poverty. At urban level, 48,8% of the households that live in the metropole of Lima and Callao belong to the segment low income or they live in extreme poverty. In addition, only 3,7 of the households in Lima have a high income. Thus, the socio-economic inequalities between the poor and the very wealthy elite in Lima is a problem of wide magnitude.

Appendix IX: Spot map spatial areas of municipality of Ventanilla and zoning areas



Source: Urban development plan Ventanilla 2006-2015