

Architecture  
and the  
Built environment

#28  
2018



## Managing Social Condominiums

Strategies for third sector intermediaries to support  
low-income homeowners in Chile

Luz María Vergara d'Alençon





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Department of Management in the Built Environment*

**Design:** Sirene Ontwerpers, Rotterdam

ISBN 978-94-6366-095-2

ISSN 2212-3202

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# Managing Social Condominiums

**Strategies for third sector intermediaries to support  
low-income homeowners in Chile**

Dissertation

for the purpose of obtaining the degree of doctor  
at Delft University of Technology  
by the authority of the Rector Magnificus prof. dr. ir. T.H.J.J. van der Hagen,  
chair of the Board for Doctorates  
to be defended publicly on  
Thursday 15, November 2018 at 15:00 o'clock

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This PhD research Project was supported by the National Commission for Scientific and Technological Research of Chile (CONICYT), Programa Formación de Capital Humano Avanzado, Doctorado Becas Chile/2013, under grant 72140221.







# Preface

As an architect I have been always intrigued about how the conditions of the built environment affect our daily life. I have seen and experienced how a healthy and beautiful house or neighbourhood, can make a positive impact in people's life. However, I have also seen how poor architecture and maintenance conditions can have the opposite effect.

In Chile, like many other societies, the dream of 'a house of one's own' is one of the most important milestones in people's life, especially for low-income groups. Social Condominiums –popularly known as 'blocks'- are the most recurrent housing image that represents popular areas, but also devaluated and often non-desired neighbourhoods. By having a different fate than the expected, some of them represent economic precariousness and urban poverty, which is hidden under the illusion of ownership. The poor initial quality of the subsidized social housing and the constraints faced by the families to provide maintenance, have turned this dream into a real nightmare, perpetuating poverty conditions. This vicious cycle triggers my main motivation to conduct a research focusing on solutions to support low-income households that live in condominiums to improve the conditions of their built environment.

This PhD project started in 2014 and it was sponsored by the National Commission of Science and Technology of Chile, CONICYT. After conducting this project, I can properly say that the PhD is definitely about the process and not (only) the final outcome. This process is shaped and influenced by different research milestones, decisions and results, but it is also defined by the people that is around us and who, in one way or another, have participated in this process.

First of all, I would like to thank Vincent and Kees, my supervisors who always gave me precise comments with the right combination of guidance and independence that allowed me to take the control and decisions upon my PhD. I would also like to thank my colleagues from the chair of housing management and the organisational strategies theme group who gave me valuable feedback throughout the process. Thanks also Véro Crickx for the support in the book layout.

I'm grateful of all the research experts, professionals and households that have contributed to this dissertation. I want to dedicate special thanks to the professionals from the organisations Proyecto Propio, Servicios de Dinamización Vecinal and VVE-010 who were willing to share information about their work with us.

Sebastian Cantuarias, Carina Hernández, and Frank Peters thank you for your time and being open to contribute to this research from your perspective and experience in practice. I want to thank the project Sociedad en Accion and the Centro de Políticas Públicas from Pontificia Universidad Católica de Chile, which supported the validation session, and the Municipalidad of Lo Prado for their support during the organisation of the focus group with residents. Special thanks to Paula Streeter and Guenia Nussbaum. I would like to thank the condominiums' chairpersons and residents for opening the door of their homes and tell their daily struggles to another researcher who (again) did not have a definitive solution for their problems.

During this process, I was always aware of the relevance of building a community with other PhDs, and I was lucky of sharing the workspace and also discussions and multi-cultural dinners with my PhDs colleagues in the department: Flavia, Marina, Samson, Naif, Eleni, Zack, Monique, Bart, Lizet, Xuanzi, Biyue, Francesca and Sara. In this process of collaborating and exchanging between PhDs, the MOOC (massive online open course) Rethink the City was born. I embraced the crazy idea of my friend Igor Pessoa and the result was a beautiful project that made the process more difficult but also richer and so much interesting. Thanks to the PhDs, professors and researchers that joined the project, and to the Extension School and the Faculty that supported us in this idea. Special thanks to Martina Gentili, Willem Korthals Altes, Danielle Groetelaers, Darinka Czischke, Roberto Rocco, Dominic Stead, and Johanna Gordijn. We were able to show the potential of PhDs candidates, to both research and teach about urban challenges in the Global South, as well as the relevance of cross-learning between South and North.

The network of Chilean researchers IN.NL was another amazing project that was born from the enthusiasm of researchers willing to connect and collaborate between different disciplines. Thanks to Naty, César, Francisco, Carmina, Felipe, Mónica, Bego, Javiera and Lucía. I have enjoyed working with you and more importantly, developing a friendship. I want to highlight the financial and logistical support from the Chilean Embassy who was essential to make this network grow. Special thanks to the ambassador María Teresa Infante, who was always enthusiastic to know about the work of Chilean researchers and to participate in our activities.

As life is not only about work, the PhD is not only about research. I enjoyed the countless coffees, bouwpubs, lunches, dinners, parties, game nights, travels and philosophical discussions with my friends. Special thanks to, Phaedra, Toño, Tommi, Jandro, Tele, Maria, Peter, Francesco, Jurek, Bernat, Nadjla, Adri, Gonza, Igor, Barbara, Hyperion, Lida, Stavroula, Rosa, Sinem, Thaleia, Juan, Mira, Karolina, Bhavik for making these four years fly. And of course, thanks to the Chilean crew: Nico, Dori, Moises,

Maca(s), Oscar(s), Mauricio, Nicolle, Anande, Nicole, Javier, Rocío, Nacho, Lore, Lucas, and Diego, for making me feel at home with every conversation, joke or pisco sour.

And last but not least, I'm very grateful for my family who has always supported me in every project I have started. Despite the distance and the difficulties of being thousands of kilometres far away, I have always felt them so close. Thanks mom, dad and Ivette your love, understanding and for being partners in crime during this process. Thanks also to my in-laws: Carmen, Alejandro, and Carmen Paz, and to my extended family: Lalo and Mané, for their constant support. I'm also lucky for having faced this important challenge together with my husband, we both started our PhDs at the same time and we are now ready for the next step in our lives. Thanks Ale for giving me always the best advice, for inspiring me, and for encouraging me to take risks, and sometimes to say no as well. This journey was smooth and amazing because it was a team work and you are the best partner.

It was a privilege to spend four years researching topics I'm deeply passionate about, in a charming city and a lively work environment. While advancing towards the end of this process, one of the main challenges was to be able to let this dissertation go. But, all good things must come to an end, and as Gustavo Cerati would say, 'Poder decir adiós... es crecer'.

Delft, September 2018



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# List of abbreviations

ABBREVIATION	FULL MEANING
AAVV	SP: Asociaciones de Vecinos (In Spain) EN: Neighbourhood Associations
CASEN	SP: Encuesta de Caracterización Socioeconómica Nacional EN: National Socioeconomic Characterization Survey
CBR	SP: Conservador de Bienes Raíces EN: Real Estate Register
DOM	SP: Dirección de Obras Municipales EN: Direction of Municipal Works
EGIS	SP: Entidades de Gestion Inmobiliaria Social EN: Social Real Estate Management Entities
EP	SP: Entidad Patrocinante EN: Assistance Entity
FRAVM	SP: Federación Regional de Asociaciones Vecinales de Madrid EN: Regional Federation of Neighbourhood Associations of Madrid
FSV	SP: Fondo Solidario de Vivienda EN: Solidarity Housing Fund
HOA	EN: Homeowner Association SP: Asociación de Propietarios
JJVV	SP: Juntas de Vecinos (In Chile) EN: Neighbourhood Associations
MINVU	SP: Ministerio de Vivienda y Urbanismo EN: Ministry of Housing and Urbanism
OGUC	SP: Ordenanza General de Urbanismo y Construcciones EN: General Law of Urbanism and Construction
PMCS	SP: Programa de Mejoramiento de Condominios Sociales EN: Programme for the Improvement of Social Condominiums
PP	Foundation Proyecto Propio
PPPF	SP: Programa de Protección al Patrimonio Familiar EN: Programme of Protection of Family Patrimony
PQMB	SP: Programa de Mejoramiento de Barrios EN: Programme of Neighbourhood Improvement
PRCS	SP: Programa de Recuperación de Condominios Sociales EN: Programme for the recovering of Social Condominiums
PSAT	SP: Prestador de Asistencia Técnica EN: Technical Assistance Entity
SCs	SP: Condominios Sociales EN: Social Condominiums
SDV	Programme Servicios de Dinamización Vecinal

>>>

ABBREVIATION	FULL MEANING
SEDB	SP: Secretaria Ejecutiva de Desarrollo de Barrios EN: Executive Secretary of Neighbourhoods
SEREMI	SP: Secretaria regional ministerial EN: Regional Secretaries of the Ministry
SERVIU	SP: Servicios de Vivienda y Urbanización EN: Housing and Urbanisation Services
TS	EN: Third Sector SP: Tercer Sector
VVE	DT: Vereniging van Eigenaren (The Netherlands) EN: Homeowners Association
VVE-010	Foundation VVE-010

# Executive summary

Low-income homeowners face financial and social constraints that are serious challenges to providing adequate maintenance. The fact of owning a property should lead to material progress, security and income opportunities to cope with poverty, however these benefits depend on the capacity of homeowners to keep the property in good condition, and also on the opportunities and support generated by the context and the institutions involved. If these conditions are not guaranteed, low income households are at risk of experiencing unsuccessful ownership processes that may perpetuate poverty conditions. In the case of multi-owned buildings, also known as condominiums, the tension between individual and collective needs also affects maintenance, and entails additional challenges in terms of organisation, social relations and the use of common property areas.

In Chile, subsidies and credit facilities, combined with the massive construction of low-cost housing, enabled low income groups to access homeownership, and social condominiums are a significant part of the affordable owner-occupied housing stock, however after decades of occupancy, this housing stock shows signs of deterioration and devaluation due to neglected maintenance. This situation is the result of a multi-causal problem involving the construction and architectural deficiencies of the dwellings provided, the financial and social constraints of the owners, problems of coexistence and cultural differences between residents of different backgrounds, and deteriorated internal organisations. The challenge of condominium maintenance in Chile is twofold. On the one hand, it includes the financial and social restrictions faced by homeowners that decrease their collective capacity to take care of building maintenance. On the other hand, it includes institutional limitations with regard to housing and condominium management in terms of regulations, institutions, and actors. Given the weak governmental support for maintenance practices and post-occupation process, third sector organisations are positioning themselves as alternatives that provide technical solutions and contribute to improving opportunities among deprived communities.

This thesis explores the role of Chilean third sector organisations as part of the solution to support homeowners in condominium improvement and management. The following research question is asked: what are effective and feasible strategies for third sector organisations to support Chilean low income homeowners in the management of social condominiums?. In order to answer the main question, key questions are organised into three main parts: conceptualisation, analysis and proposal. The general research design is based on case study analysis in order to expand the type and range of solutions, given the limited experience of the Chilean third sector in condominium management activities.

The first part, *conceptualisation*, presents the societal problem of low income homeownership through the lenses of condominium management and the specific situation of social condominiums in Santiago, Chile. The main findings are the identification of condominium management dimensions and interrelated challenges according to technical, organisational and sociocultural dimensions. Sociocultural problems related to knowledge, the culture of maintenance, trust and individualism were identified as important triggers for organisational and technical problems. The section ends with the development of an analytical framework to describe and evaluate interventions by third sector organisations in condominiums. The core of the framework is the intermediation that comprises the activities and the process developed by the organisation to improve management dimensions, and it is described through three overlapping roles: implementers, catalysts and partners. The framework also includes the concept of institutionalisation, which describes the relationship between the organisation and the institutional framework.

The second part, *analysis*, comprises the case study analysis of third sector organisations in housing management through one local case (Proyecto Propio, Chile) and two international cases (VVE-010, The Netherlands and SDV, Spain). The Chilean case study focuses on the improvement of deteriorated social condominiums in Santiago, and aims to identify the possibilities and limitations of a local practice. The case of VVE-010 explores the technical and organisational dimensions of condominium management and the role of the municipality in the maintenance of owner-occupied housing stock. The case of SDV explores the sociocultural and organisational dimensions of housing management and the role of civil society organisations in the management of their own neighbourhoods. Given that the practices respond to a particular context and specific community needs, this research follows a systematic process of lesson-drawing to ensure the adequate implementation of the learnings according to the characteristics of the Chilean context.

The third part, *proposal*, provides a synthesis by combining the lessons of the analysis with a set strategies (and their respective measures) to tackle the management challenges identified in the first part. Two type of strategies were defined by their goals: those aiming at intermediation (i.e. to improve management conditions) and those aiming at institutionalisation (i.e. improving the conditions under which the organisation intervenes). The goals are the following:

- 1 To improve built environment conditions, levelling the physical conditions of condominiums
- 2 To activate passive communities and promote leadership
- 3 To provide training in condominium management
- 4 To provide services for long-term administration and maintenance



- 5 To promote better coexistence and reduce conflict
- 6 To enhance organisational resources to intervene
- 7 To improve the institutional capacity in relation to condominium management

The selection of, and priorities for, the application of the strategies were defined by two main variables related to the context, and to the organisation that carries them out, represented in two matrices that define the typologies of the initial situations and management approaches. The typology of the initial situation describes the problems in condominiums according to the management conditions, and municipal capacity in relation to condominium management. The typology of the management approach is defined by the combination of roles and the scope of the intervention, representing overlapping and complementary ways to intermediate in social condominiums. The strategies and the typologies were discussed with third sector organisations and municipalities in a validation process which evaluated the adequacy and relevance of the typologies, and the feasibility and effectiveness of the strategies. Whilst the initial situations are relevant to identify potential barriers and enablers for the intermediation (in relation to municipal capacity) and to prioritise the strategies (in relation to management conditions), the management approaches are relevant to expanding the potential of third sector participation in Chile by promoting specialisation according to the challenges identified.

Feasible and effective strategies with which third sector organisations can support low income homeowners in the management of social condominiums are multi-dimensional, so as to tackle the interrelated challenges. They are developed from the capacity of the third sector organisation as intermediary, meaning that they respond to catalyst and implementer roles to address management challenges at the condominium level by contributing to increase the community's capacities and level the built environment conditions. Given the social complexities of deprived neighbourhoods, integral interventions, but also trained organisations, are required. The partner role is therefore included to foster the specialisation of third sector organisations and collaboration between local public and private organisations.

Overall, the dissertation addresses the maintenance problem from the external action of third sector intermediaries in order to catalyse better management practices. The strategies altogether seek to achieve autonomous condominiums in which homeowners have the tools and the capacities to maintain an internal organisation, and have access to the professional services that allow them to provide adequate maintenance in the long-term, and manage the existing but limited resources efficiently.

The dissertation contributes to filling knowledge gaps regarding the concept of housing management in the Latin American context. It also proposes a problem-solving perspective by introducing the role of third sector intermediaries as one of the solutions, exploring different approaches and respective strategies to intermediate in the field of condominium management. The main limitations of the study are related to the specific applicability of the strategies to the Chilean context, but further developments are related to action research exploration, and an evaluation of the capacity of civil society organisations such as neighbourhood associations in the management of their own neighbourhoods.

# Samenvatting

Huizenbezitters met lage inkomens hebben te maken met financiële en sociale beperkingen die serieuze uitdagingen vormen voor het verschaffen van adequaat onderhoud. Huizenbezit zou moeten leiden tot materiële vooruitgang, bestaanszekerheid en kansen om met armoede om te gaan. Deze voordelen zijn echter afhankelijk van het vermogen van huizenbezitters om hun eigendom in goede staat te houden, en van de kansen en ondersteuning die worden geboden door de context en de betrokken instituties. Als deze voorwaarden niet gewaarborgd zijn, lopen huizenbezitters met lage inkomens het risico op een onsuccesvol eigendomsproces dat kan leiden tot het voortbestaan van armoede. In het geval van gebouwen met een gedeeld eigenaarschap, ook wel bekend als meergezinswoningen, beïnvloedt de spanning tussen individuele en collectieve behoeften ook het onderhoud, en brengt extra uitdagingen mee qua organisatie, sociale verhoudingen en het gebruik van gemeenschappelijke ruimten in het gebouw.

In Chili hebben subsidie- en kredietfaciliteiten in combinatie met de massale bouw van goedkope woningbouw ertoe geleid dat lage inkomensgroepen toegang tot huizenbezit kregen. Een groot deel van de beschikbare koopwoningen zijn meergezinswoningen; deze worden gekenmerkt door tekenen van verval en waardevermindering ten gevolge van achterstallig onderhoud. Deze situatie is het gevolg van een probleem met meerdere oorzaken: de architectonische en constructieve gebreken van de woningen, de financiële en sociale beperkingen van de eigenaren, problemen van samenleven en culturele verschillen tussen bewoners van verschillende achtergronden, en vervallen interne organisaties. De uitdaging voor het onderhoud van meergezinswoningen in Chile is tweeledig. Enerzijds omvat het de financiële en sociale beperkingen die door huizenbezitters worden ervaren en die leiden tot een afname in hun collectieve capaciteit om voor het onderhoud zorg te dragen. Anderzijds omvat het institutionele beperkingen met betrekking tot het beheer van meergezinswoningen en volkshuisvesting aangaande regelgeving, instituties en actoren. Gezien de zwakke ondersteuning vanuit de regering voor onderhoudswerkzaamheden en post-occupation processen zijn organisaties uit de tertiaire sector zichzelf aan het positioneren als alternatief door technische oplossingen te bieden en bij te dragen aan het verbeteren van kansen in achtergestelde gemeenschappen.

Deze dissertatie verkent de rol van organisaties in de tertiaire sector van Chile als deel van de oplossing om huizenbezitters te ondersteunen in het investeren en beheren van meergezinswoningen. De volgende onderzoeksvraag wordt gesteld: wat zijn effectieve en haalbare strategieën voor organisaties in de tertiaire sector om huizenbezitters

met lage inkomens in Chile te ondersteunen in het beheer van meergezinswoningen? Om de onderzoeksvraag te beantwoorden, zijn deelvragen gegroepeerd in drie hoofdonderdelen: conceptualisering, analyse en voorstel. Het onderzoeksontwerp is gebaseerd op case study analyse om de typen en soort oplossingen te vergroten, gegeven de beperkte ervaring van de tertiaire sector in Chile in het beheer van meergezinswoningen.

Het eerste deel, de conceptualisering, presenteert het maatschappelijke probleem van huizenbezit van lage inkomens door de lens van het beheer van meergezinswoningen en de specifieke situatie van meergezinswoningen in Santiago, Chile. De belangrijkste resultaten zijn de identificatie van dimensies in het beheer van meergezinswoningen en samenhangende uitdagingen tussen technische, organisatorische en socioculturele dimensies. Socioculturele problemen die geïdentificeerd werden als belangrijke triggers voor organisatorische en technische problemen waren gerelateerd aan kennis, de cultuur van onderhoud, vertrouwen en individualisme. Het eerste deel eindigt met de ontwikkeling van een analytisch kader om interventies door organisaties in de tertiaire sector te beschrijven en evalueren. De kern van het kader is de bemiddeling: deze omvat de activiteiten en het proces ontwikkeld door de organisatie om de managementdimensies te verbeteren. De bemiddeling is beschreven vanuit drie overlappende rollen: uitvoerders, katalysators, en partners. Het kader bevat ook het concept van institutionalisering, welke de relatie tussen de organisatie en het institutionele kader beschrijft.

Het tweede deel, analyse, bevat de case study analyse van de organisaties in de tertiaire sector in woningbeheer door een lokale casus (Proyecto Propio, Chile) en twee internationale casussen (VVE-010, Nederland en SDV, Spanje). De Chileense case study is gericht op de verbetering van vervallen meergezinswoningen in Santiago, en heeft als doel om te identificeren wat de mogelijkheden en beperkingen van een lokale praktijk zijn. De casus van VVE-010 verkent de technische en organisatorische dimensies van het beheer van meergezinswoningen en de rol van de gemeente in het onderhoud van koopwoningen. De casus van SDV verkent de socioculturele en organisatorische dimensies van woningbeheer en de rol van maatschappelijke organisaties in het beheer van hun eigen wijken. Gegeven het feit dat de casussen het antwoord zijn op een specifieke context en specifieke behoeften van de gemeenschap volgt dit onderzoek een systematisch proces van lesson-drawing om de adequate implementatie van de geleerde lessen volgens de eigenschappen van de Chileense context te verzekeren.

Het derde deel, voorstel, biedt een synthese door het combineren van de lessen van de analyse met een set van strategieën (en hun respectievelijke maatregelen) als aanpak voor de uitdagingen in het beheer, zoals geïdentificeerd in het eerste deel. Twee typen

strategieën worden onderscheiden op basis van hun doelen: degenen die zich richten op bemiddeling (het verbeteren van voorwaarden voor management) en degenen die zich richten op institutionalisering (het verbeteren van de voorwaarden waaronder de organisatie intervenueert). De doelen zijn als volgt:

- 1 Het verbeteren van de staat van de gebouwde omgeving, het gelijk trekken van de fysieke staat van meergezinswoningen
- 2 Het activeren van passieve gemeenschappen en het bevorderen van leiderschap
- 3 Het aanbieden van training in het beheer van meergezinswoningen
- 4 Het aanbieden van diensten voor administratie en onderhoud op de lange termijn
- 5 Het bevorderen van betere samenleving en afname van conflictsituaties
- 6 Het versterken van organisatorische middelen om te interveniëren
- 7 Het verbeteren van de institutionele capaciteit in relatie tot het beheer van meergezinswoningen

Deze selectie en prioritering voor de toepassing van de strategieën zijn gedefinieerd door twee hoofdvariabelen, die gerelateerd zijn aan de context en de organisaties die ze uitvoeren. Deze variabelen zijn vertegenwoordigd in twee matrices die de typologieën van de initiële situaties en managementbenaderingen definiëren. De typologie van de initiële situatie beschrijft de problemen in meergezinswoningen qua voorwaarden voor management en de capaciteit van de gemeente gerelateerd aan het beheer van meergezinswoningen. De typologie van de managementbenadering is gedefinieerd door de combinatie van rollen en de scope van de interventie, en vertegenwoordigt overlappende en complementerende manieren om te bemiddelen in meergezinswoningen. De strategieën en typologieën werden bediscussieerd met organisaties in de tertiaire sector en gemeenten in een validatieproces, waarin de adequaatheid en relevantie van de typologieën geëvalueerd werd, en de haalbaarheid en effectiviteit van de strategieën. Terwijl de initiële situaties relevant zijn om potentiële belemmeringen en kansen voor de bemiddeling te identificeren (in relatie tot de capaciteit van de gemeente) en om de strategieën te prioriteren (in relatie tot condities voor management), zijn de managementbenaderingen relevant voor het vergroten van de potentie van participatie door de tertiaire sector in Chile door het stimuleren van specialisatie volgens de geïdentificeerde uitdagingen.

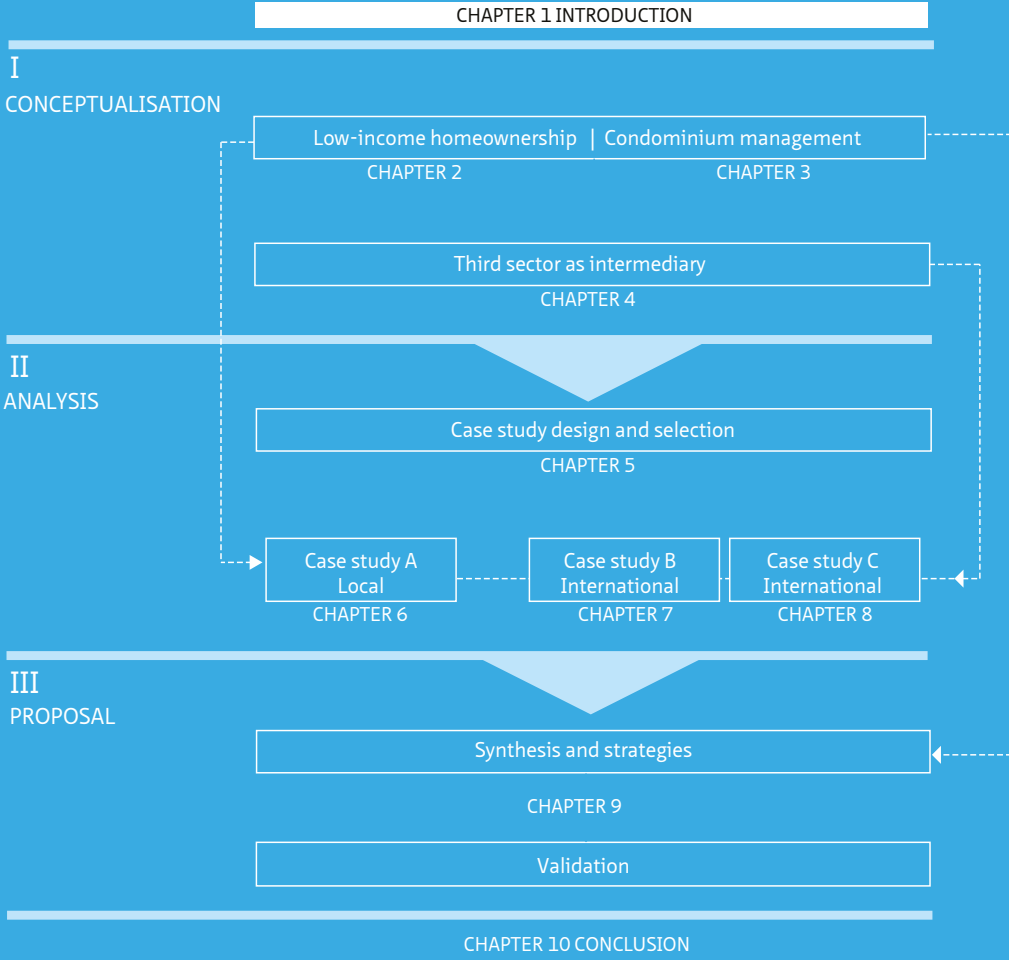
Haalbare en effectieve strategieën waarmee organisaties uit de tertiaire sector huizenbezitters met lage inkomens kunnen ondersteunen in het beheer van meergezinswoningen zijn multi-dimensioneel, zodat ze geschikt zijn voor het aanpakken van de samenhangende uitdagingen. Ze zijn ontwikkeld vanuit het vermogen van organisaties in de tertiaire sector om te bemiddelen, wat betekent dat zij beantwoorden aan de rollen van uitvoerder en katalysator om uitdagingen in het management van meergezinswoningen te adresseren. Dit doen zij door bij te

dragen aan het verhogen van de competenties van de gemeenschap en de conditie van de gebouwde omgeving gelijk te trekken. Vanwege de sociale complexiteiten van achterstandswijken, zijn integrale interventies en getrainde organisaties nodig. De rol van partner is daarom inbegrepen om de specialisatie van organisaties in de tertiaire sector en de samenwerking tussen lokale publieke en private organisaties te bevorderen.

Globaal gezien adresseert deze dissertatie het onderhoudsprobleem vanuit de externe actie van bemiddelaars in de tertiaire sector om betere managementpraktijken te bevorderen. De strategieën bij elkaar hebben als doel het bereiken van zelfstandig beheer van meergezinswoningen: waarin huizenbezitters de middelen en competenties hebben om een interne organisatie te onderhouden, waarin zij toegang hebben tot professionele diensten die het hen mogelijk maken om te zorgen voor adequaat onderhoud op de lange termijn, en waarin zij de bestaande beperkte middelen efficiënt managen.

Deze dissertatie draagt bij aan het oplossen van een kennisachterstand in het beheer van woningen in de context van Zuid Amerika. Het stelt een probleemoplossend perspectief voor, door de rol van organisaties in de tertiaire sector te introduceren als een van de oplossingen. Het verkent verschillende benaderingen en respectievelijke strategieën om te bemiddelen in het vak van het managen van meergezinswoningen. De belangrijkste beperkingen van het onderzoek zijn gerelateerd aan de specifieke toepasbaarheid van de strategieën in de Chileense context. Mogelijkheden voor verder onderzoek zijn gerelateerd tot action research verkenningen, en een evaluatie van de capaciteit van maatschappelijke organisaties zoals buurtverenigingen in het beheer van hun eigen wijken.







# 1 Introduction

*The thesis 'Managing Social Condominiums' focuses on the contribution of third sector organisations in supporting homeowners in the management of Chilean social condominiums by proposing a set of strategies for interventions in vulnerable contexts. This first chapter introduces insights into the maintenance problem faced by low income homeowners and the specific characteristics of this problem in Chile. It describes the background conditions, defines the problem statement, explains the research area and identifies the research gaps. The research objectives and questions are presented, followed by the research design and methods. The potential impact of the thesis is highlighted as regards its societal and scientific relevance and its focus, as well as limitations. The chapter concludes with the thesis outline.*

## § 1.1 Background

A major challenge for low income homeowners is to provide adequate maintenance for their homes in order to obtain the benefits associated with ownership. Without the means to provide maintenance, low income homeowners may experience 'unhealthy living conditions for their families, depreciating value of their homes, instability in their neighbourhoods and inability to sustain the gains in low income homeownership' (Acquaye, 2011, p. 20). Adequate maintenance is therefore a key element to ensuring successful ownership processes, especially when the property represents a productive asset to cope with poverty and generate income opportunities (Moser, 1998).

In single family dwellings the owner and the family have overall control of the maintenance activities, but the maintenance of condominiums entails complex arrangements for collective decision-making (Donoso & Elsinga, 2016). The maintenance of a condominium, which is compounded by comprising both individual property and common property (i.e. land, shared facilities, infrastructure and structure), creates social and financial connections between the co-owners with respect to the use, management and upkeep of multi-owned areas (Yau, 2013). In the context of vulnerability, the management of a condominium is affected by homeowners' social and financial constraints but also by families' dynamics, which often transform the built environment. Maintenance is therefore a collective and multidimensional problem, and has been described by scholars in relation to different challenges such as financial (Ariff & Davies, 2011; Hsieh, 2009), knowledge and cultural (Cavalheiro & Abiko, 2015; Sugranyes, 2005), and organisational and institutional challenges (Donoso & Elsinga, 2016).

The case of Chile is illustrative of the problem of low income homeownership and condominium maintenance. During the last thirty years, Chilean housing policies promoted ownership among vulnerable families by focusing on the reduction of the quantitative housing deficit as the main goal. Subsidies and credit facilities, combined with the massive construction of low-cost housing by private developers, enabled low income groups to access social housing in homeownership (Gilbert, 2004). This model, widely adopted in Latin America, has been relatively successful in reducing the quantitative deficit. However, it has been criticised because of its social and urban impacts, especially in the promotion of spatial and social segregation (Sabatini, Cáceres & Cerda, 2001), the construction of low-quality housing that led to premature deterioration (Ducci, 1997; Gilbert, 2014) and the generation of new processes of urban impoverishment given the poor institutional support for low-income homeowners (Camargo & Hurtado, 2011).

In Chile, the signs of rapid deterioration in the housing stock have demonstrated the emergence of a new qualitative housing deficit, especially in condominium tenure. Medium-rise building apartments named *Condominios Sociales* (social condominiums) became the icon of the most problematic housing type in terms of low initial construction quality, the neglected maintenance of the common property, organisational shortcomings and social conflicts. Between 1936 and 2013, the government subsidised the construction of 5,689 social condominiums, comprising 344,000 dwellings. The metropolitan region of Santiago has 56% of these condominiums: 3,186 condominiums and 194,808 dwellings (MINVU, 2014b). A national cadastre conducted by the government showed that 99% of social condominiums present maintenance problems, with either regular (30%) or bad (69%) general maintenance indices, especially those built between 1980 and 1999 (MINVU, 2014b).

Private homeownership has historically been the main mechanism of housing acquisition for vulnerable groups in Chile (Salcedo, 2010). This is reflected in the lack of a social rental housing system, which first policies have recently emerged in 2017. Despite this, low income homeowners in Chile do not have institutional support or access to affordable services to deal with condominium management in terms of administration, long-term maintenance or social conflict resolution. On the one hand, governments had no policies related to maintenance and collective management. A set of subsidy programmes created in 2008 for condominium improvements has contributed to upgrading the technical conditions of the dwellings and condominiums, however apart from the administrative organisation of condominiums, current governmental programmes do not offer any type of mechanism to uphold investments and to ensure that proper maintenance will be carried out in the future. On the other hand, the private services for condominium administration that are available on the market are not willing to work with social housing, demonstrating an important service gap.

In this situation, when neither the government nor the private sector are part of the solution, the third sector increased its participation in condominium and neighbourhood renovation activities, especially in recent decades. Third sector organisations have positioned themselves as relevant intermediaries by providing technical services and improving the capacities and opportunities of deprived communities (Vergara, 2016, 2018), either as independent organisations or as vehicles of subsidy programmes. Although they have made contributions in terms of social innovation and social economy (Chile, 2015; Gatica, 2011; Pizarro, 2010), the role of these actors is still vague and unclear, especially regarding their performance in specific fields such as housing management and maintenance.

To summarise, homeownership is accompanied by responsibilities that require the participation of the households in order to keep the dwellings and buildings in optimal conditions, however in the context of low income homeownership, co-owners have to deal with financial or social constraints that may diminish their capacity to take collective care of the building maintenance (Cavalheiro & Abiko, 2015). In Chile, the promotion of low income homeownership with a low-quality mass housing production and without institutional support for maintenance, has led to the premature deterioration of housing stock. Third sector actors have emerged in recent decades to cover governmental and market gaps for vulnerable groups, but condominium management and maintenance is an undeveloped field in terms of actors, processes, and services.

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## § 1.2 Problem statement

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### § 1.2.1 Research Problem

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Low-income families that invest in their dwellings usually do it according to their available resources and most urgent needs with do-it-yourself solutions. The cadastre of social condominium showed that 77% of the buildings presented external modifications, most of them illegal and precarious extensions of the ground floor over common domain areas, or extensions on upper floors that endanger the safety conditions of the condominiums (MINVU, 2014b). These adaptations are incremental, take place throughout an entire family cycle (Greene & Rojas, 2008) and involve purposes such as giving shelter to extended family (Araos, 2008; Moser, 1998) phenomenon known in Chile as 'allegamiento', developing home-based productive activities (Gough & Kellett, 2001; Moser, 1998), or improving the sense of security inside the house (Rodriguez & Sugranyes, 2005). This implies that preventive measures or planned maintenance in the common property areas are unlikely options given the existence of other financial and social priorities. Furthermore, at the community level, researchers have noted the existence of inactive communities, social conflict as a result of the forced coexistence of families with different backgrounds and the prevalence of individual actions that endanger community cohesion, and therefore collective activities like maintenance (Aravena & Sandoval, 2005; Pérez, 2009; Segovia, 2005).

The difficulties of providing long-term maintenance are aggravated by the contextual conditions of these condominiums, which do not offer a structure of opportunities to enhance the potential benefits associated with homeownership, such as economic stability, self-esteem and material progress (Marcuse, 1972; Rohe & Stegman, 1994a). A predominant characteristic of low income homeownership in Santiago is residential segregation (Brain, Mora, Rasse & Sabatini, 2009; Sabatini et al., 2001), which has led to social stigma, a lack of material opportunities, and the emergence of other social problems such as violence, crime or drugs (Tironi, 2003). These dwellings are also static assets which are barely part of the housing market due to their initial low quality, the negative perception that citizens have of these neighbourhoods and the aversion of low income families to second-hand dwellings (Salcedo, 2010). Finally, relocation policies, especially during the 1980s and 1990s, diminished the social networks and organisational capacities of residents (Ducci, 1997). Values such as solidarity and self-organisation, which were part of the life in informal settlements, are lost in the new condominiums (Marquez, 2005).

In spite of the importance of the owner-occupied sector in Chile, housing management by owner occupiers is an undeveloped field in terms of processes, actors and organisational structures. The government is aware of the challenges that low income homeownership entails, but management processes are not included in current housing policies. The government has adopted a secondary position with respect to the problem, contributing short-term solutions through subsidy programmes. The subsidiary model is neither efficient nor effective, however, in addressing the problems underlying poor maintenance. Furthermore, there are no regulations or parameters to define adequate maintenance practices.

One of the main drawbacks is the lack of actors able or willing to provide housing management support for low income groups. Today, the participation of the private sector and third sector in social condominiums is narrowed to subsidy programmes for condominium improvements in the form of *Entidades Patrocinantes* (PSATs). These are profit, non-profit or municipal organisations enrolled in the Ministry of Housing and Urbanism to implement subsidies. Profit entities within these organisations are predominant in the subsidy market (Cannobbio et al., 2011) in contrast to a minority of third sector organisations and municipalities. Even though information about their performance is scarce, studies have shown that profit entities have neglected their social function, transferring the responsibilities to community leaders (Castillo, 2014). Conversely, third sector organisations and municipalities, although financially less competitive, are more socially able to provide a quality service for deprived groups.

Despite the need to stop the deterioration of social condominiums, social interventions and services for improving the management practices of low income homeowners are overlooked. The private sector does not perceive this sector of demand as a profitable target group, and local governments often lack the financial capacity to regulate maintenance practices. The participation of non-profit organisations and territorial organisations (such as neighbourhood associations) in the area of condominium management is an unexplored field.

### § 1.2.2 Possible solution

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The maintenance of social condominiums is a problem that goes beyond the physical improvement of the built environment. As previously mentioned, it is a multidimensional and collective challenge for which the solution relies, in the first place, on the capacity of the community to organise, administrate and maintain their property. In this regard, solutions are related to the provision of skills, resources and opportunities for homeowners to improve management practices in social condominiums. Even though the main responsibility for improving the property lies with the co-owners, institutional support is needed by vulnerable groups in order to capitalise on the benefits of homeownership.

One possible solution is the use of external action to stimulate and catalyse these communities. Several scholars have pointed out the relevance of intermediary organisations in supporting low income and vulnerable groups, so as to improve their capacities (Lee, 1998), promote social capital (Lang & Novy, 2014) and facilitate access to opportunities, resources and skills. Third sector organisations, which are not part of the private or the public sector, have been recognised as important intermediaries in the provision of services to deprived sectors, and have been historically associated with social innovation, entrepreneurial dynamics and the invention of a new type of service to take up contemporary challenges (Defourny & Nyssens, 2014). From a social innovation perspective, understood as innovation in social relations (Moulaert, MacCallum, Mehmood & Hamdouch, 2014), third sector organisation can play a role in the creation of new relationships in deprived communities, either satisfying unmet needs by changing the dynamics of social and power relations, or increasing their capacities and access to resources.

## The Third Sector in Chile

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In Chile, the third sector has been defined as an 'archipelago of social experiences' (Delamaza, 2010), being heterogeneous and fragmented (Pizarro, 2010), but at the same time as a social innovative space (Gatica, Quinteros, Vásquez & Yañez, 2015; Gatica, 2011). The lack of a single definition is reflected in the coexistence of two overlapping visions. The first has adopted the conceptual framework developed by the John Hopkins University, emphasising the non-profit condition of the third sector (Irrazabal & Streeter, 2017). This definition encompasses the traditional organisations that have been historically the most active representatives of the third sector in Chile, namely non-profit organisations (foundations, associations), non-governmental organisations and community-based organisations (neighbourhood associations, sport associations, religious associations). The second vision has adopted the European definition of social economy based on the European Research Network for Social Enterprises (EMES) conceptual framework, emphasising social entrepreneurship and social innovation characteristics (Gatica, 2011). This definition includes organisations such as cooperatives and hybrid models of social enterprises (*empresas B*), which are relatively new in the field (UC, 2012).

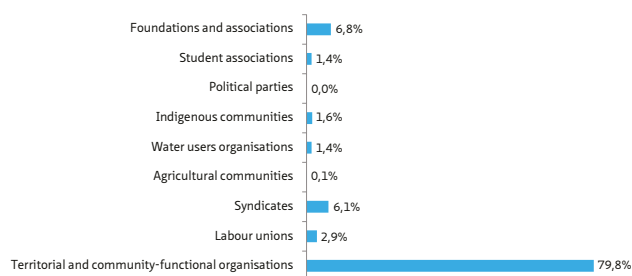
After the return to the democracy in 1990, the third sector experienced an accelerated increase, which was reinforced in 2011 with the promulgation of Law 20,500, which offered a new regulatory framework to facilitate the legal registration of civil society organisations (Irrazabal & Streeter, 2016). Despite being fragmented and dispersed, scholars have noted common characteristics that contribute to defining this sector in Chile. Some authors have referred to an instrumental relationship between the government and the third sector (Delamaza, 2013; Espinoza, 2014; Pizarro, 2010) which was consolidated during the transition to the democracy. While the third sector, and specially NGOs, played an important role during the dictatorship, channelling international cooperation, when democracy was reinstated, the state used the accumulated experience to implement new programmes and actions, subordinating the third sector as external implementers of local projects under the goals of public services (Delamaza, 2013; Espinoza, 2014). One of the consequences of this is the strong dependence on governmental funding, affecting the sustainability of these organisations (Espinoza, 2014) which main revenue resources (46%) from subsidies and public payments (Irrazabal, Hairel, Wojciech & Salamon, 2006). Scholars have also indicated that the unrestricted expansion of the system of public funds to social projects in the last two decades has increased competitiveness between organisations. The need to position and differentiate at the local level has diminished the associative capacity to create new alliances or agreements between third sector organisations (Espinoza, 2014; Pizarro, 2010). An interesting example of this relationship in the field of housing is how the Entidad patrocinante has had to compete for governmental funding, involving not only

the organisation, but also the community and their leaders, promoting individualism and generating tensions between neighbours and families (Oezler, 2012).

Another characteristic of the third sector is the presence of social innovation values and social entrepreneurship opportunities, especially in the last decade. The concept of social innovation emerged as a response of society to complex problems channelled through the traditional third sector organisations and the social enterprises as new hybrid models (UC, 2012).

One of the main barriers for the study of the third sector is the lack of a national and centralised cadastre. While some measures have been undertaken by the government to centralise information, two related studies, *Estudio comparativo del Sector sin Fines de Lucro* (Irrarrazabal et al., 2006) and *Sociedad en Accion: Construyendo Chile desde las Organizaciones de la Sociedad Civil* (Irrarrazabal & Streeter, 2017), have contributed to revealing the non-profit third sector, providing a general overview of its composition.

According to the *Sociedad en Accion* study (Irrarrazabal & Streeter, 2016), there are 234,522 *Organizaciones de la Sociedad Civi*, (civil society organisations). Following their legal and institutional classification (see Figure 1.1) the majority of civil society organisations (79.8%) are comprised of territorial (neighbourhood associations and communal unions) and community-functional organisations (e.g. sport clubs, cultural centres, parent organisations) followed distantly by foundations and associations (6.8%) and syndicates (6.1%). Figure 1.2 shows that most of the organisations are focused on culture and recreation (32%) or social development and housing (32%). It is worth mentioning that the number of organisations involved in the latter has duplicated since 2006 (Irrarrazabal & Streeter, 2016).



**FIGURE 1.1** Civil Society Organisations in Chile according to legal and institutional classification. Source: author's elaboration based on Irrarrazabal & Streeter (2016).





FIGURE 1.2 Civil society organisations in Chile organised by activities following the International Classification of Non-profit Organisation (ICNPO). Source: author's elaboration based on Irarrazabal & Streeter (2016).

From the perspective of social innovation and social entrepreneurship, the third sector, in addition to the non-profit sector, can also include hybrid organisations whose primary objectives are to generate social value and offer a solution to a societal need, including elements from profit and non-profit organisations (Gatica, 2011). Following the classification adopted by the government, this includes organisations such as cooperatives (profit and non-profit), B enterprises, labour unions, consumer organisations, fair trade and other social enterprises.

During the last decade an increasing number of foundations, associations and community-functional organisations have sought to position themselves as agents of political and urban transformation, participating in and influencing the implementation of projects related to the built environment (Larenas & Lange, 2017). Organisations such as *Techo* (emergency housing and affordable housing construction), *Urbanismo Social* (affordable housing construction and neighbourhood improvement), *Junto al Barrio* (neighbourhood improvement), and *Proyecto Propio* (housing and neighbourhood improvement) represent an interesting trend of organisations participating actively in housing provision, housing improvement and neighbourhood renovation activities, some of them as vehicles of housing policy. These organisations are driven by social goals and social innovation values, and are an alternative approach to the for-profit sector, while taking care of unfulfilled governmental tasks. A second important group are the territorial and community-functional organisations that have emerged or re-activated from a critical perspective with regard to the transformations in their neighbourhoods, especially in traditional areas that are experiencing real estate pressure that will result in high densification. Some of these groups are also activists that exercise political pressure regarding social and housing rights, such as *comités de allegados* o *comités de viviendas* (Larenas & Lange, 2017).

This research explores the intermediary role of third sector organisations as part of the solution to support low income homeowners in condominium improvement and management. Although there are still important barriers to overcome with regard to the development of the third sector in Chile, there are also visible political and social signs that allow the third sector to be positioned as a more relevant actor in urban and housing activities. Chilean third sector organisations have demonstrated capacities to develop social innovative practices, to overcome market and estate failures and to intermediate in deprived sectors. This dissertation refers to the third sector under the umbrella definition for organisations that are between the state, market and society with different levels of hybridity, following the European perspective developed by EMES. Considering the overlapping visions of the third sector in Chile and the lack of a unitary definition, the thesis also adopts, as a starting point, a broad spectrum that considers traditional organisations such as foundations and associations as well as social enterprises, and also comprises organisations closer to society, such as territorial and community-functional organisations. Their common factors are their hybrid condition, social innovative capacity and their contribution to housing and condominium management activities in vulnerable contexts.

### § 1.2.3 Research gap

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Researchers in the field of housing and urban studies have analysed different types of third sector organisations and their practices in the context of urban and neighbourhood regeneration (Carpenter, 2013; Murtagh & McFerran, 2015), European social housing management (Czischke, Gruis & Mullins, 2012; Mullins, Czischke & van Bortel, 2012), or relief work of NGOs in contexts of disadvantaged communities (Lee, 1998; Lewis, 2003). Nevertheless, there are research gaps regarding their role with vulnerable groups, such as the need for robust evidence about their social contribution to neighbourhood regeneration (Carpenter, 2013; Teasdale, 2009), the lack of specific analyses of social innovation in housing practices (Czischke, 2013) and the scarce information about their role in the management of owner-occupied housing stock (Vergara, Gruis & Van der Flier, 2016).

At the local level, the available research into Chilean third sector organisation focuses on acknowledging its general contribution in the context of social innovation and social economy (Chile, 2015; Gatica, 2011; Pizarro, 2010), however little is known regarding the performance and contribution of third sector organisations in specific fields. Even though the participation of third sector organisations in the housing sector has increased, studies have not yet focused on their performance in housing activities or management practices.

Similarly, there are important regional research gaps regarding housing management. In spite of the importance of low income homeownership in Latin American countries, the concept of housing management (*gestión habitacional o gestión de la vivienda*) has been barely defined in Latin American or Chilean literature. Most studies have focused on housing provision, describing the main socioeconomic, urban and architectural problems as consequences of housing policies. (Brain, Iacobelli & Sabatini, 2005; Ducci, 1998, 2007; Gilbert, 2004; MINVU, 2014c; Oezler, 2012; Rodríguez & Sugranyes, 2005; Rubio Vollert, 2006). Research into housing maintenance and the understanding of condominium management problems is scarce, however, especially regarding strategies to deal with the current housing stock and improve management processes in the short and long term. The contribution of authors such as Donoso and Elsinga (2016) and Pérez (2009) are notable here, in analysing condominium management practices according to collective action theory in affordable housing in Quito and Bogota, and Santiago, respectively. These studies have contributed to the understanding of internal and external factors underlying poor maintenance practices, but more studies are needed regarding potential solutions and courses of action to support low income owners in the management of their condominiums.

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### § 1.3 Aim

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The challenge of low income homeownership in Chile is twofold. On the one hand it includes the financial and social restrictions faced by homeowners that diminish their collective capacity to take care of building maintenance. On the other hand, it includes institutional limitations with regard to housing and condominium management in terms of regulations, institutions, and actors.

In this context, the role of third sector organisations as intermediaries is presented as part of the solution to support homeowners in condominium improvement and management actions. Despite the relevance of the affordable owner-occupied sector in Chile, research related to housing management and solutions to deal with the rapid deterioration of the housing stock is scarce. There is also limited knowledge about the way that third sector organisations can contribute to better management practices in the Chilean context. This thesis contributes to filling this gap, exploring the role of Chilean third sector organisations in improving housing management practices in social condominiums from a technical, organisational and sociocultural perspective. The main goal is **to identify approaches and strategies for third sector organisations to support homeowners in the management of social condominiums.**

This research project elaborates on the relationship between three main topics: low income homeownership, condominium management and third sector organisations. Low income homeownership is the umbrella that provides the main theoretical background, framing the maintenance problem for a particular group. Secondly, condominiums are the physical and the social unit of analysis which presents specific management challenges. The condominium is understood as a physical and legal unit, but also as a community-led organisation that has its own organisational and cultural dynamics. The research refers to the activities required to maintain the quality of the condominium as condominium management, understanding that it involves technical maintenance but also has sociocultural and organisational dimensions. Finally, the research considers the understanding of third sector organisations from the perspective of solutions to improve management practices for low income homeowners. Their role and approaches to condominium management are analysed from their capacity for intermediation and the inclusion of social innovation values, providing external support to communities to improve their organisational capacity, to increase their awareness about maintenance and improve the quality of their buildings.

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## § 1.4 Research questions

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The main research question is:

- *What are feasible and effective strategies for third sector organisations to support Chilean low income homeowners in the management of social condominiums?*

In order to answer the main question, key questions are organised into three main parts: *conceptualisation*, *analysis* and *proposal*. The first part provides the background to create the domain knowledge of this research, the analysis contains the main research explorations, and the proposal combines the related domains into the main research product.

The first set of key questions aims to define the societal and knowledge problem with regard to low income homeownership and condominium management, and to develop the methodological tools to analyse the role of third sector organisations.

- *What are the characteristics of the maintenance problem in Chile in the context of low income home ownership? [Chapter 2]*

- *What are the dimensions of condominium management? What are the particular challenges of these dimensions in the Chilean context? [Chapter 3]*
- *What types of roles and interventions can be distinguished regarding the contribution of third sector organisations to the improvement of condominium management practices in deprived contexts? [Chapter 4]*

The second set of key questions, belong to the analysis and provide the empirical approach. The questions are answered using qualitative methods, including case study analysis.

- *How does Proyecto Propio address condominium management problems? What are the contributions to, and limitations of, this practice in the Chilean context? [Chapter 6]*
- *How does VVE-010 address condominium management problems? What are the lessons and limitations of this practice to the challenges identified in Chile? [Chapter 7]*
- *How does SDV address social problems in condominiums and neighbourhoods? What are the lessons and limitations of this practice to the challenges identified in Chile? [Chapter 8]*

The last question introduce the proposal, combining the conceptualisation with the empirical outcomes defined in the analysis of real-world case studies.

- *To what extent are the proposed strategies feasible and effective according to Chilean stakeholders? [Chapter 9]*

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## § 1.5 Research strategy

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A research design involves the intersection of philosophical worldview, strategies of enquiry and specific methods (Creswell, 2009). This research adopts a pragmatic philosophical worldview. In this approach researchers emphasise the research problem, using pluralistic approaches to derive knowledge about it. Individual researchers therefore have freedom to choose the methods, techniques and procedures of research that best suit their needs and purposes (Creswell, 2009; Morgan, 2007). Following Morgan (2007), a pragmatic approach moves back and forth between qualitative and quantitative approaches. First, it emphasises abductive reasoning to connect theory and data. It emphasises an intersubjective approach to the research

process, capturing the duality between objectivity and subjectivity, and where the process of communication and sharing meaning are central. Finally, it focuses on the transferability of research results and how to make the most appropriate use of the knowledge acquired under specific methods and settings in other circumstances.

The adoption of a pragmatic worldview responds to the purposes of the research, which describe the problem of housing management and propose alternative solutions based on the role of third sector organisations. The research mostly uses qualitative approaches and interplays between theory and practice by defining an analytical model based on theory (Ch. 4) to describe and analyse real-world third sector practices (Ch. 6, 7 & 8), which output is combined to define strategies for condominium interventions validated with third sector practitioners (Ch. 9).

The general research design is based on case study analysis. The use of case studies as a research strategy contributes to understanding a process, a practice or a phenomenon in depth, within its real-life context (Yin, 2014). Local and international case studies are thus used as learning tools (Spaans & Louw, 2009) in order to draw lessons from real-life practices.

The decision to learn from abroad by including international practices is based on the value of expanding the range and type of solutions to face the challenge, offering evidenced-based alternatives (Rose, 2002). The limited experience of the Chilean third sector in condominium management activities, as well as the early development of housing management practices, make it necessary to explore alternative approaches from other contexts with more advanced organisational and managerial systems. In this regard the local case aimed to identify current practices, showing the possibilities and constraints of a real case in Chile. The international cases aimed to expand the approaches to tackling housing management, finding elements underdeveloped or non-existent in the Chilean context that may contribute to new insights in the field.

### § 1.5.1 Research design and methods

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The three main parts, i.e. *conceptualisation*, *analysis* and *proposal*, structure the research project and establish a temporal sequence in which the results of one part inform the next part, as it is shown in Figure 1.3. Each part of the thesis includes an empirical approach namely, exploratory interviews (Chile), case studies data collection (Chile, Spain and The Netherlands) and validation (Chile). An overview of the methods applied to answer the sub-questions is listed in Table 1.1.

In the first part, the *conceptualisation*, knowledge and the societal problem are defined based on a literature review (theoretical approach) and exploratory interviews (empirical approach). The societal problem of low income homeownership is presented using the lenses of condominium management and the specific situation of social condominiums in Santiago, Chile. The concept of third sector organisations is introduced as part of the solution in the context of low income homeownership and condominium management. The conceptualisation concludes with the development of an analytical framework with which to describe and evaluate the interventions of third sector organisations in condominiums.

This part includes data collection from secondary sources such as government documents (Ministry of Housing and Urbanism, Ministry of Social Development, Cadastre Department, Housing Observatory, Census), an institutional reports (ProUrbana, Centro de Políticas Públicas UC). It also uses primary sources such as non-participant observation of Chilean neighbourhoods, semi-structured interviews with experts in the field and group interviews with residents of social condominiums in Santiago.

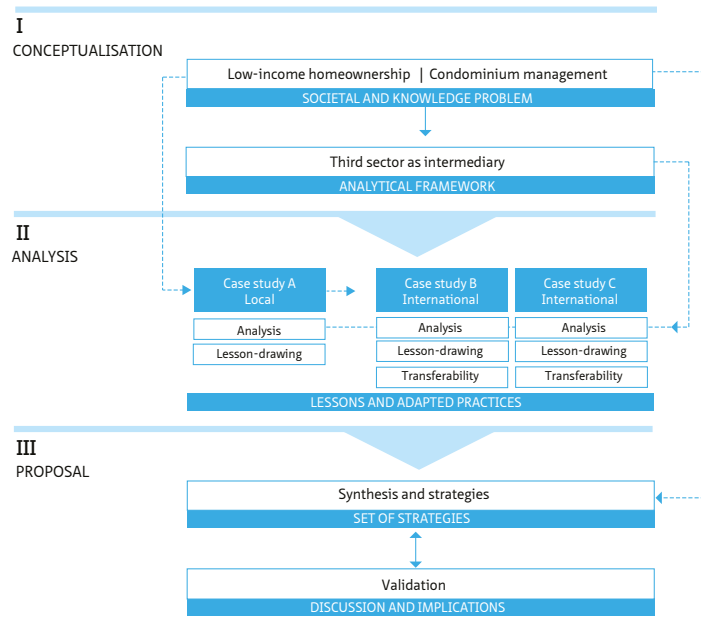


FIGURE 1.3 Research design

The second part, the *analysis*, comprises the case study analysis of local and international experiences of third sector organisations in housing management. The Chilean case study (Case A) was selected after the exploratory interviews with third sector organisations carried out in the previous part. The international case studies were selected based on the gaps and weaknesses identified in the Chilean case, in order to explore alternative approaches and innovative solutions for the Chilean context. One case from the Netherlands (Case B) and one case from Spain (Case C) were chosen for in-depth analysis.

Given that the practices respond to a particular context and specific community needs, this research follows a systematic process of lesson-drawing. The purpose is to ensure an adequate implementation of the learnings according to the characteristics of the Chilean context. This process considers three steps: first the analysis of the case using the analytical framework; second, lesson-drawing by identifying the main drawbacks and the synthesising the main elements into general lessons; and third, transferability by assessing the lessons and identifying limitations and contributions for their implementation in the Chilean context.

An initial database of local and international cases was built to identify the case studies, using primary and secondary data. While primary data was collected from face-to-face and Skype interviews with key informants and representatives of third sector organisations, secondary data was derived from a literature review and search queries in online journal databases. The data collection for the three case studies selected considered primary and secondary sources as well such as individual interviews with organisation professionals; interviews with condominium residents, field observation and a review of project documents. It also used complementary interviews with professionals from the field and with researchers. A detailed description of the case study design, selection, and protocol is presented in Chapter 5.

The third part, the proposal, provides a synthesis by combining the lessons of the analysis into a set strategies to tackle the management challenges identified in the first part. This part discusses opportunities and limitations for third sector organisations in the field of condominium management through the proposal of strategies related to four management approaches.

Final fieldwork is carried out, consisting of validation using a two-phase approach. The first phase included a group interview with representatives of third sector organisations, and the second phase consisted of individual interviews with municipality professionals.



PART	SUB-QUESTION	OBJECTIVES	APPROACH	METHODS	OUTPUT
PART I	What are the characteristics of the maintenance problem in Chile in the context of low income home ownership? [Chapter 2]	<ul style="list-style-type: none"> <li>- To describe the characteristics of low income homeownership and housing maintenance in Chile.</li> </ul>	Literature review	Document review	<ul style="list-style-type: none"> <li>- Description of maintenance problems for low income homeowners</li> <li>- Description of maintenance problems in Chilean social condominiums</li> </ul>
	What are the dimensions of condominium management, and what are the particular challenges according to these dimensions in the Chilean context? [Chapter 3]	<ul style="list-style-type: none"> <li>- To define management dimensions for privately-owned affordable condominiums</li> <li>- To identify management challenges for low income homeowners who live in social condominiums</li> </ul>	Literature review Case study	Document review Interviews Observation	<ul style="list-style-type: none"> <li>- Condominium management dimensions</li> <li>- Management challenges in SC</li> </ul>
	How can third sector organisations contribute to the improvement of condominium management practices? [Chapter 4]	<ul style="list-style-type: none"> <li>- To identify variables for TS interventions in condominium management</li> <li>- To develop a methodological tool to analyse TS practices</li> </ul>	Literature review	Document review	<ul style="list-style-type: none"> <li>- Analytical framework for TS interventions</li> </ul>

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PART	SUB-QUESTION	OBJECTIVES	APPROACH	METHODS	OUTPUT
PART II	How does Proyecto Propio address condominium management problems, and what are the lessons and limitations of this practice in the Chilean context? [Chapter 6]	<ul style="list-style-type: none"> <li>- To analyse the practice of a local case study</li> <li>- To identify lessons and limitations</li> <li>- To identify practices</li> </ul>	Case study Lesson drawing	Document review Interviews Observation	- Lessons and practices
	How does VVE-010 address condominium management problems, and what are the lessons and limitations of this practice for the challenges identified in Chile? [Chapter 7]	<ul style="list-style-type: none"> <li>- To analyse the practice of an international case study</li> <li>- To identify lessons and limitations</li> <li>- To formulate adapted practices</li> </ul>	Case study Lesson drawing Transferability	Document review Interviews Observation	- Lessons and adapted practices for the Chilean context.
	How does SDV address social problems in condominiums and neighbourhoods, and what are the lessons and limitations of this practice for the challenges identified in Chile? [Chapter 8]				
PART III	To what extent are the proposed strategies feasible and effective according to Chilean third sector professionals? [Chapter 9]	<ul style="list-style-type: none"> <li>- To formulate strategies for TS organisations in relation to management approaches and specific initial situations</li> <li>- To validate the strategies in terms of effectiveness and feasibility</li> <li>- To discuss implications</li> </ul>	Design research Transferability	Interviews	<ul style="list-style-type: none"> <li>- Set of strategies for TS organisations</li> <li>- Typologies of management approaches and initial situations</li> <li>- Validation report</li> <li>- Implications and final remarks</li> </ul>

TABLE 1.1 Overview of methods applied to answer sub-questions

## § 1.6 Research impact

### § 1.6.1 Societal relevance

The physical quality of the built environment has been related to mental wellbeing (Bond et al., 2012; Clark & Kearns, 2012) and physical health (Hynes, Brugge, Watts & Lally, 2000; Torres, Quezada, Rioseco & Ducci, 2008). The internal quality and the aesthetical appearance of a house, as well as the local environment conditions, contribute to mental wellbeing in terms of feelings of status, control, respect and security. In the case of neighbourhoods, these feelings are derived from the ways that the places are created, serviced and talked about by those who live there (Bond et al., 2012). The possible advantages of homeownership when the house is properly maintained are related to economic rewards, but also to intangible assets such as pride, personal enjoyment and community respect (Marcuse, 1972), freedom to take decisions about the property (Marja Elsinga & Hoekstra, 2005) and self-esteem and perceived control over life (Rohe & Stegman, 1994a; Saunders, 1990). Housing maintenance is therefore important not only in terms of physical quality of housing and neighbourhoods, but also in terms of improving a community's living conditions, residential satisfaction and, thus, quality of life.

The rapid deterioration and devaluation of the affordable owner-occupied stock in Santiago makes it necessary, if not urgent, to develop strategies aimed at housing improvement, maintenance and management. Whilst it is important to reverse deterioration processes by improving housing quality, it is also essential to introduce maintenance and management policies, services and knowledge to provide households with the support and the institutional framework to uphold the quality of dwellings and condominiums.

Although the maintenance of common domain property is a private problem, the semi-public characteristics of these spaces and the massive construction of social condominiums in the same municipalities have converted this problem to a public and politic concern. The deterioration of social condominiums, aggravated by their initial constructive precariousness, has contributed to the sense of insecurity, the devaluation of these neighbourhoods, social stigma, and low self-esteem among their residents (Cornejo, 2012; Ducci, 2007).

The consequences of Chilean housing policies confirm that housing acquisition cannot be considered an action that overcomes poverty by itself. The lack of adequate housing policies and support for the families may also generate conditions that perpetuate poverty (Camargo & Hurtado, 2011). Homeownership in Chile is still the main means to access affordable housing and the number of low income homeowners increases every year. In 2017 alone, 30,000 subsidies were granted to vulnerable families to become homeowners, most of them in condominium tenure. However, as long as housing management practices are overseen by institutions, homeowners and market organisations, housing acquisition will not necessarily imply either better housing quality or better quality of life for residents in the long term.

### § 1.6.2 Scientific relevance

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There has been an increasing number of publications related to low income homeownership in the last 20 years, and especially since 2008<sup>1</sup>, which demonstrates the new challenges regarding ownership and low income households, particularly in European and Latin American Countries. Part of the literature refers to the housing tenure transition focused on management and financial strategies to deal with the privatisation of the social housing stock, especially in western European countries (Boterman & van Gent, 2014; Elsinga, Hoekstra & Dol, 2014; Gruis, Nieboer & Tsenkova, 2010; Hegedüs, 2012; McKee, 2007). Another group of scholars have pointed out the consequences of housing policies that have promoted ownership among low income households, especially in the Latin American context. Qualitative housing deficits, neighbourhood deterioration, and spatial segregation have been reported as the most recurrent problems (Ducci, 1997; Dunowicz, Hasse, Boselli & Amarilla, 2004; Hastings, 2008; Kessler & Di Virgilio, 2008; Oezler, 2012; Rodríguez & Sugranyes, 2005; Tironi, 2003). A third part of the literature discussed homeownership, focusing on the informality of the property and/or the land in slums, self-help constructions within formal housing and settlement upgrading in countries in the Global South (Bredenoord & van Lindert, 2010; Fernández-Maldonado & Bredenoord, 2010; Greene & Rojas, 2008; Mukhija, 2002; Sukumar, 2001; Valladares, 2013; Ward, 2012).

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1 Estimation based on a review of journal articles published between 1990 and 2014 in Scopus, Web of Science and Science Direct databases. The review consisted of a systematic search (in English and Spanish) based on keywords that resulted in a journal database of 620 articles at October 1<sup>st</sup>, 2014.

As a result, this field has been explored from diverse perspectives in an attempt to understand low income homeownership in light of social and economic opportunities, constraints and challenges.

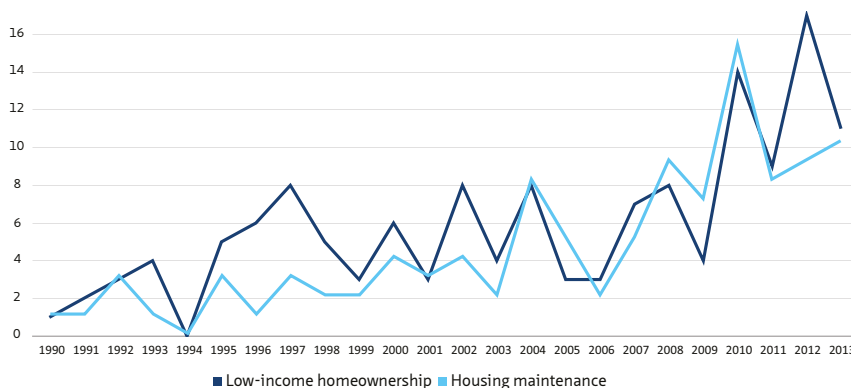


FIGURE 1.4 Journal articles about low income homeownership and housing maintenance. 1990- 2013. Source: author's elaboration.

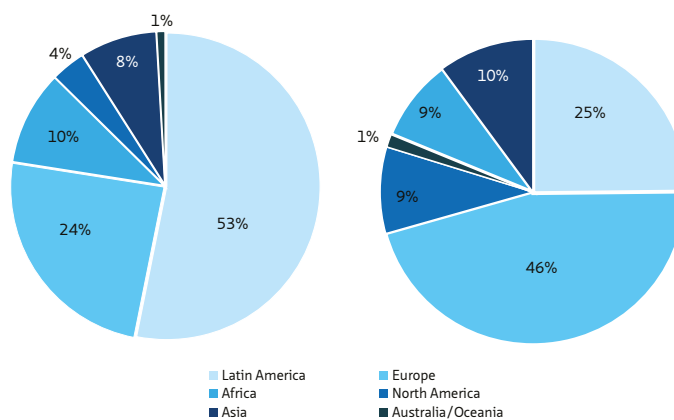


FIGURE 1.5 Percentage of journal articles about low income homeownership and housing maintenance by zone. 1990-2013. Source: author's elaboration.

Using the maintenance problem as a starting point, the thesis elaborates on the concept of housing management, and specifically condominium management, in the affordable owner-occupied sector using a multi-dimensional approach. Housing management has usually been approached from the perspective of social rental

housing managed by external organisations with a strong emphasis on technical maintenance. By combining different theoretical frameworks (Ostrom, 2011; Gruis, Tsenkova & Nieboer, 2009; Moser, 1998), this research attempts to provide a comprehensive definition of condominium management which considers aspects of technical maintenance but also the organisational and sociocultural dimensions, positioning the co-owners and the condominium as the main actors.

Finally, this research seeks to contribute to the search for solutions for condominium management practices for low income homeowners. The research explores the role of third sector organisations as social intermediaries from the perspective of social innovation. The in-depth analysis of case studies provides insight into the actual roles, strategies and activities developed by third sector organisations in the field of condominium management, the dynamics of which are unknown. One of the main scientific contributions of this research is in understanding the problem of low income homeownership and condominium management with the role of the third sector as part of the solution, which is a novel approach in the Chilean context.

### § 1.6.3 Focus and limitations

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This research is narrowed down in three ways. Firstly, the research focuses on management problems and solutions for the Chilean context. Chile is one of the first countries in the region showing the maintenance problems of homeownership policies that have been progressively implemented in Latin American in recent decades based on the Chilean model initiated in the 1980s. Countries such as Brazil, Colombia, Ecuador also have a significant percentage of affordable housing in condominium tenure which is experiencing rapid deterioration patterns and maintenance problems (Cavalheiro & Abiko, 2015; Donoso & Elsinga, 2016). The selection of the research topic was motivated by the researcher's own interests and research experience in Chile. The project was funded by the National Commission for Scientific and Technological Research of Chile (CONICYT, grant number 72140221) which aims to encourage research that can contribute to the development of Chile by gaining advanced knowledge and international experience.

Secondly, the research problem and the solutions focus on social condominiums, which are a specific type of medium rise building apartment of three to four storeys, which contain individual properties and common areas. Although condominiums can also be made up of single family dwellings sharing a common property area in Chile, this specific type was selected because it involves the most critical problems regarding maintenance, and also more areas of collective management and therefore

susceptibility to deterioration. It is expected that by providing solutions for the most complex cases, situations of less complexity will also be addressed.

Thirdly, the research focuses on third sector organisations and their capacity to intermediate as part of the solution. The intermediation is analysed from the third sector's perspective and potential to improve management practices. The perception of residents and co-owners were incorporated actively during the research, especially in the identification of the main management challenges and their perception of the third sector performance in the case study analysis. Nevertheless, the solutions are primarily sought with the third sector in mind.

There are research limitations as a result of the type and selection of the case studies. The practices of third sector organisations are locally embedded and depend on the institutional context. This implies that the level of transferability of the international case studies is low. To deal with this limitation the research uses them as learning tools to draw lessons, including a process of lessons assessment and transferability analysis to take into consideration cultural and institutional differences (see Ch. 5) before proposing lessons and practices for the Chilean context.

The analysis of case studies included face-to-face interviews with residents and organisation professionals carried out by the researcher to evaluate performance. After identifying relevant cases for the research, an important criterion in selecting the final cases was the viability of conducting fieldwork in terms of information and language. The organisations had to be willing to share information regarding processes and strategies and enable contact with the residents. In terms of language, English and Spanish speaking cases were prioritised, or cases where minimum language assistance would be required.

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## § 1.7 Thesis outline

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The first part, *conceptualisation*, comprises Chapters 2, 3 and 4. Chapter 2 elaborates the relationship between low income homeownership and maintenance problems. Chilean housing policies, actors and affordable housing stock are characterised, identifying the elements that have contributed to the rapid deterioration of social condominiums. The main methods used are a literature review and exploratory interviews with Chilean stakeholders (government, academia, *entidades patrocinantes*). After framing the general problem, Chapter 3 expands on the

condominium management challenges faced by Chilean condominium residents. The analysis uses a multidimensional perspective, considering technical, organisational and sociocultural characteristics. Individual interviews were carried out with stakeholders involved in condominium improvements (government, academia, *entidades patrocinantes*) and a group interview with condominium residents. After defining the societal and knowledge problem, Chapter 4 provides a definition of third sector organisations in housing activities and their contribution to social innovation in deprived contexts. Based on the theoretical input, the chapter develops an analytical framework to describe and evaluate the interventions of third sector organisations in condominiums.

The second part, *the analysis*, comprises Chapters 5, 6, 7 and 8. Chapter 5 describes methods and approaches for the use of case studies, based on policy transfer and lesson-drawing literature. It provides a database of local and international experiences of third sector organisations in condominium management. The methodological introduction is followed by the case study analyses presented in the next three chapters. The cases are reported using the analytical framework. After the analysis, a selection of learnings identified from the case are discussed. The lessons from the international cases are assessed according to political, technical, financial and cultural feasibility, defining limitations and contributions for their implementation in Chile. Chapter 6 presents the Proyecto Propio foundation, and is focused on the improvement of deteriorated social condominiums in Santiago. The aim is to identify elements of effective interventions in condominium management, understanding the possibilities and limitations of a local practice. Chapter 7 presents the VVE-OIO foundation (*Rotterdam, The Netherlands*) to explore the technical and organisational dimensions of condominium management and the role of the municipality in the maintenance of the owner-occupied housing stock. Finally, Chapter 8 presents the *Servicios de Dinamización Vecinal* programme (*Madrid, Spain*) to explore the sociocultural and organisational dimensions of housing management and the role of civil society organisations in the management of their own neighbourhoods.

The final part, the *proposal*, is in Chapter 9. In this chapter, the lessons are translated into specific strategies to improve condominium management practices. These strategies are discussed according to the typologies of management approaches for third sector organisations and initial situations. Strategies and typologies are assessed in a validation session. Implications for the strategies and typologies are discussed, based on the validation.



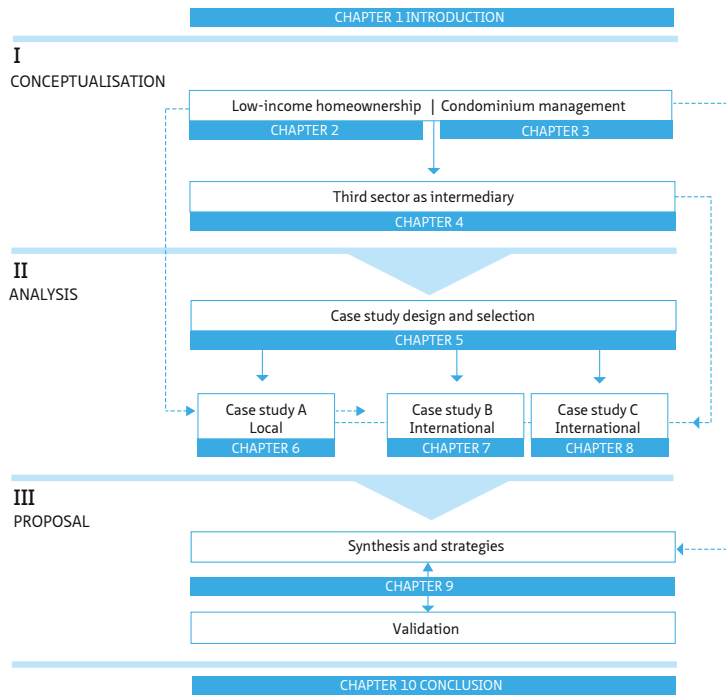


FIGURE 1.6 Thesis outline



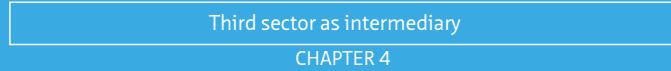


PART I Conceptualisation



CHAPTER 1 INTRODUCTION

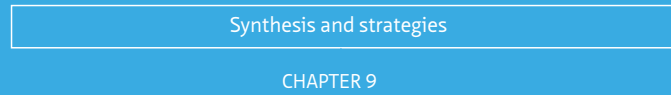
I  
CONCEPTUALISATION



II  
ANALYSIS



III  
PROPOSAL



CHAPTER 10 CONCLUSION

## 2 The challenge of low income homeownership and condominium maintenance in Chile

*Homeownership comes with responsibilities for the management and maintenance of the property, however low income homeowners have to deal with financial and social constraints that might diminish their capacity to take collective care of the building maintenance. The first necessary step is therefore to identify and understand the characteristics of the group of homeowners that manage their buildings. This chapter aims to define the research problem in Chile around two topics: homeownership in the context of vulnerability, and the specific challenges regarding collective ownership in condominiums. What are the characteristics of the maintenance problem in Chile in the context of low income home ownership?*

*Section 2.1 below discusses the problem of low income homeownership from the perspectives of the home as a productive asset, new urban poverty and home induced poverty, based on a literature review. The section concludes with the main challenges of collective ownership in condominium tenure. Section 2.2 then situates this discussion in the Chilean context, analysing the role of housing policies in shaping the characteristics of current housing stock, and specifically social condominiums. The section describe policies and actors, and summarises the problems found in social condominiums. It concludes by highlighting a new debate for Chilean housing policies centred around housing maintenance in the owner-occupied sector and the role of the institutions that participate in the process.*

## § 2.1 The fragility of homeownership in vulnerable contexts

### § 2.1.1 Low-income homeownership

There has been an increase in publications related to low income homeownership in the last twenty years, and especially since 2008, which demonstrates the new challenges regarding ownership and low income households, particularly in European and Latin American countries. Homeownership has been analysed as regards the social and economic benefits associated with the fact of owning a house. One of the main approaches when defining the problem is the identification of advantages and disadvantages compared with the status of the tenants. Homeownership has been associated with positive individual effects and societal impacts. Homeowners present higher levels of housing satisfaction than tenants (Marja Elsinga & Hoekstra, 2005; Rohe & Stegman, 1994a), and positive outcomes in psychological health through self-esteem and perceived control over life (Rohe & Stegman, 1994a; Rohe, van Zandt & McCarthy, 2001; Saunders, 1990). Scholars have reported a positive societal impact on neighbourhood stability and social and political involvement (Rohe & Stegman, 1994b; Rohe & Stewart, 1996; Rohe et al., 2001). Even though it has not been possible to provide the same level of empirical evidence for all the arguments, it is possible to recognise consensus in terms of higher housing satisfaction and higher freedom among homeowners in relation to housing decisions when they are compared with tenants.

*“An owner-occupier of a property has the right to determine how that property is used, maintained, fitted out, decorated and, eventually, disposed of. Based on these rights, homeownership is generally associated with security, freedom, independence, responsibility and involvement. Furthermore, the appreciation of the property and the development of personal equity through the gradual repayment of the mortgage loan are regarded as financial benefits” (Marja Elsinga & Hoekstra, 2005, p. 408).*

The presence of these benefits is not an inherent condition of homeownership, however, and thus the advantages ascribed to homeownership should not be taken for granted for the whole owner-occupied sector. The responsibilities and economic burden on homeowners in maintaining the property have been noted as disadvantages, and specifically the situation of low income households who have experienced unsuccessful ownership processes (Marja Elsinga & Hoekstra, 2005; Marcuse, 1972; Rohe & Stegman, 1994a). Scholars have reported the challenge to low income groups

of providing adequate maintenance and repairs in the long term, considering their financial constraints (Acquaye, 2011; Aguirre, d'Alencon, Justiniano & Faverio, 2006; Camargo & Hurtado, 2011; Gruis et al., 2010; Kessler & Di Virgilio, 2008; Liias, 2007; Van Zandt & Rohe, 2011) as well as organisational shortcomings in condominium tenure due to the lack of clarity in governance and responsibilities for the management of communal areas (Donoso, 2013; Yau, 2013).

Low-income homeowners usually face a process which begins with the acquisition of the cheapest dwelling on the housing market, located in less desirable neighbourhoods. Financial constraints become a restriction to affording routine maintenance or saving for future major improvements and repairs. The lack of maintenance then affects the physical conditions of the house and restricts potential mobility to better neighbourhoods. The risk is that homeowners can be "trapped" in a poorly maintained house in a run-down neighbourhood, turning the initial advantages into social and individual disadvantages (Elsinga & Hoekstra, 2005).

Scholars have noted the relevance of context in the meaning and effects of homeownership (Elsinga, 1998; Elsinga & Hoekstra, 2005). Kemeny (1981), recognised two main type of societies: home-owning societies and cost-rental societies. Whereas cost-rental societies are based on a well-developed rental market, home-owning societies are characterised by a greater private housing market in which governments promote homeownership. In homeownership societies such as the United States and the United Kingdom, the house is considered an important symbol of societal status, basic security and success (Rohe & Stegman, 1994b). In Southern European countries homeownership is also part of family tradition and cultural heritage (Elsinga & Hoekstra, 2005).

Latin America is characterised by a homeownership society, in which ideas such as 'a home of one's own' are reflected in the housing policies, which promote subsidised low income homeownership. Latin American housing policies are based on the 'American dream' in which the acquisition of a house and land is one of the most important achievements for the population. For the government, homeownership is perceived as a benefit per se and it has become one of the main indicators of the success of housing policies. As a result of the high valorisation of homeownership by both government and population, housing policies have not encouraged investment in rental dwellings as a real alternative tenure, which is demonstrated by the non-existent social housing rental sector. Homeownership is part of the cultural heritage, in which the extended family plays a significant role in housing decisions and choice of tenure.



The case of Latin America is a clear example of weak institutional support for low income homeownership processes, especially in securing the quality of affordable housing stock after the acquisition of the dwelling. Neoliberal housing policies were progressively adopted by governments focusing on tackling informal settlements with national programmes for social housing provision in the 1980s and 1990s. Subsidies and credit facilities, combined with the massive construction of low-cost housing, enabled low income groups access to homeownership (Gilbert, 2014), however the model has been widely criticised because of its social and urban impacts, especially in the promotion of spatial and social segregation (Rolnik et al., 2015; Sabatini et al., 2001), the construction of low-quality housing that led to premature deterioration (Ducci, 1997; Gilbert, 2014) and the generation of new processes of impoverishment (Camargo & Hurtado, 2011). After the acquisition of the house, the institutional support, if it exists, is confined to specific grants for housing repairs or improvements that are not enough to cover the qualitative deficit in the housing stock. The advantages of ownership are thus barely perceived by the households, considering the deterioration patterns of the current housing stock due to the lack of institutional support in housing maintenance.

### § 2.1.2 Homeownership as a productive asset

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In disadvantaged contexts, the house is an important resource with which to cope with urban poverty and social vulnerability (Wormald, Cereceda & Ugalde, 2002). Housing understood as a productive asset (Moser, 1998), may generate new income opportunities through different strategies depending on household needs, such as home-based productive activities, renting out rooms or giving shelter to extended family. Moser (1998) analysed home-based enterprises in Lusaka, Zambia and Guayaquil, Ecuador. The results showed the importance of these activities, especially for home-bound women, allowing them to contribute to household income. She also pointed out the importance of access to complementary assets such as water, electricity, skills and credit for the success of the enterprise. Similarly, Gough and Kellett (2001) studied the relationship between housing consolidation and productive activities in Bogotá, Colombia. The results showed a close relationship between home-based enterprise and a household's stage in the cycle. For instance, women often run a home-based enterprise whilst they have young children, to facilitate carrying out childcare responsibilities at the same time as earning money.

The strategy of nesting consists of giving shelter to the extended family. This 'intergenerational densification strategy' (Moser, 1998, p. 10) is often reflected in housing transformations, such as the addition of extensions or construction of separate



housing structures on the plot. According to the fieldwork by Moser in Guayaquil, the main purpose of families is 'to reduce the vulnerability of newly formed young households or of elderly parents' (Moser, 1998, p. 10). In addition to their economic function, Araos (2008) analysed the situation of Chilean families and defined the strategy of nesting families, named *allegamiento*, as a cultural way to value family ties even when this situation may imply other consequences in the family structure. In this process, the family becomes an important factor (Moser, 1998), and its members are part of a network of cooperation that contributes to the generation of opportunities and income, but also to physical changes in dwellings. Another strategy is the construction of informal rooms to rent out in the backyards of formally constructed homes. In South Africa, this strategy is aimed at generating new income for an owner, providing housing for tenants who cannot afford the formal rental market (Crankshaw, Gilbert & Morris, 2000).

The introduction of the concept of 'Structure of opportunities' and the building-asset definition suggests the importance of understanding the latter in relation to the opportunities generated by the context and its institutions, namely market, society and the state (Katzman & Filgueira, 2001). These opportunities, which enable mobility and social integration, are necessary to maximise the contribution of the house as a productive asset. This asset needs to be inserted in a network of institutional support in order to be a mechanism to improve a family's quality of life, instead of being just a 'survival' strategy.

### § 2.1.3 New urban poverty and home induced poverty

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As previously noted, the fact of being owners does not guarantee that families of low income households will receive the benefits associated with homeownership. Camargo and Hurtado (2011) pointed out that housing acquisition cannot be considered action to overcome poverty in itself. They argue that low income homeownership without proper housing policies and support may generate conditions that perpetuate the poverty, such as the generation of unsustainable expenses and social exclusion due to poor neighbourhood location and poor quality networks .

Camargo and Hurtado offered two concepts with which to define the problem: housing (or shelter) induced poverty and new urban poverty. The former refers to the situation when households, after paying housing expenses (mortgage, taxes and maintenance), cannot afford the minimum poverty-basket of non-housing goods (Kutty, 2005; Ruprah, 2010). This concept should be considered in housing policies which encourage ownership. For instance, in the case of Bogota, low income homeowners living in

subsidised houses spend 63% of their total income so as to afford housing expenses alone (Camargo & Hurtado, 2011).

The concept of new urban poverty, developed in the 1980s in the USA and Occidental Europe, refers to the process of impoverishment of urban population due to economical, societal and urban changes. Camargo and Hurtado (2011) pointed out that the massive construction of low income housing in poor locations with limited access to goods and urban services triggers exclusion processes and socio-spatial segregation. This process is a downward spiral from a lack of opportunities to a deeper poverty situation. In the Chilean context, Tironi (2003) claimed that people who live in this condition have better material and physical goods because they live in formal houses subsidised by the government, but they face serious problems related to social exclusion. This situation has meant that they are affected by new negative externalities of their environment such as drugs, crime and truancy.

It is crucial to consider both concepts in the evaluation of homeownership oriented policies to understand the implications for low income homeowners in terms of financial burden and externalities which may generate deeper processes of poverty. One important element mentioned by Marcuse so as to avoid unsuccessful processes is the role of public policies, especially when governments promote ownership among low income households. The incorporation of income assistance for the low income buyer, improvement of community facilities, guarantee of adequate maintenance and repairs and the promotion of localisation choices would avoid the decline of the housing value (Marcuse, 1972).

As already experienced by Latin American countries, the promotion of homeownership-oriented policies has entailed several challenges related to the fair distribution of affordable housing in the territory, and the inclusion of programmes that support households in post-occupation phases. While governments should re-evaluate the actual benefits of current housing policies and especially the type of ownership that they are generating, new measures need to be taken to slow down and reverse deterioration of the existing housing stock.

#### § 2.1.4 Affordable condominiums: the challenges of collective maintenance

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The adequate management of the property is a key element in ensuring successful ownership processes, however financial and social constraints define priorities in which the needs of families and individual households dominate collective needs. This

situation is more critical in multi-owned buildings, also known as condominiums, in which these constraints may diminish homeowner capacity to take collective care of the building maintenance (Cavalheiro & Abiko, 2015).

A condominium is defined as an individual and common property that has four main components: the land, the shared facilities and service areas, the structure and the infrastructure of the building or the housing complex (Donoso, 2013). The management of the condominium involves tension between the individual and the group, the dwellings and the complex, creating social and financial connections between the co-owners with respect to use, management and maintenance of multi-owned areas (Yau, 2013). Housing maintenance for condominiums therefore entails complex arrangements for collective decision-making in order to take care of the common property areas which are more subject to deterioration (Donoso & Elsinga, 2016).

Ariff and Davies (2011) defined three main stakeholders participating in condominium management: owner associations (or homeowner associations), management agents and individual owners. The owner association is the basic element of the condominium structure and governance. It controls internal conflicts by balancing the interests of all the parties involved (Ariff & Davies, 2011). Generally, a group of owners selected by the community represents the association in the form of an administrative committee.

Management agents, or property managers, are professionals or companies that perform the technical and administrative activities. The level of participation and characteristics of this stakeholder depends on, and change, according to local regulations. In Taiwan a management organisation is mandatory in every condominium (Hsieh, 2009), in Ecuador these responsibilities can be taken by the administrative committee (Donoso, 2013). In Chile management agents are common in middle and higher income groups, however the law has special exemptions for affordable condominiums where these responsibilities can be assumed by the chairman of the administrative committee as a voluntary work (MINVU, 2015a). In Colombia the property manager is an individual professional who earns a minimum salary and is hired directly by the condominium administrative committee (Donoso, 2013).

Even though the administration and maintenance of condominiums usually has a legal framework which establishes the main duties, homeowner participation in maintenance still remains voluntary in nature (Yau, 2013). One of the main barriers to condominium management is the capacity of self-organisation and the lack of participation of individuals (Ariff & Davies, 2011). Several authors have referred to the collective action theory (Olson, 1982; Ostrom, 1990) to understand the individual behaviour within a group in collective management; such as the cost/benefits of

participating in a group, personal interest in contrast to group interest and the existence of free-riders that benefit from the group. A clear example of a free-rider in condominium tenure is the owner who does not participate in meetings, does not pay monthly expenses for maintenance or has never participated in the homeowner association, but enjoys the benefits of an organised condominium (Donoso, 2014). In some cases the high number of free-riders threatens to destabilise the whole governance structure.

Financial capacity has been mentioned in the context of affordable condominiums as one of the main barriers to the maintenance of housing activities. Analysis of condominium management in Taiwan (Hsieh, 2009) and Malaysia (Ariff & Davies, 2011) reveals that the financial reserves in condominiums are often insufficient to carry out repairs and renovations, affecting the performance of maintenance activities and thus the conditions of the building in the long-term. Cavalheiro and Abiko (2015) evaluated Brazilian favelas resettled in condominiums in which most of the communities were unable to organise a maintenance fund.

In an analysis of condominiums in Hong-Kong, the results showed a relationship between education and participation in maintenance activities, where more educated older homeowners were also more willing to take action (Yau, 2013). In Chile, the lack of knowledge about condominium maintenance and administration is an important barrier to overcome, especially among homeowners who were relocated from informal settlements (Sugranyes, 2005).

The maintenance of condominiums is a collective problem which relies on the self-organisation and governance capacity of co-owners, but also on interdependency with public policy actors at a macro level of governance (Donoso, 2014). Institutions and regulations can be enablers of maintenance practices, defining operational responsibilities and guidelines for maintenance and providing support for the most vulnerable groups. In a study of condominiums in Quito and Bogota, Donoso and Elsinga (2016) analysed the effects of the property law on the level of maintenance and self-organisation, showing its importance but also the complex relationship between formal arrangements required by the law, self-organisations and maintenance outcomes which might change from one context to another. An analysis of the condominiums of families relocated from informal settlements in Brazil and Chile demonstrated the need to increase governmental social assistance in the transition to ownership (Cavalheiro & Abiko, 2015; Sugranyes, 2005).

Four main challenges have been identified in the literature with regards to condominium maintenance: financial, self-organisation, knowledge and cultural, and institutional. These challenges exist in any condominium, but also have specifics

related to low income homeownership ( Table 2.1). There is a financial challenge associated with collecting, managing and keeping financial reserves to provide adequate maintenance and activities to ensure the correct performance of the building. For low income groups, an additional difficulty is the monetary constraints of keeping a collective fund sufficient for maintenance activities, and the need to provide extremely efficient management to make the most from the scarce resources. There is also the challenge of self-organisation associated with overcoming the tensions between individual needs and the collective good, in order to increase voluntary participation while reducing free-riders in the group. This also implies an understanding of homeownership and its benefits beyond the limits of the dwelling and the family as organisational unit. In the case of low income communities, diverse family strategies for income generation to enhance the value of the house as a productive asset are more urgent than collective needs, and can undermine the value of the condominium as a collective asset. The third challenge involves knowledge and culture, especially for first-time owners, associated with the duties and rights of homeownership and the understanding of maintenance. This entails an additional challenge for people who have lived in informal settlements, or shared a house with relatives. In these cases, there is a lack of knowledge regarding the duties, costs and responsibilities associated with formal tenure. This gap can be educational, but also related to different cultural habits and understandings of maintenance. Last, but not least, there is an institutional challenge, related to the existence of regulations, services and institutions watching over good maintenance practices. As previously indicated, in the case of low income groups, homeownership requires additional institutional support in terms of the structure of opportunities and conditions that allows the development of successful ownership processes.

CHALLENGES	FOR ALL CONDOMINIUMS	SPECIFICS FOR LOW INCOME GROUPS
Financial	- Collect, manage and keep adequate financial reserves for maintenance.	- Monetary constraints to collecting and keeping a collective fund for maintenance activities. - Providing extremely efficient management to make the most of scarce resources.
Self-organisation	- Overcome the tensions between individual needs and the collective good, in order to increase the voluntary participation while reducing the free-riders in the group.	- Urgent family needs are more relevant than collective needs (i.e. strategies for income generation).
Knowledge and cultural	- Understanding of duties and rights associated with collective ownership and the importance of maintenance.	- Knowledge gap regarding duties, costs, and responsibilities associated with ownership and different cultural habits in families that lived in informality.
Institutional	- Regulations, services and institutions watching over good maintenance practices.	- Need for additional support for vulnerable groups.

TABLE 2.1 Challenges by low income homeowners to provide maintenance identified in the literature

## § 2.2 Low-income homeownership and social condominiums in Chile

### § 2.2.1 Housing policies in Chile: subsidised owner-occupied housing, development and challenges

A persistent characteristic of Chilean housing policies, despite different political ideologies, is the promotion of private ownership even for the most vulnerable citizens. The tradition of housing policies dates back to 1900, but current housing policies have their fundamental origin at the end of the 1970s, when the country adopted a neoliberal mechanism of housing provision (Gilbert, 2014) as part of the liberal policies imposed during the dictatorship of Augusto Pinochet. This model, embraced later by other Latin American countries, adopted a market-based approach in which the state assumed a subsidiary role, and housing provision was channelled through a select group of large enterprises in the private sector (Rodríguez & Sugranyes, 2005).

Facing a national housing deficit of 419,000 units (Ducci, 1997), and at the same time, an increasing number of land seizures, especially in Santiago, the military regime introduced structural changes in housing matters. Housing was redefined as property which should be acquired by individual efforts instead of being a right. The role of the state was therefore to subsidise families to become property owners (Salcedo, 2010). The first change in this process was to turn supply-side subsidies to demand subsidies. The formula comprised family savings, complemented with the governmental subsidy (voucher) and a long-term bank loan insured by the state to cover the remaining property cost. Since the house was considered an individual commodity, a second important change was the elimination of collective organisation and the role of the community in the acquisition of the house. A third relevant point was the special emphasis on the elimination of informal settlements (*campamentos*) through the relocation (*erradicación*) of families who lived in central and high income areas to a new and formal housing solution.

Despite the previous experiences of state-led construction and the provision of affordable housing in the first half of the century, the neoliberal model remained the main framework for housing policies, even after the return to the democracy in 1990 (Hidalgo, 2005). Although necessary improvements have been made in recent decades, current policies still preserve the essential elements introduced in the dictatorship (Oezler, 2012), namely the supply-side subsidy, the individual approach based on the nuclear family, and the relocation logic.

When democracy was resumed, the centre-left wing alliance assumed the task of reducing the housing deficit that had increased to 800,000 dwellings (Ducci, 1997). The governments increased the number of subsidies, consolidating the demand-side policies implemented by the dictatorship during the next democratic governments (Salcedo, 2010). Moreover, during 1990 and 2000 house production steadily increased, reaching almost 150,000 units a year in 1996, a number similar to European post-war reconstruction rates (Sugranyes, 2006). Nevertheless, an institutional and multi-factorial crisis in 1997 defined a milestone in the housing production. Along with internal management problems in Minvu (Ministry of Housing and Urbanism) and the upcoming economic crisis of 1998, a quality crisis in the recently built housing stock demonstrated the down-side of the apparently successful model.

Social condominiums (medium-rise apartment buildings) became the emblem of low-initial construction quality and rapid deterioration within the social housing stock. The most well-known case was the 'El Volcan' neighbourhood in the commune of Puente Alto in Santiago, in which the houses were covered by nylon to avoid the entrance of rain through rooves and walls. According to Sugranyes (2005), social housing appeared in public debate for the first time in 15 years, where questions were asked about procedures and construction quality. At the same time, the first group of the poorest homeowners who were not able to pay their debts emerged, known as 'housing debtors' (Castillo, 2010).

Housing policies introduced transformations under the auspices of the 'New Housing Policy' in 2001. In essence, this new policy maintained the basic elements of the system, but introduced two necessary changes; the concentration of governmental resources to the poorest groups and the consolidation of private management in the subsidy system (Sugranyes, 2005). First, the creation of the *Fondo Solidario de Vivienda* (Solidarity Housing Fund) encompassed several modalities for housing acquisition aiming at the most vulnerable groups. The main features were the elimination of credit for the poorest population, enlarging the governmental subsidy to 98% of the housing value, and the introduction of second-hand dwellings as another alternative to ownership. A second necessary change introduced in 2006 was the creation of a new institution, entities to manage the social demand. Formerly known as EGIS, *Entidades de Gestion Inmobiliaria Social* (social management entities) and now as EP, *Entidades Patrocinantes* (assistance entities), these for-profit or non-profit organisations organise the families that apply for a subsidy and work with them along the housing project, in an attempt to restore the idea of a 'collective struggle for housing' (Salcedo, 2010).

As a consequence of the increasing qualitative problem in the social housing (Figure 2.1), a new set of subsidies was introduced from 2006, aiming at existing housing stock and surrounding neighbourhoods. One of these programmes is *Programa de*

*Mejoramiento de Barrios, PQMB* (the Programme of Neighbourhood Improvement) which targets disadvantaged neighbourhoods using an area-based approach to improve public spaces. Another set of subsidies are embedded in the *Programa de Protección al Patrimonio Familiar, PPPF* (Programme of Protection of Family Patrimony), which was initially focused on the repair and improvement of dwellings, including the common property of condominiums from 2012.

The last decades of housing policy in Chile created a centralised and institutionalised mechanism that maintained the steady increase of subsidies from the 1990s, for building, buying or repairing dwellings for low income and middle income groups (Figure 2.2).

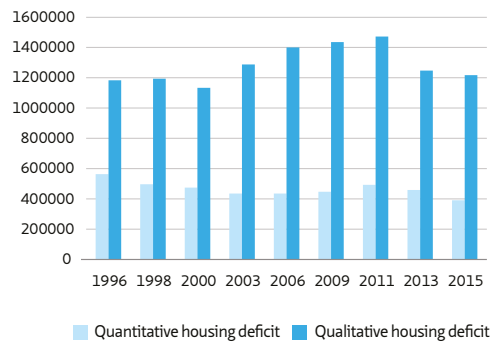


FIGURE 2.1 Quantitative and qualitative housing deficit in number of dwellings 1996-2015. Source: author's elaboration based on Observatorio Habitacional MINVU (2018)



FIGURE 2.2 Historical reconstruction of number of subsidies granted and paid from 1990-2017. Source: author's elaboration based on Observatorio Habitacional MINVU (2018).



It is now possible to identify two main sets of subsidy programmes targeting different goals: those focused on housing acquisition aiming to reduce the quantitative housing deficit, and those focused on housing and neighbourhood improvement, aiming to reduce the qualitative housing deficit. As previously stated, the main goal of housing policies was historically to reduce the quantitative deficit, however, the importance of the qualitative deficit has been reflected in the increasing demand for subsidies for housing improvements (see Figure 2.3). The acknowledgment of governmental responsibility in the qualitative deficit has implied a necessary shift in the focus of housing policies, enlarging the subsidy offered for the existing housing stock and improving housing standards for future projects. It has also recently led to the exploration of mechanisms to improve housing location and inclusion, as well as rental social housing models still in the early stages of development.

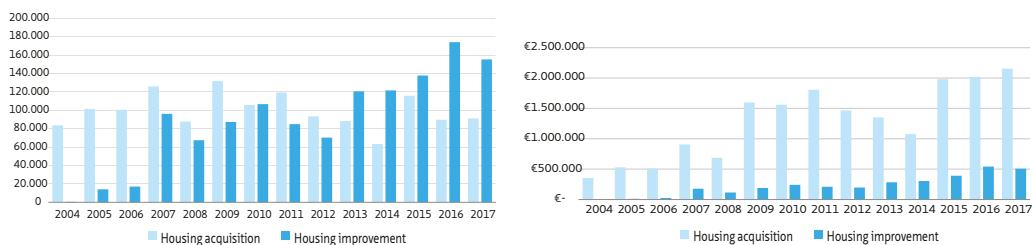


FIGURE 2.3 Number of units of subsidies granted (left) and investment (right) by the government for housing acquisition and housing improvements between 2004 and 2017. Source: author's elaboration based on Observatorio Habitacional, MINVU (2018).

### Housing programmes for social condominium improvements

In 1998, the state focused for the first time on the existing housing stock and not exclusively on housing provision. The *Programa Participativo de Asistencia Financiera a Condominios Sociales* (Programme of Financial Assistance to Social Condominiums) was the first mechanism to support condominium owners in improving common domain property and formalising their organisation. After this first step, the creation of the *Programa de Protección al Patrimonio Familiar, PPPF* (Programme of Protection of Family Patrimony) expanded the improvement subsidies to single family dwellings and public spaces, implementing small and short-term projects through external assistance entities (PSAT). The low impact at neighbourhood level and the lack of attention to social condominiums presented the most critical problems (MINVU, 2014c).

An important milestone was the creation of the programme of neighbourhood improvement *Quiero mi Barrio* (I like my neighbourhood) which implied a change in the scale of intervention, acknowledging the importance of the neighbourhood as unit of intervention and including the community more actively in the process. The expertise acquired in this programme was used to create the *Plan de Regularización y Apoyo al Condominio*, known also as the *Plan Piloto de Condominios Sociales*. Between 2008 and 2012 this programme implemented intervention plans focusing on the improvement of common property, the legalisation of co-properties and the strengthening of the community (MINVU, 2014c). Faced with the need to steer the allocation of resources in social condominiums, a new chapter in the PPPF was created by the Ministry, focused on improving condominiums. The earthquake in 2010 forced the introduction of additional measures of reconstruction, developed under the *Plan de Reconstrucción de Condominios Sociales* (Reconstruction Plan of Social Condominiums).

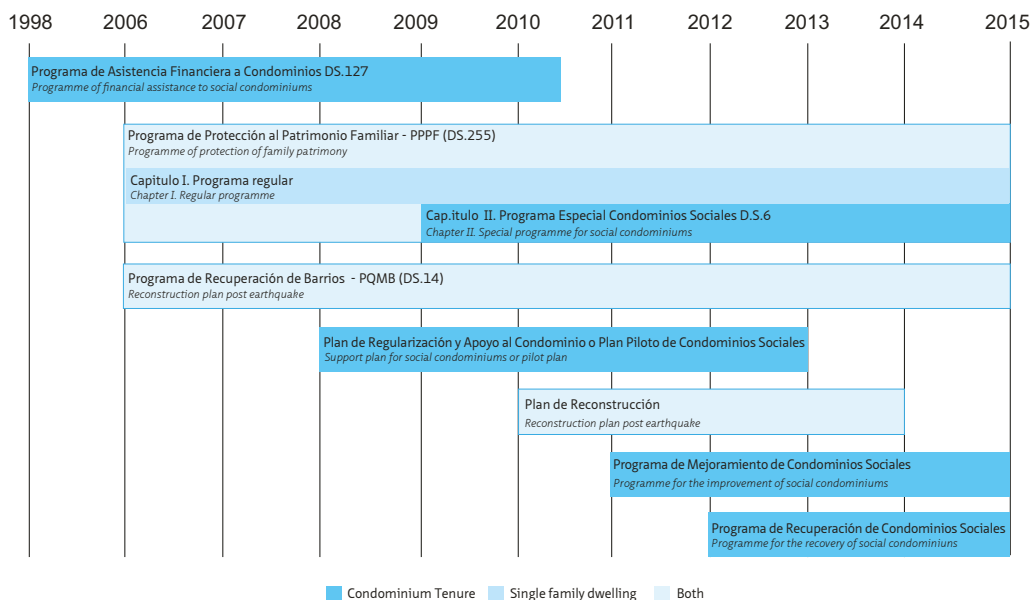


FIGURE 2.4 Governmental subsidies for the improvement of the existing housing stock. Source: author's elaboration based on MINVU (2014c).

Finally, two programmes were consolidated between 2011 and 2013: *Programa de Mejoramiento de Condominios Sociales*, *PMCS* (Programme for the Improvement of Social Condominiums) and *Programa de Recuperación de Condominios Sociales*,

PRCS (Programme for the Recovery of Social Condominiums). The programme of improvement was conceived to strengthen Chapter II of the PPPF and increase its impact through special calls to improve the common property and provide tools for condominium organisations. The programme was implemented through the SEDBs (Executive Secretary of Neighbourhoods), using the legal framework of the PPPF and considering the support of SEREMIs’s professionals (Regional Secretaries of the Ministry) in the selection process. The programme of condominium recuperation (known from 2015 as condominium regeneration) focuses on cases of critical deterioration that need major interventions such as reduce density or even demolition. This programme uses an area-based approach, defining priority areas of regeneration, intervening from the unit to the public space. Given the size and complexity of the intervention, however, this programme has been more difficult to implement. The programme is still in a pilot mode and has not yet completed any interventions (Larenas, Cannobbio & Zamorano, 2016).

Currently, the *Programa de Mejoramiento de Condominios Sociales* (PMCS) is the main mechanism that subsidises the improvement of social condominiums. Its main goal is to improve the quality of the residences of the families who live in these buildings (Larenas et al., 2016). The programme works under the legal and financial framework of the PPPF, with special calls to allocate resources in social condominiums. Condominiums are selected on-demand, in which the applicants are graded and granted with a subsidy until the budget designed for the call is spent. PMCS considers three main modes: (i) improvement of common domain property, (ii) improvement of common domain areas, (iii) enlargement of apartments units (see Table 2.2). In addition to the improvement, the subsidy allocates resources for technical assistance to organise the demand, design the projects, provide technical supervision during construction and develop the actions to organise the condominiums according to the law.

PROGRAMA DE MEJORAMIENTO DE CONDOMINIOS SOCIALES – PMCS (Programme for the improvement of social condominiums)	
Mode 1. Improvement of common domain property	Improvement or repair of roof, staircases, elevator, hall, corridor, facades, walls, services.
Mode 2. Improvement of common domain areas	Improvement or repair of green areas, playground, fences, lighting.
Mode 3. Enlargement of apartments units	Construction or enlargement of one or more rooms: bedroom, loggia, kitchen, bathroom, living

TABLE 2.2 Modes of the Programme for the Improvement of Social Condominiums, PMCS.

The subsidy is given to the condominium (referred as co-property in the programme) as an organisation, which implies that they have to be 'legalised' following the co-ownership law. Condominiums apply to the programme supported by an Assistance Entity (PSAT). These entities are hired by the co-owners using a standard covenant provided by the SERVIU. PSATs carry out the technical plan (project design and technical supervision) and the social plan (legalising condominiums and informing residents about the co-ownership law). In addition to the PSAT and the residents, other institutions that participate in the process are builder companies that execute the improvements and municipalities that promote the programme in their territories and provide support during the legalisation of condominiums.

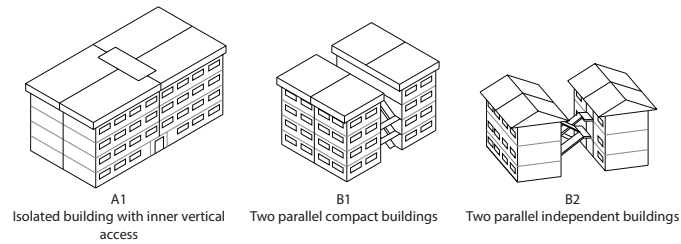
Between 2012 and 2016 the programme was involved with 1174 condominiums, which is 20% of the potential national demand estimated by the government, demonstrating its productive capacity (Larenas et al., 2016). The main drawbacks are the lack of a mechanism to evaluate their objectives, the lack of information about the final interventions and the lack of control over the allocation of resources due to the selection being based on demand (Larenas et al., 2016). It has therefore not been possible to estimate whether the programme is effective or not in achieving its goals, to evaluate the sustainability of the interventions or to understand whether the improvements carried out by PSATs are solving the main problems or focusing on the most critical cases.

The last 19 years of governmental experience (Figure 2.4) has been reflected in the revision and adjustment of housing policies focused on vulnerable housing and neighbourhoods. The main lessons are the acknowledgment of the neighbourhood scale in housing improvement, the importance of strengthening condominium organisations, and the technical assistance during the process (MINVU, 2014c). Whilst programmes such as PPPF or PMCS are contributing to decreasing the qualitative deficit, improving the physical conditions of condominiums and formalising legal status, there is no certainty about the impact and sustainability of these actions in the long term, especially regarding maintenance practices.

### § 2.2.2 The results: social condominiums, qualitative deficit and maintenance problems

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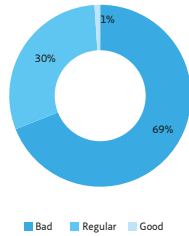
The concept of *condominio social* (social condominium) is used by the Chilean government to describe the housing typology comprised of medium-rise building apartments which contain areas of individual property and common domain (see Figure 2.5).



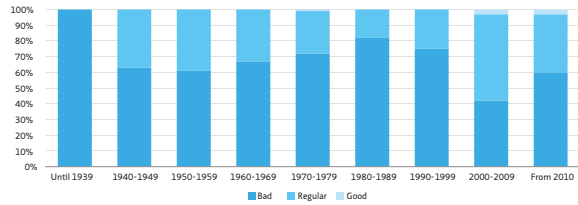
**FIGURE 2.5** The most common typologies of social condominiums. Source: author's elaboration based on MINVU (2014b)

According to the Cadastre of the Ministry of Housing and Urbanism (MINVU, 2014b) 5,689 social condominiums were built between 1936 and 2013, grouped in 1555 housing complexes and harbouring 344,000 dwellings. The cadastre demonstrated the serious problem of housing maintenance at the national level. According to the evaluation, 99% of the social condominiums present maintenance problems, having had either regular (30%) or bad (69%) general maintenance. The evaluation of construction per year also shows the highest index of bad maintenance in those built between 1980 and 1999, presenting rates above 70% (Figure 2.7). Some of the maintenance problems and problematic uses identified in common domain areas are the appropriation of common land (especially ground floor apartments), irregular housing extensions, rubbish areas inside the condominiums and the existence of vacant lots (usually ground destined for green areas that were never built). Table 2.3 describes the main characteristics and effects of these problems. Some are the alterations of the design affecting visibility, spatial conditions and ventilation, the alteration of the original design and the alteration of the original use of common areas.

The condominiums built in this period represent the peak of the massive housing construction, the smallest apartments being on average 45 m<sup>2</sup> and the highest number of total units being 110,000. 56% of the condominiums (3,186) and 57% of the units (194,808) are concentrated in Santiago, and their average year of construction was 1990.



**FIGURE 2.6** Maintenance index of common property areas in social condominiums at the national level. Source: author's elaboration based on MINVU, (2014b).



**FIGURE 2.7** Maintenance index of common property areas in social condominiums per year of construction at the national level. Source: author's elaboration based on MINVU (2014b)




The governmental cadastre was an important step towards the monitoring of the social housing stock, providing information about the physical condition of the buildings, however it did not include information about life inside the condominiums or resident perceptions. This has limited the capacity of the governmental registers to both describe internal dynamics and to qualify problems related to daily organisation, social relationships and coexistence that impact maintenance activities.

Most of this information has been provided by researchers through case study analysis and surveys of condominium residents, especially in Santiago. One of the main sources is the work developed by *Corporacion de Estudios Sociales y de Educacion SUR* and the book *Los con Techo, un desafío para la política de vivienda habitacional* edited by Alfredo Rodríguez and Ana Sugranyes. A survey, applied in 2002 to 489 social housing complexes in Santiago (with condominiums and single-family units) built between 1980 and 2000, was used to characterise their inhabitants. The analysis also reveals that 90% of the residents have invested in their dwellings with do-it-yourself solutions. The sequence of work starts with paintwork followed by installing fences and then changing floors and bathroom and kitchen appliances (Sugranyes, 2006). The presence of housing extensions in 23% of the condominiums showed the individual capacity to improve their dwellings. Condominiums built between 1986 and 1990 had the highest number of extensions (51%) with an average of 17 square meters. The extensions invade the common property areas and are dissociated from the public space (Sugranyes, 2005) placing individual interests over the collective good. They also showed the need for extra housing surfaces and flexibility for adaptations, which is restrictive in these buildings.

The results of the analysis of stakeholder perceptions, revealed that 64.5% of the residents manifested a desire to leave their housing. In the case of condominium

residents this was 70%. The most common reasons are social, led by problems of coexistence between neighbours, a sense of insecurity, crime and drugs (52.6%), the image of their own neighbourhood (21.6%), and then physical aspects such as small dwellings (13.4%), a lack of services and isolation from the city (12.4%).

Another section of the literature, although a minority, provided information about internal dynamics in condominiums through case study analysis (Aravena & Sandoval, 2005; Muñoz, 2011; Pérez, 2009; Segovia, 2005). They have pointed out the existence of deteriorated and inactive communities, social conflicts as a consequence of the forced coexistence of families with different backgrounds and individual actions that make community cohesion difficult, and therefore collective activities like maintenance.

PROBLEMATIC USES IN CONDOMINIUMS	DESCRIPTION	GRAPHIC REGISTER
Appropriation of common land	Use of the common land on the ground floor for individual and private purposes without the consent of the condominium. Most common uses are gardens, garages, parking, storage, informal shops	 <p>(Source: Author's picture)</p>
Irregular housing extensions	<p>Extensions that alter the appearance of the building or are attached to the building on different floors (except ground floor)</p> <p>The extensions are usually made out precarious material and design, thus they do not meet structural and security requirements, especially regarding fires and earthquakes.</p>	 <p>(Source: Author's picture)</p>  <p>(Source: Author's picture)</p>

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PROBLEMATIC USES IN CONDOMINIUMS	DESCRIPTION	GRAPHIC REGISTER
Dump areas inside condominiums	Presence of garbage inside the condominiums. Areas of collective ownership become useless for their original purpose.	 <p>(Source: Fundación Proyecto Propio)</p>
Vacant lots	Empty areas inside the condominium plot, usually destined to be green areas that were never built.	 <p>(Source: Author's picture)</p>

TABLE 2.3 Maintenance problems and problematic uses of social condominiums

## § 2.2.3 The actors in housing improvement and maintenance

### The state

As already described, the state has adopted a subsidiary position as regards housing provision and improvement. The main mechanism is the allocation of subsidies through a set of programmes for housing improvements which are carried out by third parties. In this approach, the state assumes two roles: the design of housing policies through the Ministerio de Vivienda y Urbanismo, MINVU (Ministry of Housing and Urbanism) and the supervision of their implementation, through Servicios de Vivienda y Urbanización, SERVIU (Housing and Urbanisation Services). The third party executers, currently known as *Entidades Patrocinantes (Assistance Entities)* are intermediary institutions created by the MINVU to develop and/or present housing projects in the context of the subsidy system (MINVU, 2006). The role of *Entidad Patrocinante* can be developed by a municipality, a private profit or non-profit organisation. Their role and characteristics are explained below.

The Ministry of Social Development designs and applies public policy and programmes to give social protection to the most vulnerable groups. This ministry



has to elaborate the 'Social Protection File', and to design and apply the 'National Socioeconomic Characterisation Survey' (CASEN). Both tools are important to evaluate the efficacy of government programmes and to establish the selection baseline for governmental subsidies.

There are no specific regulations in the Chilean institutional system, regarding housing maintenance, nor parameters to evaluate whether a dwelling maintains good performance or maintenance is being carried out. There are two main regulatory frameworks that address, to some extent, housing quality: Ley general de Urbanismo y Construcciones (General Law of Urbanism and Construction) which provides minimum safety requirements in the design of buildings and extensions, and the 'Ley de Copropiedad Inmobiliaria' (Ley N. 19.537) which establishes administrative and behavioural guidelines for condominium tenure.

## Municipalities

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In Chile, municipalities are in charge of the administration of a commune or group of communes and are defined as an autonomous corporation of public law with legal personality and their own assets. Their ultimate goal is to satisfy the needs of the community and ensure their participation in the progress of the commune (SUBDERE, 2006). Moreover, municipalities, as the lowest level of institution, represent the main connection between the community and public policies. Their main attributions in relation to urban development and housing, are the urban planning of the commune through designing and implementing a long-term development plan compatible with the guidelines given by the central government, and the application of construction regulations and urbanisation according to the laws (OGUC). Santiago de Chile is divided in 37 districts (in Chile there are 346 districts).

In relation to housing quality, every municipality has a Direction of Municipal Works, DOM (*Dirección de Obras Municipales*) in charge of the application and supervision of construction regulations. Every application of housing construction and extensions pass through a revision process in this department, however they do not have the capacity to control those developed outside the law. Municipalities involved in the construction and improvement of social housing also have a Housing Department. The characteristics of this unit change between municipalities, but its main tasks are to provide information and advice to the community about subsidy applications and carry out subsidy projects if they are enrolled as *entidades patrocinantes*. Recently, municipalities such as Santiago and Providencia have incorporated special sub-sections devoted to informing co-owners about co-ownership law and supporting them in cases of legal mediation.

As a result of the housing provision system, social housing (including social condominiums) has been accumulated in the same territories. In some communes the affordable housing stock represents 70% and 80% of the total housing stock. As they have more vulnerable families, these municipalities are also under pressure for social services, but at the same time, have a deficit of financial resources given the prevalence of social housing that is exempted from taxes. Table 2.4 shows the characterisation of the municipalities in Santiago, which concentrates more dwellings in social condominiums. The ICV (Quality of Urban Life Index) provides a general evaluation of commune attributes in terms of housing and built environment, health and environment, sociocultural conditions, business environment, work conditions, connectivity and mobility. While most of the municipalities are below the national average, cases like Ñuñoa, Santiago and Macul are in higher positions (above the average). These cases are well-located districts in which the major proportion of dwellings were built before the 1980s. Conversely, cases such as San Bernardo, La Pintana and El Bosque are within the municipalities that received the highest percentage of social housing after the 1980s (Tapia Zarricueta, 2011). This shows that the problem is not the existence of social condominiums in itself, it is about their distribution and quality.

#	MUNICIPALITIES		POPULATION		DWELLINGS IN SOCIAL CONDOMINIUMS	
	Name	Entidad patrocinante (EP and PSAT)	Total inhabitants	Population below poverty line (CASEN)	Number of dwellings	% of total housing stock in the municipality
1	Puente Alto	Yes	625,533	8.02%	18,375	11%
2	Maipú	No	559,123	5.24%	13,089	8%
3	Ñuñoa	Yes	229,434	2.41%	12,746	14%
4	La Florida	Yes	389,846	3.11%	11,684	10%
5	San Bernardo	No	303,520	9.19%	11,160	12%
6	Quilicura	Yes	224,468	7.82%	9,953	16%
7	Lo Prado	Yes	113,370	5.67%	8,137	30%
8	Renca	Yes	153,266	8.54%	7,870	19%
9	Santiago	Yes	386,471	5.93%	7,352	4%
10	Estacion Central	Yes	146,477	6.16%	6,653	13%
11	Peñalolén	Yes	244,800	4.75%	6,455	10%
12	Macul	Yes	124,905	5.32%	6,401	15%
13	La Pintana	Yes	214,663	13.86%	6,344	13%
14	Pudahuel	No	237,938	7.77%	5,415	8%
15	El Bosque	Yes	195,106	14.54%	5,179	11%

ICVU. Índice de Calidad de Vida Urbana (Index of Quality of Urban Life).	Source: Sistema Nacional de Información Municipal (National System of Municipal Information)	Source: MINVU (2014b) National Cadastre of Social Condominiums and Observatorio Habitacional.
High. Above national average		
Medium. Within national average		
Low. Below national average		
Index based on the following indicators: Housing and built environment, health and environment, sociocultural conditions, business environment, work conditions, connectivity and mobility.		

TABLE 2.4 Characteristics of the 15 municipalities that have more social condominiums. Source: author's elaboration based on: Orellana, A. (2018), SUBDERE (2018), and MINVU (2014b).

### Entidades Patrocinantes. The vehicles of housing policies

An *Entidades Patrocinantes* (assistance entity) can be either a natural or juridical person, public (municipalities) or private, profit or non-profit. They can implement projects of housing construction or housing/ neighbourhood improvements. Their function includes the organisation of the demand, the application for the subsidy and the implementation of the technical and social plan (see Table 2.5). In order to operate,

these entities need to enrol as technical providers and sign an agreement with the MINVU through their regional secretaries (SEREMIs).

The system comprises two type of entities. The first, *Entidades Patrocinantes* (EP) are focused on new housing provision, and *Prestadores de Asistencia Tecnica* (PSAT) are focused on subsidies for improvements. The main difference between them is their technical capacity: while EPs can also develop the functions of PSAT, the latter is only allowed to work on improvements. As PSATs are contained in EPs, we will use the concept of *Entidad Patrocinante* to name both, and we will use the acronyms to specify differences when required.

FUNCTIONS OF ENTIDADES PATROCINANTES (ASSISTANCE ENTITIES)	
General functions	<ul style="list-style-type: none"> <li>– Perform activities for the subsidy application</li> <li>– Design and define the projects of architecture and engineering</li> <li>– Develop the projects and look after their proper construction.</li> <li>– Design and to implement the social plan</li> <li>– Check the accomplishment of current regulations of the subsidy programme</li> <li>– Ensure the financial contribution of the applicant and/or third parties.</li> <li>– Check the technical adequacy of the contractor and the use of the Technical Inspection Manual.</li> <li>– To be in contact with SERVIU (reports, instructions, templates, qualifications, project management, etc.)</li> <li>– Inform SERVIU about new projects</li> </ul>
Specific tasks for Entidades Patrocinantes (EP)	<ul style="list-style-type: none"> <li>– Organise the housing demand</li> <li>– Identify, select and carry out the actions to acquire the land</li> <li>– Design and prepare architecture and engineer projects (land division, urbanisation, possibilities of future extensions, services, environmental permits, edification permit).</li> <li>– Coordination and supervision of construction</li> <li>– Approve sales contract</li> <li>– Design and implement the social plan.</li> </ul>
Specific tasks for Prestadores de Asistencia Tecnica (PSAT)	<ul style="list-style-type: none"> <li>– Evaluate whether the dwelling is eligible for the programme.</li> <li>– Obtain a certificate of social housing or value less than 650 UF.</li> <li>– Design and implement the social plan. In condominiums this plan considers information about co-ownership law and the registration in the CBR.</li> <li>– Hire the building company and supervise the construction at least every week</li> <li>– Obtain the final receipt for the improvement</li> </ul>

TABLE 2.5 Functions and tasks of *Entidades Patrocinantes*. Source: author’s elaboration based on [www.minvu.cl](http://www.minvu.cl)

These assistance entities are classified according to the number of beneficiaries that they are able to assist simultaneously, identifying five categories. Whilst the first category does not have a limitation, the fifth category entities have a limit of 300 beneficiaries at a time. The organisations are paid directly by the government once the process is finished. According to the public information, there are 680 entities in SEREMI’s registers to implement the PPPF and the programmes for social condominiums (PMCS and PRCS) at the national level.

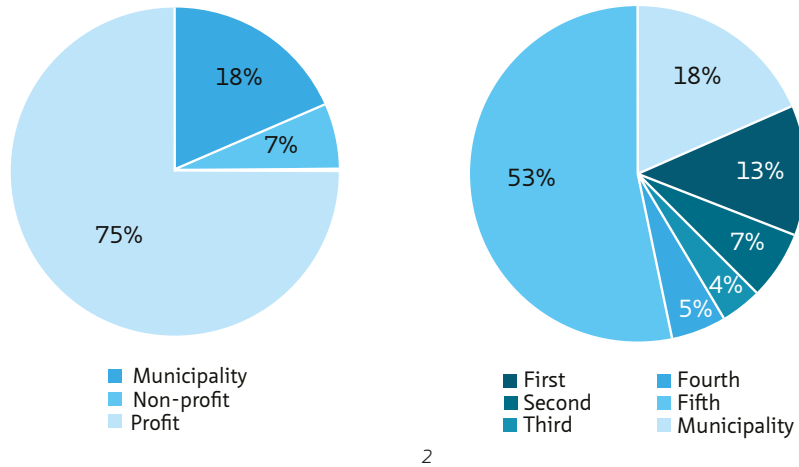


FIGURE 2.8 Entidades patrocinantes (EPs and PSATs) at the Metropolitan Region of Santiago by type of organisation (1) and by category (2). Source: author's elaboration based on MINVU (2015)

Despite the importance of their role as implementers of the housing policies, there is little information about their characteristics and performance. Few reports have evaluated their general performance in subsidy programmes (Cannobbio et al., 2011; Saborido, Miranda & Zamorano, 2010; Sagredo, 2010), and there is no specific report about their performance in programmes for condominium improvements.

The main weaknesses of the relationship between EPs and the state resides in the lack of tools to evaluate their performance, the inefficient implementation of incentives or punishment mechanisms, and the relationship between goals and results, in which there is no consensus about the actual contribution of assistance entities in achieving housing policy goals (Cannobbio et al., 2011). The model has not promoted the participation of the non-profit sector (either municipalities or third sector) in housing policies. Conversely, profit entities are predominant in the market, in which two or three big organisations have taken the most significant share of the demand (Cannobbio et al., 2011). Research has also shown that some assistance entities have neglected social and managerial tasks, which are fulfilled by the same community and their leaders on a voluntary and informal basis (Castillo, 2014). For example, only 67% of the projects in the programme for social condominiums (PMCS) conducted a social plan (Larenas et al., 2016).

Exploratory interviews conducted in 2015 with government professionals, municipalities, *Entidades Patrocinantes* and community leaders provided insights to characterise the behaviour of the different types of EPs in condominium improvements (more information in Appendix A). A summary of the main weaknesses and strengths is

presented in Table 2.6. The main results showed that while the profit sector has more financial and technical capacity compared to the non-profit sector, it is more reluctant to provide services for more complex and vulnerable neighbourhoods. Conversely, non-profit organisations tend to be driven by social goals, and therefore are more willing to work in vulnerable areas. Their financial capacity is more limited, however, affecting their stability in the long term and the size of their portfolios. The main strength identified in municipalities is the accumulated knowledge of the territory and their permanent and physical presence in the areas of the intervention, while the main weaknesses are political bias, bureaucracy and limited operational capacity.

TYPE	COMPOSITION	STRENGTHS	WEAKNESSES
Profit (private)	<ul style="list-style-type: none"> <li>- National-level corporations</li> <li>- Real estate companies</li> <li>- Architecture and construction firms</li> </ul>	<ul style="list-style-type: none"> <li>- Technical and operational capacity</li> <li>- Financial capacity</li> </ul>	<ul style="list-style-type: none"> <li>- Prioritisation of financial interest instead of community needs.</li> <li>- Damaged credibility because of bad practises in the past (fraud, neglect)</li> <li>- They do not attend the most complex and vulnerable cases.</li> </ul>
Non-profit (private)	<ul style="list-style-type: none"> <li>- National and local foundations</li> <li>- Social enterprises</li> <li>- NGOs</li> <li>- Cooperatives</li> </ul>	<ul style="list-style-type: none"> <li>- Special focus on social goals and community needs.</li> <li>- Work with the most vulnerable cases.</li> <li>- Tendency to work beyond the requirements of the subsidy in terms of social impact.</li> </ul>	<ul style="list-style-type: none"> <li>- Paternalistic approaches</li> <li>- Financial and operational capacity</li> <li>- Small portfolio</li> </ul>
Municipality (public)	<ul style="list-style-type: none"> <li>- Municipalities with social housing stock</li> </ul>	<ul style="list-style-type: none"> <li>- Specific knowledge about the community and the territory</li> <li>- Long-term relationships with the community.</li> <li>- Stable presence in the territory</li> </ul>	<ul style="list-style-type: none"> <li>- Prioritisation of political goals.</li> <li>- Financial and operational capacity</li> <li>- Slowness and bureaucracy</li> </ul>

TABLE 2.6 Characteristics of Assistance Entities. Source: exploratory interviews, 2015.

### The third sector

Adopting a broad definition of the third sector, we will refer to two main groups of organisations that have been relevant in housing and neighbourhood policies: (i) foundations, associations and social enterprises (ii) territorial and functional community-based organisations.

## Foundations, associations and social enterprises

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This group encompasses two main sub groups. The first one, foundations and associations, comprises private non-profit organisations that are not regulated by special laws (No Acogidas a Leyes Especiales). These organisations are regulated by common norms, and the main differences reside in the basis for their legal constitution. An association is a group of persons working towards a common objective, and foundations or corporations are patrimonies managed by a board (Soto & Viveros, 2016). In spite of the lack of information about their specific practices, it is possible to identify an interesting trend in relatively new organisations participating in housing provision, housing improvement and neighbourhood renovation activities.

Despite their differences, these organisations share common features in their approach to complex territories, and in their governance models. They are focused on vulnerable groups and have emerged in the last two decades as an alternative to government and the private sector to take care of unsolved social and urban problems. The organisations are mostly comprised of young professionals. Common drivers are the promotion of social inclusion, tackling inequality and situating citizen participation at the centre of the discourse. The main barrier is financial revenue, which affects portfolio management and the size of their human resources. In most of the cases, they rely on a network of voluntary workers to cope with demand, and private donors to strengthen their financial capacity (Pizarro, 2010). Although they usually partner with public institutions or the private sector, they do not frequently partner with other third sector organisation. Each organisation has a recognised social brand, a niche of intervention and a territory across which they usually do not overlap.

Some of these organisations have seen an opportunity in the subsidy system to increase their impact on an area, and their influence on the public agenda as vehicles of housing policies. Being aware of the limitations of this partnership, they adopt a functionalist view in which the subsidy is used as a means to pursue their own agenda. In 2005 *Techo* became *entidad patrocinante*, and is now one of the main non-profit organisations that builds affordable housing with participatory processes in Chile. Similarly, organisations such as *Proyecto Propio*, *Urbanismo Social* or *Habitat para la Humanidad Chile* have intervened in residential areas with social condominiums through the PMCS, providing technical improvements and support to homeowners to organise themselves.

We have included social enterprises in this group. Although there is scarce information about their participation in housing and neighbourhood activities, there are some reports of private and profit organisations performing as *entidad patrocinantes*. Organisations such as *VerdeAzul* combine social goals with hybrid organisational and

financial models. The role of *entidad patrocinantes* implies by definition a niche for social entrepreneurship. Nevertheless, the lack of control and monitoring of their role makes it difficult to distinguish between those that actually fulfil their social goals, and those that neglect them in favour of their own profit.

### **Territorial and community functional organisations**

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This group includes community-based organisations that allow the citizens to organise themselves as formal stakeholders. These organisations work closely with local governments, from which they receive financial and organisational support. Territorial and community-functional organisations are usually the link between external associations and institutions with the residents in a locality. There are three main types within this group: neighbourhood associations (*junta de vecinos*), communal unions and community-functional organisations. The neighbourhood associations, comprised of residents of the same neighbourhood unit (*unidad vecinal*), exist to promote the development of the community, defending their interests and rights (Irrazabal & Streeter, 2016).

Community-functional organisations are non-profit entities with a legal personality that represents the specific values and interests of the community in an area, in the commune or group of communes. Some examples are *comités de vivienda* (housing committee), *comités de allegados* (homeless committee), sporting clubs, or third age associations. It is worth mentioning the role of *comité de vivienda* and *comités de allegados*, which are self-organised residents who gather to collectively apply to the subsidy programme for housing acquisition (FSEV). The role of the leaders in community functional organisations, referred to by some authors as ‘neighbourhood managers’ has been essential during the implementation of housing policies (Castillo, 2013). These leaders, most of them women, are intermediaries between the neighbours and the central and local governments and *entidades patrocinantes*. *They exercise political pressure in local governments and control the performance of EPs and PSATs and builder companies (Castillo, 2013).*

### **The households**

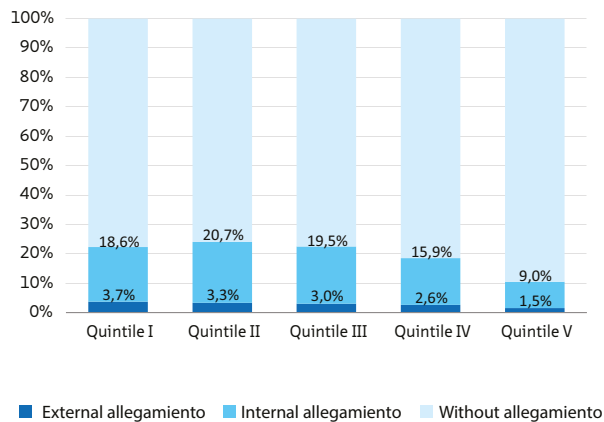
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Inhabitants of social condominiums are the families who applied to the governmental programmes for access to a new house. According to the governmental indicators, these families were below the poverty line and did not have the economic means to afford a house by themselves. They lived in informal settlements or under the situation of ‘allegamiento’ and were relocated in these condominiums. The concept of *allegamiento* is the local term to describe when a family group co-live with one or more



family groups in the same housing unit. In order to access a new house and apply for the subsidies, they have to self-organise (comité de vivienda and comités de allegados) and participate in a long process which is often susceptible to delays, and implies an important workload for the leaders.

Although the indicators of *allegamiento* are considered to calculate the quantitative deficit, the evidence shows that this phenomenon is reproduced in the new housing including social condominiums which is reflected in housing extensions under narrower spatial conditions that mostly allows internal *allegamiento* (Rodríguez & Sugranyes, 2005; Tapia, Araos, & Salinas, 2012). Researchers have pointed out that *allegamiento*- developed under adequate living standards- is not necessarily a negative phenomenon representing a culture way to value family closeness and intergenerational co-habitation (Araos, 2008; Urrutia, Jiron, & Lagos, 2016). Figure 2.9 shows that the phenomenon exists across the different socioeconomic quintiles, nonetheless, the numbers are higher among lower-income groups in which the *allegamiento* rate (internal and external) surpasses the 20% (quintiles I, II and III).



**FIGURE 2.9** *Allegamiento* rate per households by quintile of household income. The graph distinguishes between internal *allegamiento*: family cores that co-live and share alimentacion costs, and external *allegamiento*: households that co-live and do not share alimentacion costs. Source: author's elaboration based on DESUC (2017)

## § 2.2.4 A new debate in housing policies

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After thirty years of consolidation of the neoliberal model, new challenges have been created with regard to the quality of this housing stock. This is reflected in an ongoing debate around Chilean housing policies, which has permeated to the institutional level, at least in the recognition of a qualitative housing deficit as main today's challenge. Since the return to democracy, an important number of research studies have contributed to shaping the debate from the perspective of residential segregation (Brain et al., 2005; Sabatini et al., 2001), limited material progress as consequence of poor design (Salcedo, 2010) and the damage to the social capital in relocation policies (Ducci, 1997; Marquez, 2005).

Acknowledging the importance of these perspectives, we would like to add one more recent debate. Although less discussed and researched, the fourth topic is related to **housing maintenance in the owner-occupied sector and the role of the institutions** that participate in the process. To some extent, the previous discussions convey a problem to which the answer has not yet been unveiled. The problem is the management of the large (and still increasing) low income housing stock that has been built under these policies and the role of the state in post-occupancy processes in the context of private ownership. On the one hand, there is a clear debt from the state regarding the initial quality of the social housing (Ducci, 1997; Sugranyes, 2005). The method chosen by the state to assume responsibility was the provision of subsidies for housing improvements and repairs. Although they have contributed to upgrading the physical conditions of the dwellings, they are reactive policies representing short-term solutions lacking preventive approaches, such as the inclusion of housing maintenance regulations and policies (Vergara, 2016). Entidades patrocinantes, however are mostly for-profit large enterprises that often neglect social goals in favour of financial objectives (Castillo, 2013; Castillo, 2014). This situation jeopardises the success of the housing policies, especially in the implementation of a social and technical plan in concordance with the needs of the community. It hinders the participation of less financially competitive but more socially capable third sector organisations (foundations, associations, social enterprises, territorial and community-functional organisations). They have been relegated to a secondary and instrumental position, despite their potential to be more active in housing production, improvement and management (Castillo, 2014; Vergara, 2016), inside and outside public policies.

## § 2.3 Chapter conclusions

This chapter focused on the societal problem of low income homeownership and the lack of maintenance in Chilean social condominiums. It described the fragility of low income homeownership, especially when governments that promote ownership do not provide the structure of opportunities to maximise the contribution of the house as a productive asset. Two main concepts were introduced, new urban poverty and home induced poverty, in order to explain the consequences when inadequate housing policies produce conditions that perpetuate poverty, such as the generation of unsustainable expenses and social exclusion.

The problem of low income homeownership is more critical in condominium tenure where individual needs are confronted with the collective good. Social and financial constraints diminish the capacity of co-owners to take collective care of building maintenance, especially of the common domain property. Four main challenges were identified in the literature: the financial challenge to keep a collective fund for maintenance, the self-organisation challenge related to voluntary participation in collective actions, the knowledge and cultural challenge regarding the duties associated with collective ownership, and the institutional challenge related to the existence of institutions, regulations and services enabling and regulating maintenance practices.

The promotion of low income homeownership under neoliberal policies in Chile has generated serious problems of housing and neighbourhood deterioration. The model has been widely criticised because of its social and urban impacts, especially in the promotion of residential segregation, the construction of low-quality housing that led to premature deterioration and the generation of new processes of impoverishment. Signs of rapid deterioration in the housing stock have demonstrated the emergence of a new qualitative housing deficit, especially in collective ownership. Medium-rise buildings in condominium tenure, named *Condominios Sociales*, became the icon of the most problematic housing type in terms of low-initial construction quality, neglected maintenance of the common property, organisational shortcomings and social conflict.

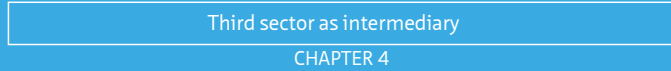
Three main characteristics can be used to summarise the maintenance problem in social condominiums in Chile. The first is the existence of low income homeowners who are currently not able to maintain their properties, and which mostly affects the common domain areas. This situation is the result of multi-causal problems which range from the constructive and architecture deficiencies of the dwellings provided, financial and social constraints of the owners, coexistence and cultural differences between residents with different backgrounds, to deteriorated internal

organisations. Secondly, there is a lack of governmental policies and programmes focused on maintenance and management practices. The new set of subsidy programmes have contributed to upgrading physical conditions and providing basic organisational elements, however they do not provide sustainable solutions or support for homeowners in the long-term with regard to collective maintenance approaches. Thirdly, there has been consolidation of a system that hinders the participation of third sector stakeholders despite their social skills and their increasing contribution in vulnerable areas. The profit sector, through large enterprises, has historically led social housing provision and improvement as vehicles of housing policies (entidades patrocinantes), adopting a market logic and often neglecting social goals in favour of financial objectives. This situation jeopardises the success of the housing policies, but also the participation of third sector organisations which are socially more capable. A new discussion over housing policies is suggested, related to the maintenance and management of owner-occupied housing stock and the role of the institutions that participate in the process.



CHAPTER 1 INTRODUCTION

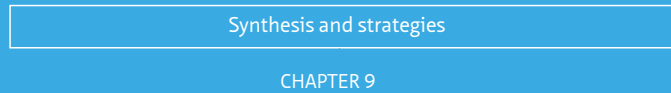
I  
CONCEPTUALISATION



II  
ANALYSIS



III  
PROPOSAL



CHAPTER 10 CONCLUSION

### 3 Affordable condominium management. Dimensions and challenges in Chile

*The previous chapter presented the societal problem of homeownership in the context of vulnerability, and described the characteristics of Chilean housing policies, actors and social housing stock. The main challenges were identified for social condominiums with regards to maintenance and the administration of collectively owned areas. This chapter now discusses the concept of housing management and provides an empirical approach to the societal problem. The main goal is to define housing management dimensions in the context of affordable condominiums, and to understand the relationship of these dimensions in the management of Chilean social condominiums. What are the dimensions of condominium management? What are the particular challenges of these dimensions in the Chilean context?.*

*Section 3.1 defines condominium management in the context of the owner-occupied sector from a multidimensional approach, considering technical, organisational and sociocultural dimensions. This approach is used in Section 3.2 to describe the management of Chilean social condominiums, identifying the main problems according to the perception of stakeholders and residents. Finally, Section 3.3 summarises the main challenges, interdependencies between dimensions and identified areas of intervention for the third sector action.*

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## § 3.1 A multidimensional framework for condominium management: technical, organisational and sociocultural dimensions

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### § 3.1.1 Housing management in the owner-occupied sector and condominium tenure

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The opportunities and benefits derived from ownership are strongly related to the physical conditions of the house. According to Acquaye (2011, p. 20) 'without the means to provide maintenance for their homes, low-income homeowners risk not realizing the much touted benefits of homeownership; instead they may experience unhealthy living conditions for their families, depreciating value of their homes, instability in their neighbourhoods and inability to sustain the gains in low-income homeownership'. The adequate management of the property is therefore a key element to ensuring successful ownership process.

Housing management has been broadly described in the social housing field, especially regarding the role of housing associations in the management of affordable European housing stock (Gruis, Nieboer & Thomas, 2004; Priemus, Dieleman & Clapham, 1999; Straub, 2004; Walker, 2000). In the context of social housing, Priemus et al. (1999, p. 211) defined housing management as 'the set of all activities to produce and allocate housing services from the existing housing stock'. They categorised housing management activities in four main groups: technical (i.e. maintenance, improvements, repair activities), social (i.e. communication, information provision, stimulation of tenants), financial (i.e. rent policy, lending money) and tenure management. They also noted another subdivision that runs across categories, which distinguishes between day-to-day housing management and strategic housing management that sets the priorities for the future.

Maintenance is described as one of the most important tasks of housing management, to ensure the quality conditions in the housing stock. Straub (2002) refers to technical maintenance management in the case of Dutch social housing stock. The author points out that 'maintenance is a combination of all technical and associated administrative actions during the service life to retain a building or its parts in a state in which it can perform its required functions' (Straub, 2012, p. 186). He also refers to the importance of executing the activities at the right time, assuming professional skills and forward planning. Housing management has also been analysed using the social constructionist approach (Clapham, Franklin & Saugeres, 2010; Jacobs & Manzi, 2000), focusing on the relationships between the housing organisations and tenants.



A smaller part of the literature has focused on the management of the owner-occupied sector, and particularly when the property is collectively owned (Ariff & Davies, 2011). General aspects of social housing management, related to the physical conditions of the dwellings and the organisation of the technical tasks, may also apply to the owner-occupied sector, however there are major differences in who is leading the process. In the owner-occupied sector responsibility is on individual homeowners. Decisions about management are therefore strongly related to the financial, cultural and personal situation of homeowners. In single family dwellings, the owner and family have overall control of the maintenance activities, in the case of condominium tenure the management of the building has to deal with the tension between the individual and the group, the dwellings and the complex. As described in Chapter 2, this situation creates social and financial connections between co-owners (Yau, 2013) and complex arrangements for collective decision making to take care of the common property areas which are more subject to deterioration (Donoso & Elsinga, 2016). In order to understand housing management in the context of collective and owner-occupied housing, three main approaches will be reviewed.

In the context of privatised housing stock and according to organisational management theory, Gruis, Tsenkova and Nieboer (2009) developed a framework to analyse and compare housing management characteristics among Western and Eastern European countries, Australia and China. The selected cases had experimented with significant rates of privatisation of their social housing stock since 1990, especially in multi-owned buildings. The aim was to explore the challenges of housing management in privatised housing estates with mixed ownership.

They identified seven elements of housing management; policy/strategy, financial resources, human resources, culture, organisational structure, legal framework and housing quality (Gruis, et al., 2009). In this framework, the main goal of housing management is to maintain the quality of housing, which is the result of interrelated outcomes among the elements. This framework includes elements of management related to the institutional and cultural background, which contribute to the understanding of housing management in light of the specific context. The comparative analysis demonstrated that 'in different cultural settings similar processes and policy interventions can have quite different outcomes and implications in the area of housing management'. The emerging view is that 'housing management in privatised housing is embedded in the specific institutional and cultural contexts, and operates in distinctive ways to influence housing quality' (Gruis, Nieboer & Tsenkova, 2009, p. 282)

Another approach to ownership and housing management is developed from the collective action theory (Olson, 1982) and the condominium is seen as a common pool

or common property resource (CPR) that faces challenges in its collective management (Ostrom, 1990). From this perspective, several authors have focused on governance problems, using the collective action dilemma to explain and to understand homeowner willingness and particularly the lack of it, to participate in maintenance and management activities (Chen & Webster, 2005; Chu, Chang & Sing, 2013; Donoso & Elsinga, 2016; Gao & Ho, 2016; Pérez, 2009; Yau, 2013).

Donoso and Elsinga (2016) applied the Institutional Analysis and Development Framework of Ostrom (2011) to analyse and compare the perceived level of maintenance in low income condominiums in Ecuador and Colombia. The comparison of the cases showed the importance of the law in self-organisation and thus in the perceived maintenance level, but also showed the importance of other aspects such as norms and trust, participation in assembly meetings and adequate physical conditions of the building to be maintained. Knowledge of a maintenance plan was also an important variable in the equation. This framework, also applied by Gao and Ho (2016) in condominiums in Hong Kong, focuses on exogenous factors that might affect the decision making process of maintenance activities (Gao & Ho, 2016). It combines three different institutional characteristics involved in common property management: (1) the communities, (2) governance, and (3) the physical environment.

Another factor in the definition of housing management for the affordable owner-occupied sector can be found in the asset vulnerability framework (Moser, 1998). Although this framework is not directly related to housing management it provides insights into the dynamics of low income owners and its impact on housing management activities. Moser focuses on household perspectives, highlighting the opportunities and the strategies derived from the management of their assets. As described in Chapter 2, the framework emphasises the importance of the house as a productive asset in which homeowners in a context of vulnerability develop strategies for income generation such as building and renting rooms, developing home-based productive activities or giving shelter to the extended family. These actions are also related to intangible acts, such as household relationships and social capital.

The strategies and family dynamics which often arise from informality do not often fit within formal institutions like condominiums. A common example in the Latin American context is the problem faced by resettled families from informal settlements when they move to new housing complexes (Cavalheiro & Abiko, 2015; Marquez, 2005; Teles & González, 2013). Marquez (2005) analysed the behaviour of resettled families in Chile, who tended to reproduce the same cultural and design patterns of informality in the new condominiums, which are usual rigid organisational structures with small dwellings and little potential for adaptation. These patterns responds to a different organisational system in which the boundaries between the public and the

private, although defined, are more flexible (Marquez, 2005). Another example is when the strategies of families to improve their living conditions become a priority, neglecting or postponing actions beyond the family core. These situations entail new challenges with regard to the use of the common property, especially when unplanned and urgent family needs or different residential trajectories clash with the decisions and requirements of the group.

The previous definitions related to housing management provided different approaches to understanding the concept from organisational management theory, common property management and the asset vulnerability framework. Although the frameworks emphasise different aspects of management, considering either internal (directly related to internal management inside the condominium) or external variables (related to the context where the management is carried out), all refer to at least one of these three main areas: the physical domain, related to housing quality; the organisational domain, related to the governance and coordination of resources; or the social domain, related to the characteristics and behaviour of the community who live in these condominiums. A comprehensive framework for housing management in the affordable owner-occupied sector therefore considers the following characteristics:

- The management is a multidimensional process which goes beyond technical features, involving sociocultural and organisational dimensions. The final outcome is to achieve quality in the built environment and to guarantee the value of the house as an asset for vulnerable groups.
- The main actors of the process are the households, with their own socioeconomic and cultural dynamics. The decisions related to the built environment are part of the private domain and are voluntary in nature.
- There are internal and contextual elements that might positively or negatively affect management practices. Internal elements are related to the dynamics inside the condominium and depend on the co-owners as individuals and as a community, and contextual elements are related to the context conditions, and depend on the institutional sphere and its policies.

Housing management for privately-owned affordable condominiums will be defined as a multidimensional process to ensure the proper functioning of the condominium considering three interrelated dimensions: technical, organisational and sociocultural. The condominium is understood as a common property resource, collectively managed by co-owners with the purpose of maintaining the quality of the built environment.

### § 3.1.2 Technical, organisational and sociocultural dimensions and elements

As previously stated, housing management is defined in this research project according to technical, organisational and sociocultural dimensions. Figure 3.1 shows these dimensions and the respective elements that define them. Contextual elements are also considered, since they also affect overall management. This multidimensional framework is intended to describe the characteristics of housing management for low income groups and to identify the main problems and challenges. It also allows the main relationships to be identified between the dimensions and the elements according to the local characteristics of the community and the institutions.

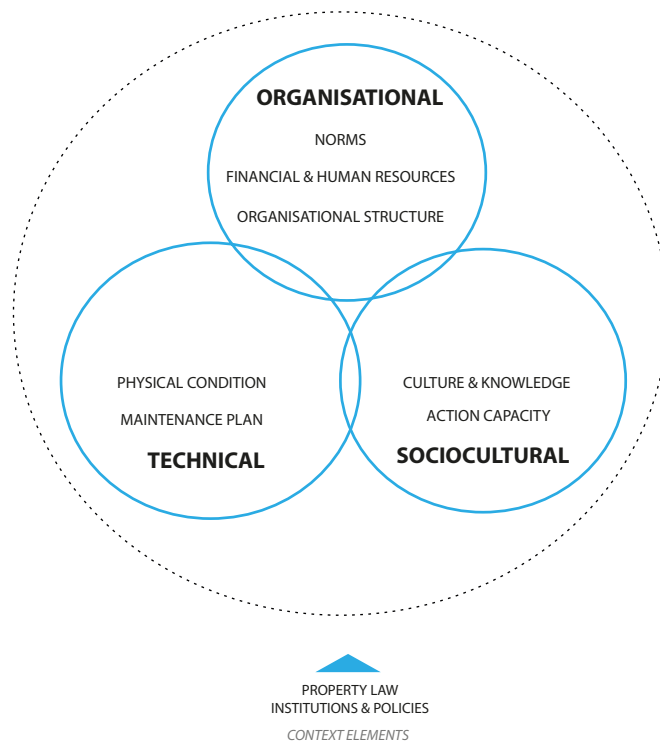


FIGURE 3.1 Housing management dimensions and elements. Source: author's image

The **technical dimension** refers directly to the built environment, considering the characteristics of the constructed facilities and the physical performance of the building in terms of comfort, security, design and aesthetic conditions. In condominiums this involves activities to maintain not only the dwellings but also the common domain areas, such as the structure, façade, roof and shared facilities (corridors, elevator, staircases, meeting rooms, heating/cooling systems etc.). This dimension comprises the following elements:

- Physical conditions: characteristics of the building regarding its structure, thermal comfort, security, design and aesthetic appearance.
- Maintenance plan: activities that are carried out in order to maintain a building or its parts in a state in which it can perform its required functions (Straub, 2012). It distinguishes between type of activities (i.e. improvement and/or repair) and their organisation through time, (i.e. short-term and long-term actions).

The **organisational dimension** refers to the coordination of the human and financial resources required to conduct the technical and administrative activities under the specific internal rules and governance structure embedded in an institutional and legal framework. In condominiums, the decisions are taken by the group of co-owners organised as a homeowner association. In most cases, a board of co-owners coordinates the human and financial resources related to the common domain areas. This dimension considers the following elements:

- Norms: internal formal and informal regulations that establish the conditions to develop and coordinate housing management activities. These regulations can consider operational, sanctioning and monitoring rules according to property law (Donoso & Elsinga, 2016), as well as agreements between co-owners with respect of the use of the common domain property.
- Financial and human resources: internal or internal resources needed for the management.
  - Financial resources: financial capacity to carry out maintenance activities. The resources are divided in two types according to activities: resources for short-term maintenance or routine maintenance, and resources for long-term maintenance, which in collective buildings are part of a maintenance fund. It is also possible to identify internal financial resources that come from the owners' financial capacity and external financial resources that come from government subsidies, affordable loans or other private contributions.
  - Human resources: co-owners and professionals are required to perform and coordinate the administrative and technical activities. Human resources can be either internal or external. Internal human resources are the individuals who belong to the condominiums (for instance, members of the condominium

board, volunteer administrators) and external human resources are professionals or organisations hired by the co-owners (for instance, contractors to perform technical maintenance, property managers or agencies).

- Organisational structure: umbrella institution or group where the activities are carried out. In the case of condominiums the formal structure is the assembly of co-owners represented, named in some contexts as the homeowner association. It also includes alternative organisational structures that contribute to the internal governance.

The **sociocultural dimension** refers to the behaviour of the co-owners as individuals and as a group, with respect to their built environment. This implies a cultural perception and knowledge of maintenance and the willingness to carry out such activities. In condominiums the actions are driven by group benefits and also by individual interests. This dimension is related to the socioeconomic and educational characteristics of the residents but also to the social capital and the cohesion of the community as a group. This dimension is composed of the following elements:

- Culture and knowledge: collective perception and behaviour of the community group about housing management activities. For instance, the perception of maintenance as a collective duty or an individual task, the importance (or not) of maintenance as part of the routine. The culture and knowledge of maintenance is also related to the educational background and residential trajectories of residents.
- Action capacity: the willingness and capacity of co-owners to carry out the management activities. In condominiums this capacity will depend on the collective action of the group working together to achieve the objective of housing management, and the presence of elements such as social capital and trust in the leaders.

In addition to the dimensions and respective elements, the following contextual elements are defined in relation to property law, institutions and policies that impact the overall management of the condominiums.

- Property law: formal legal framework that regulates condominium tenure and defines property rights and obligations.
- Institutions and policies: private or public institutions that participate in condominium management practices at an external governance level. It also comprises the policies that impact the management of the condominiums.

## § 3.2 Housing management challenges in Chilean social condominiums

### § 3.2.1 Co-ownership law and housing maintenance in Chile

In Chile the maintenance of owner-occupied housing stock is a private and individual problem that relies on the financial capacity and willingness of each owner to take care of their properties. In this private-oriented logic, central or local governments do not have the ability to penalise homeowners if they neglect the maintenance of their properties. The regulatory framework that applies to the built housing stock is focused either on safety parameters for housing extensions or administrative regulations for condominiums, and there is no specific guidance about technical or strategic maintenance.

The General Law of Urbanism and Construction (OGUC), in addition to urban and constructive design parameters, establishes requirements to ensure minimum safety conditions in housing extensions (i.e. fire protection, seismic resistance structure, minimum ventilation surface, gas and electrical facilities). Any extension, signed off by an architect or engineer, has to be approved by the Municipal Department of Construction (*Dirección de Obras Municipales, DOM*) after the payment of a municipal fee. Either because of financial constraints or the slow bureaucracy of the system, however, owners do not usually register their extensions. Municipalities do not have the capacity to control this informality, especially those with fewer financial resources. The result is the lack of a register of changes in the owner-occupied housing stock.

The regulatory framework for condominiums is Law N° 19.537 from 1997, the *Ley de Copropiedad Inmobiliaria (Co-ownership Law)*, which establishes administrative and behavioural guidelines for people who live in condominium tenure. This law defines the individual property (apartment or unit) and the common domain property (i.e. structure, façade, roof, elevators, staircases, courtyard, service rooms, parking lot) within a condominium. It also stipulates basic administrative regulations to ensure a healthy living environment. The co-ownership law addresses the following main organisational elements: condominium administrative committee, administrator, co-owners assembly, condominium regulations and monthly expenses for maintenance (see Table 3.1). Condominiums voluntarily choose to organise themselves according to the law. Neither the central government nor municipalities have legal rights or the capacity to enforce implementation.

In 2014, the co-ownership law was modified, introducing one special chapter for social condominiums with the purpose of facilitating organisation among low income owners. The result was less restrictive regulation in terms of quorums for co-owner assemblies. There is more flexibility to create the administrative committee and to assign the administrator, and it gives more rights to the municipalities to allocate additional resources to improve the common property, intervene on behalf of co-owners in cases of coexistence problems, and subdivide social condominiums (MINVU, 2014a).

ORGANISATIONAL ELEMENTS IN CHILEAN CONDOMINIUMS	
1. Condominium administrative committee	Group of people organised and integrated by co-owners. Their task is to manage the condominium. The basic composition of an administrative committee is one chairperson (who is the legal representative of the condominium), one secretary and one treasurer.
2. Administrator	Natural or juridical person designed by the co-owners to carry out condominium management activities. The administrator is an external person from the condominium's administrative committee and their work is paid. In the case of social condominiums the chairperson of the committee can adopt this role on a voluntary basis.
3. Co-owner assembly	Meetings among all co-owners to make decisions about the management of the condominium. There are two types: regular meetings (once a year for the accountability of the condominiums' administrative committee) and special meetings (thematic, according to specific decisions that need to be taken).
4. Regulations	Set of rules that defines the duties and rights of co-owners, emergency plans (fires, earthquakes) and administration scheme. The regulation has to be approved by the co-owners and legalised in the CBR (real estate registrar).
5. Monthly expenses for maintenance	Co-owners have to pay expenses to contribute to the maintenance of areas of common property. The amount is defined by the co-owners and indicated in the regulations.

TABLE 3.1 Organisational elements in Chilean condominiums. Source: Ley de Copropiedad (MINVU, 2015a)

### § 3.2.2 Approaches and methods

In order to obtain a better understanding of housing management problems and challenges in the Chilean context, individual and group interviews with key stakeholders and condominium residents were conducted. The interviews were transcribed and analysed with the atlas.ti software to code and categorise the responses. The activity had two main goals:



- To understand how management processes are perceived by key stakeholders in the Chilean context, namely central government, *entidades patrocinantes*, researchers, and residents.
- To identify the main challenges for Chilean low income homeowners with respect to condominium management practices.

The first group of interviewees included professionals from Chilean public institutions, researchers and *entidades patrocinantes*. The data collection methods consisted of face-to-face and structured interviews. In total, fifteen interviews were performed with three professionals from academia; four professionals from the Ministry of Housing and Urbanism (MINVU) and Housing and Urbanisation Services (SERVIU), and six *entidades patrocinantes*, including for-profit, non-profit and municipalities. Professionals were selected according to their experience in housing maintenance and subsidy programmes related to the improvement of housing and social condominiums. The interviewees had participated either in the design of policy, the supervision of its implementation, the implementation itself, or in research about the topic.

The interview form consisted of six questions. Questions one to four focused on the issues and problems of each management dimension. The fifth question was about their hierarchical order and the last question was about the main opportunities and threats of future courses of action to improve housing maintenance practices. The questionnaire and information about the participants can be found in Appendix A.

The second part of the fieldwork consisted of a group interview with nine residents from seven different social condominiums. The use of a group interview seemed to be appropriate in order to obtain feedback from different condominiums simultaneously, but also to obtain insights based on the group interaction in a controlled discussion setting (Smithson, 2000). The group interview was performed in the Housing Department of Lo Prado's Municipality after working hours, providing the physical facilities without municipal staff that might affect the group interaction. In order to ensure a safe environment, the anonymity of the participants was guaranteed.

Participants were selected according to two main criteria. First, they had to be residents and homeowners in social condominiums recently improved by the Programme of Improvement of Social Condominiums (PMCS). This facilitates information about management problems and challenges before and after the governmental intervention. Second, the participants were also part of their respective administrative committees. The decision to invite only condominium representatives was two-fold. They are more informed about the problems in their condominium and they are also more willing to cooperate in this type of activity.

The interview consisted of seven questions. The first two questions were about the understanding of maintenance, identifying the main activities carried out by the residents. Questions three and four focused on the identification of the main management problems and challenges before and after intervention in the condominium. The last three questions referred to experience with the *entidad patrocinantes* and the lessons acquired during the improvement process. The questionnaire and information about the participants are detailed in Appendix A.

### § 3.2.3 Perception of management dimensions and challenges among Chilean stakeholders

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#### Chilean institutions, researchers and entidades patrocinantes

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Following the questionnaire, the responses were organised into two main parts. The first was the management problems identified for each dimension. The second was the course of action to improve maintenance practices in the future.

Table 3.2 summarises the main issues and problems associated with the technical dimensions of housing management. One of the main concerns mentioned is the general deterioration of the housing stock. There was consensus about the lack of housing maintenance activities and this was further related to a lack of education and knowledge among homeowners about the benefits of maintaining their dwellings, a problem that is present at all socioeconomic levels. They also mentioned specific architectural and constructive problems that commonly affect buildings and houses, such as the presence of toxic material in roofs, poor thermal insulation, problems in building services, lack of ventilation and light, and the structural instability of extensions.

The deterioration of common spaces in co-property was mentioned as a critical issue, considering the consequences at neighbourhood level. It was reported that owners take care of each apartment, but nobody is taking care of the common property areas. Professionals from central government, EPs and researchers mentioned the initial low-quality of social condominiums in terms of construction, location and design and how these problems also impact maintenance activities.

*There are two main reasons for the general deterioration of the social housing stock: the low quality of construction - having basic problems in density, construction and design - and the lack of maintenance (interview, Central Government professional, March, 2015).*

*[The technical problem is] the quality of the existing housing stock, its bad location and the tools to take over maintenance problems are not enough. Housing deterioration contributes to the devaluation of the heritage and [generates] impoverishment (interview, non-profit entidad patrocinante, March, 2015).*

Housing extensions were perceived by researchers, central government and EPs as major problems since they create a risk of collapse due to their precarious conditions. While the informality of the extensions was associated with the complexity of the municipal approval processes, the precariousness was associated with financial constraints and the prevalence of DIY solutions without professional guidance. Researchers pointed out the need to understand the differences between extensions, improvements and maintenance, because they come from different architectural and societal needs.

*The main problems are the extensions in terms of safety and legality. In theory the owner would invest in their house. The problem is that they do not know the technical norms. The [new] model of social housing has been made incrementally, but society does not have the technical tools to do this properly (interview, municipal entidad patrocinante, March, 2015).*

Another point mentioned by for-profit EPs was the limitations of the budget for subsidies for repairs and extensions, which restricts the quality of solutions, to address the needs of families and to incorporate innovation in design. One of the profit EPs mentioned that *'the system offers incentives to implement the easiest solutions, which are cheap and standard solutions'*.

#	TOPICS PER DIMENSION	ELEMENTS ADDRESSED
<b>Technical dimension of condominium management</b>		
1	Need to differentiate between extensions, improvement and maintenance	Maintenance plan
2	General physical deterioration due to the lack of maintenance	Maintenance plan Physical condition
3	Deterioration of common property areas in condominiums	Physical condition
4	Informality and precariousness of housing extensions and safety risks associated with them	Physical condition
5	Lack of quality in solutions implemented due to the lack of financial resources (subsidy and DIY)	Physical condition
6	Initial low-quality conditions of the housing stock	Context – institutions & policies
7	Specific architectural and constructive problems (toxic material in roofs, poor thermal isolation, lack of ventilation)	Physical condition
<b>Organisational dimension of condominium management</b>		
1	Unclear responsibilities in housing maintenance	Context – institutions
2	Community does not trust in the system and its institutions	Norms Context – property law and institutions
3	Limited financial capacity of homeowners to invest in maintenance	Financial resources
4	Entidades Patrocinantes and the externalisation of the work (subsidy process)	Context – institutions
5	Shortcomings in the implementation of the subsidy programmes for improvements (subsidy process)	Context – institutions
6	Passive homeowners and decrease of collective organisation	Organisational structure
7	Sustainability and success of the interventions (subsidy process)	Context – institutions
8	Inexistence of policies about maintenance	Context – institutions & policies
<b>Sociocultural dimension of condominium management</b>		
1	Lack of awareness and education about housing maintenance	Culture & knowledge
2	Problems of community organisation and individualism among households	Action capacity
3	Lack of knowledge about the co-property law	Culture & knowledge Norms
4	Reproduction of behaviour patterns of informal settlements in new houses	Culture & knowledge
5	Lack of commitment of families to take care of the projects after completion (subsidy process)	Action capacity
6	Families priorities and allegamiento	Culture & knowledge
7	New type of society and poverty	Action capacity
8	Quality of neighbourhoods and buildings impacts on mental wellbeing	Action capacity

*\*In grey, the topics that were mentioned at least by one participant per type of stakeholder*

**TABLE 3.2** Technical, organisational and sociocultural issues in housing maintenance mentioned by interviewees and categorised by internal and context elements.

In the organisational dimension (see Table 3.2), participants from academia, central government and EPs raised the question of who should be responsible for the maintenance of the housing stock and to what extent it is a homeowner or central government task. Some considered it a homeowner responsibility due to it being private property. Others argued that it is a government debt to the families, due to the initial low quality of the design of social condominiums, especially regarding responsibility for common spaces in condominium tenure. They also pointed out the limited financial capacity of homeowners to invest in maintenance and the lack of policies focused on maintenance.

EPs perceived that homeowners do not trust the system or the organisations. It was indicated that *'the majority of social condominiums are not legalised according to the co-ownership law. To be a formal condominium is not perceived as a positive feature by homeowners and tenants'* (interviews, non-profit Entidad patrocinante, March 2015). Non-profit organisations and researchers reported that homeowners and communities are passive actors in the subsidy system, which is also reflected in the decrease of collective organisation. One current important challenge mentioned is *'to strengthen internal organisations and the management of condominiums'* (Interview, MINVU professional, March 2015).

Most of the answers were related to contextual variables, however, and specifically the process of the subsidy for improvements rather than internal organisational problems in condominiums. One of these points was the externalisation of the work and the performance of *entidades patrocinantes*. Opinion was divided between both government organisms. SERVIU professionals felt that the high participation of intermediary organisations in the process is a weakness, because the success or failure of the programme is out of government control. Conversely, MINVU see it as the solution to the lack of governmental human resources. Researchers and central government professionals mentioned the need for mechanisms to assess the results of the subsidy in terms of the sustainability of the programmes and success of the interventions over time.

For some EPs and researchers the subsidy process is complex, especially in administrative paperwork. EPs also noted that this complexity has discouraged families from applying. They made positive remarks regarding the transparency of qualification criteria, however, and the results of short-term interventions. Another issue reported was the shortcomings of the allocation of financial resources and the limited offer of builders to work on small scale projects.

The sociocultural dimension of housing management was recognised as a relevant dimension, especially its relationship with technical and organisational problems. The first topic mentioned was the importance of awareness and education about housing

maintenance and about living in a condominium. There is a general perception from researchers, government and *entidades patrocinantes* that housing maintenance is not fully incorporated into cultural behaviour. The lack of education about maintenance activities was mentioned as a major concern, even more important than financial problems. This knowledge gap is also related to co-property, where the lack of knowledge about duties has led to problems regarding the use of the common and public spaces. The appropriation of common ground was associated with the need to increase security but also to power-related issues. Participants perceive individualism among homeowners when they have to pursue common goals.

*There is lack of knowledge about how to live in these dwellings, there is an educational vulnerability rather than financial. Some families continue living in the same way [making reference to relocated families from slums] even though they have a new house or they have improved their houses (...) the main goal for us is to address family awareness about the importance of housing maintenance (interview, municipal entidad patrocinantes, March 2015)*

*The main reason for the most deteriorated houses is the lack of education and awareness about housing maintenance, rather than financial problems (interview, profit entidad patrocinante, March 2015)*

*People do not understand the difference between individual property and common property(...) they feel insecure and erect a fence, and close common property areas (interview, profit entidad patrocinante, March 2015)*

Despite the lack of specific knowledge about maintenance, it was also argued by a non-profit EP that families nowadays have better financial situations in general than previous generations, as well as greater access to higher education opportunities. Nevertheless, this is a generation of homeowners still unknown by the government.

Another important topic for all participants was family priorities and *allegamiento*. They explained that maintenance activities and the quality of extensions have been displaced by structural family problems. They argued that peoples' priorities are related to obtaining more floor space for their extended family, improving their security in hostile environments and to acquiring goods. It was also noted that '*extensions are built from the first day families start living in the new houses, and they reproduce the same living conditions as in the slums*' (interview, SERVIU professional, March 2016). It was emphasised that the *allegamiento* in itself is not the problem, the problem is how the families build the extensions on the site.

Municipal EP and SERVIU professionals pointed out that the housing policy based on subsidies has generated a lack of commitment by homeowners to take care of their projects after completion. Finally, researchers and EPs pointed out the impact of neighbourhood deterioration on families' mental wellbeing, especially regarding the initial low-quality of the housing stock.

The three dimensions of housing management were recognised as relevant by the external stakeholders and understood as strongly related variables, however when providing a hierarchical order, answers from the central government and *entidades patrocinantes* emphasised the importance of sociocultural dimensions considering its effect on the other dimensions. In the case of the central government, current priorities are focused on increasing family participation in the subsidy programme and community empowerment in social condominiums. *Entidades patrocinantes* referred to homeowner education and the strengthening of community organisations as their main concerns.

The last questions were about opportunities and threats in the future of housing management. The responses showed a broad spectrum when it comes to opportunities. There are responses related to specific initiatives to reinforce community organisation and to educate homeowners, such as developing training programmes for the community and management networks for social condominiums. Another opportunity has been detected in the role of municipalities in managing the territory and giving support to families for maintenance activities.

Opportunities regarding the implementation of a rental system and the improvement of housing quality in new houses were mentioned when discussing the housing policy system, in order to facilitate maintenance activities and to reduce deterioration problems in the future. The experts also noted the importance of establishing a new point of view to tackle problems beyond housing issues, considering housing, economy, locality and transportation.

The experts noted the lack of productivity and commitment from government employees as threats to improving the current system. There is also a lack of trust in the system from community organisations, and the big challenge of changing people's behaviour. The focus on excessive profitability by the private sector, and the inadequate management of community participation in the subsidy programme were also considered threats.

The consensus among the interviewees over some topics allows some key problems of cross-party concern to be identified in the current context (indicated in grey in Table 3.2). Researchers, central government and *entidades patrocinantes* agreed about the existence of a deterioration pattern in the housing stock, especially affecting the condition of common spaces in social condominiums, as well as the risk associated

with informal extensions. There is consensus on the sociocultural issues about the lack of awareness and education regarding housing maintenance activities among homeowners, the presence of *allegamiento* and other family priorities which affect maintenance activities and the difficulties of community organisation in condominium tenure. There is consensus over the lack of clarity of the duties and responsibilities of the management of the current housing stock.

### Condominium residents

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The participant's answers were organised into three main topics: first the discussion about the main maintenance activities commonly practiced in their condominium, secondly the identification of management problems, before and after the intervention, and thirdly, the experience and lessons from the implementation of the improvement in the condominium. The management problems were organised according to the different dimensions (Table 3.3). It is worth mentioning that six out nine participants were women. The prevalence of women leading voluntary organisations is representative of housing committees and neighbourhood associations.

Participants were asked about common maintenance practices. Some of the answers noted activities such as the improvement of their own houses, sweeping common areas, or watering gardens, but these are individual and spontaneous initiatives. There were no references to a maintenance plan or permanent coordinated actions. The only example of collective activities was fundraising for specific situations such as a funeral to economically support a family, to perform urgent minor repairs at the block level (one building) or to apply for the subsidy programme. *To collect the money [to apply for the subsidy] we started to organise lunches, hold raffles, completadas [popular name for the activity to prepare and sell sandwiches]... so the neighbours [were] well organised, we sold everything and we collected the money to apply (Resident A).*

In all the cases, the improvement carried out under the programme of social condominiums PMSC was the first project to improve the common property domain since the condominium was built, which in some cases was 38 years ago. One of the participants mentioned that *maintenance was in general individual, or there was some agreement between neighbours on a block where they defined what to do and then some funds were collected to improve things, but they were minor repairs (Resident A).* It was noted that the participants talked in past tense when they mentioned maintenance activities or the lack of them. While this shows that the improvement project has had an important impact on the condominium, it does not yet show any sign of a change of behaviour regarding maintenance practices.



Participants noted a generalised and critical physical deterioration of the condominium as the main management problem before the intervention. They noted technical problems such as deteriorated roofs, the presence of contaminant materials (asbestos), collapse of rain gutters, presence of plagues of animals, structural damage due to earthquakes (especially in staircases), common courtyards converted into rubbish areas and emergency exits blocked by informal extensions. *We had everything [referring to technical problems], from plagues of pigeons, street dogs, to leaking roofs(...) there were a lot of people who had a roof leaking, and I didn't know that some neighbours had a hole in the roof (Resident A).* Another problem noted was the lack of knowledge about the co-property law and the use of the common domain areas. Some participants reported that they did not know that some areas of the condominium were collective, or if they knew it, they did not have the tools and information about how to proceed in the case of illegal appropriation of common ground. They also noted the individualism among the residents and the lack of interaction between neighbours. Despite the lack of awareness of the co-property law and the low interaction, some noted informal arrangements between neighbours in the case of extensions on upper floors or the use of common areas as parking places, however they were usually two-sided agreements between two neighbours, which did not involve the whole community.

*I lived on a second floor and the person on the ground floor asked me if I was ok if he closed the entrance for safety reasons. I told him: If you don't mind if I park a car there in the future, I'm ok that you close it. He told me that it was ok (...) [afterwards] I had a car, and he [the neighbour] told me to make a copy of the keys [of the entrance] to park the car, and no problem at all, because this belongs to all the neighbours, this is about coexistence and was before all of this arrived (Resident B, group interview, January 2016).*

A recurring element during the conversation was the fact of it being a *copropiedad* (condominium) and the benefits associated with it. Participants constantly noted the situation 'before we became a condominium', or 'before all of this arrived' or even 'the co-property movement' indicating the importance of the legalisation of the condominium as new starting point to set up rules and to improve the quality of life.

*...because all this movement of co-property has emerged as social change when we became a condominium, because everything started all over again... we started with an important project of fences, an important improvement to the dwellings, roof replacement, new lighting, everything because of that (...) before the co-property was established the people were indifferent because you live in your own square meter and you are not interested in what happens beyond that (...) when we became a co-property the rules started as well, because you have to change people's minds, everybody wants to live better, safer, cleaner and decent. (Resident A, group interview, January 2016)*

One of the most commonly noted current management problems is the appropriation of common areas on the ground floor and the side-effects in terms of safety and coexistence. Participants noted that residents on the ground floor take advantage of their situation, obtaining extra floor space, making profits from renting parking areas that belong to the whole condominium or converting these appropriations into rubbish areas. *In our building we had an exit, but a neighbour added a room, and now she has converted it in a shop, and she closed the exit (Resident D); the people are appropriating and fencing off the ground floor, so is difficult to get out in case of emergency (Resident B); I think the people on upper floors have too much empathy with the people on the ground floor, their courtyards are usually full of garbage (Resident A)*, however some residents pointed out that the extensions on upper floors are made because they need space for basic activities.

Participants associated the misuse of common property with knowledge and behavioural problems among the residents. Knowledge problems are related to a lack of awareness about the use of the common property as well as a reluctance to become formal condominiums. The upgrading of the condominium to legal status is related to assuming further financial responsibilities. *It has been very hard to talk to the people about it [the co-property law] especially those who are afraid of the law, because of the garbage collection taxes or the monthly expenses' (Resident D); we are poor people, but also poor of knowledge (Resident A)*. Some argued that, In addition to knowledge, it is also a problem in the attitudes of the residents who take advantage for their own benefit, or do not want to make collective efforts like keeping the common areas clean, take care of the gardens or cooperate on new projects. *We all like to receive benefits, but no one wants to strive to have them or be proactive on the topic, they just want to wait for them to arrive (Resident H); When I'm watering the garden some people have asked me how much I get paid for doing it, I reply that I do it because I want to (...) or people of the second floor do not keep the access clean because it is not on their floor (Resident C.)*

Participation was also noted as something necessary, especially because the people who do not participate are the ones that complain the most. The residents noted that changing people's minds is too complicated. *People do not participate in the meetings because they do not want to overcomplicate their lives, they don't care, they live in their own space (Resident B); I feel ashamed when the people afterwards forget about these things (the improvements) because generally the people who do not participate are the people who complain, they have all the problems and do not trust anyone. (Resident A)*.

The residents, as members of the administrative committees, also referred to problems related to trust in the administration of financial resources. Most of the participants pointed out difficulties of collecting the money to apply for the subsidy or for the monthly expenses. They also have to convince the residents of the good use of the

money, which is mostly to have a collective fund in case of emergencies. One of the most recurrent concerns of the residents is that the committee will use the money for personal purposes. In some cases, they have implemented internal mechanisms of supervision and reporting to prevent misunderstandings. Another issue was the workload and the pressure on the committee. They feel taken for granted by the residents, who often forget that their work is voluntary. *The people think that it is our duty to do this, some of them say: you got involved in this, you have to know how to do it (...) the people put pressure on you (Resident C); and if something does not work out, we are responsible (Resident D).* Other problem discussed was the difficulty of organising big condominiums, especially when the governance overlaps with neighbourhood associations, creating conflicts between the organisational bodies.

#	MANAGEMENT PROBLEMS NOTED BY THE RESIDENTS	ELEMENTS ADDRESSED
<b>Technical dimension</b>		
1	Appropriation of common property on the ground floor blocking emergency exits	Physical conditions
2	General critical physical deterioration	Maintenance plan
3	Specific architectural problems (deteriorated roofs, presence of contaminant materials (asbestos), collapse of rain gutters, structural damage due to earthquakes)	Physical conditions
4	Existence of plagues of animals and insects	Physical conditions
5	Courtyards converted into rubbish areas	Maintenance plan
6	Initial low-quality - need for space and extensions on upper floors	Context – institutions & policies
<b>Organisational dimension</b>		
1	Reluctance to pay monthly expenses	Financial resources
2	Workload for committee members	Human resources
3	Residents are reluctant to become a formal condominium	Organisational structure
4	Municipality could give more support to condominiums	Context – institutions & policies
5	Overlapping roles and conflicts with neighbourhood associations	Context – institutions & policies
6	Bilateral and informal agreements between co-owners to use common areas	Norms
7	Difficulties in organising big condominiums	Organisational structure
<b>Sociocultural dimension</b>		
1	Bad habits and negative attitudes among residents	Culture & knowledge
2	Individualism about cooperating and participating in collective initiatives	Action capacity
3	Distrust in the administrative committee	Action capacity
4	Conflicts between residents, especially between ground floor and upper floor residents	Culture & knowledge
5	Lack of knowledge about duties and rights regarding co-ownership	Culture & knowledge Norms

TABLE 3.3 Categorisation of management problems reported by the residents according to dimensions and elements.

Participants were also asked about their experience in the improvement of the condominium. There were positive comments regarding the performance of the *entidad patrocinante*, related to the performance of the municipal EP from the condominium that worked with them, but also from other condominiums that would like to work with the municipality in the future after having a negative experience with for-profit EPs. They highlighted the availability of the municipal professionals to answer their questions, the informative meetings and their presence during the construction. Opinions were divided about private and profit EPs. One participant noted that the performance of one of the private EPs was adequate, despite several problems and delays, the project was finished and they provided a solution. Conversely, several condominiums had problems with other for-profit EPs. The most common problem involved the decision-making process to decide the type of improvements. The EP imposed one solution, restricting the right of the residents to decide upon their own project. Other problems were the quality of the work and low responses in aftercare stages, failures to manage big condominiums, delays in the execution, and the use of cheap material by the contractors to save costs. They indicated that they will not work with that entity again.

An important element during the discussion was the knowledge exchanged between participants. A difference in the knowledge and expertise was noted between those who have worked or been in touch with the municipal EP and those who have only been informed through private entities. Leaders that worked closely with the municipality were better informed about the intervention in the condominium, the subsidy process and the co-property law. At some points of the conversation they started to explain and give advice to less experienced leaders. They also appreciated the opportunity of the group interview to meet each other and hear the experience of other leaders and condominiums.

The leaders recognised that they were now better prepared to undertake a new project, and had more tools to negotiate with *entidades patrocinantes*. *We had some issues in the project that I did not like it, but I did not know how to tell the building company that the materials would get wet (...). So now, we are more empowered with more experience. Now (I can tell them) I don't like it, you cannot use that material (Resident E, group interview, January 2016). Some of the leaders have more knowledge about how to proceed if there are problems in the implementation of the subsidy, how to get a legal notification to force the dismantlement of illegal appropriations, or know who to contact in the municipality.*

As previously noted, the fact of being a formal condominium had a positive impact on internal organisation, and most were planning to apply for another subsidy. They pointed out that now, as a condominium, they have more visibility and ability to ask for support in the municipality. They emphasised that now *we are not NN [unknown] in the municipality*

*anymore, so it gives you the right to ask more things and the municipality gives you these things (Resident B, group interview, January 2016).* Some of the benefits that they have received are trees, green areas, alarms in the apartments and garbage receptacles. Although the new status of condominiums have opened new relationships with the municipality, it has not created financial independence as an organisation and it does not necessarily mean the creation of social capital. The role of the municipality was also noted in the conversation, especially regarding the need for more interventions inside the condominiums, and more informative meetings with the residents.

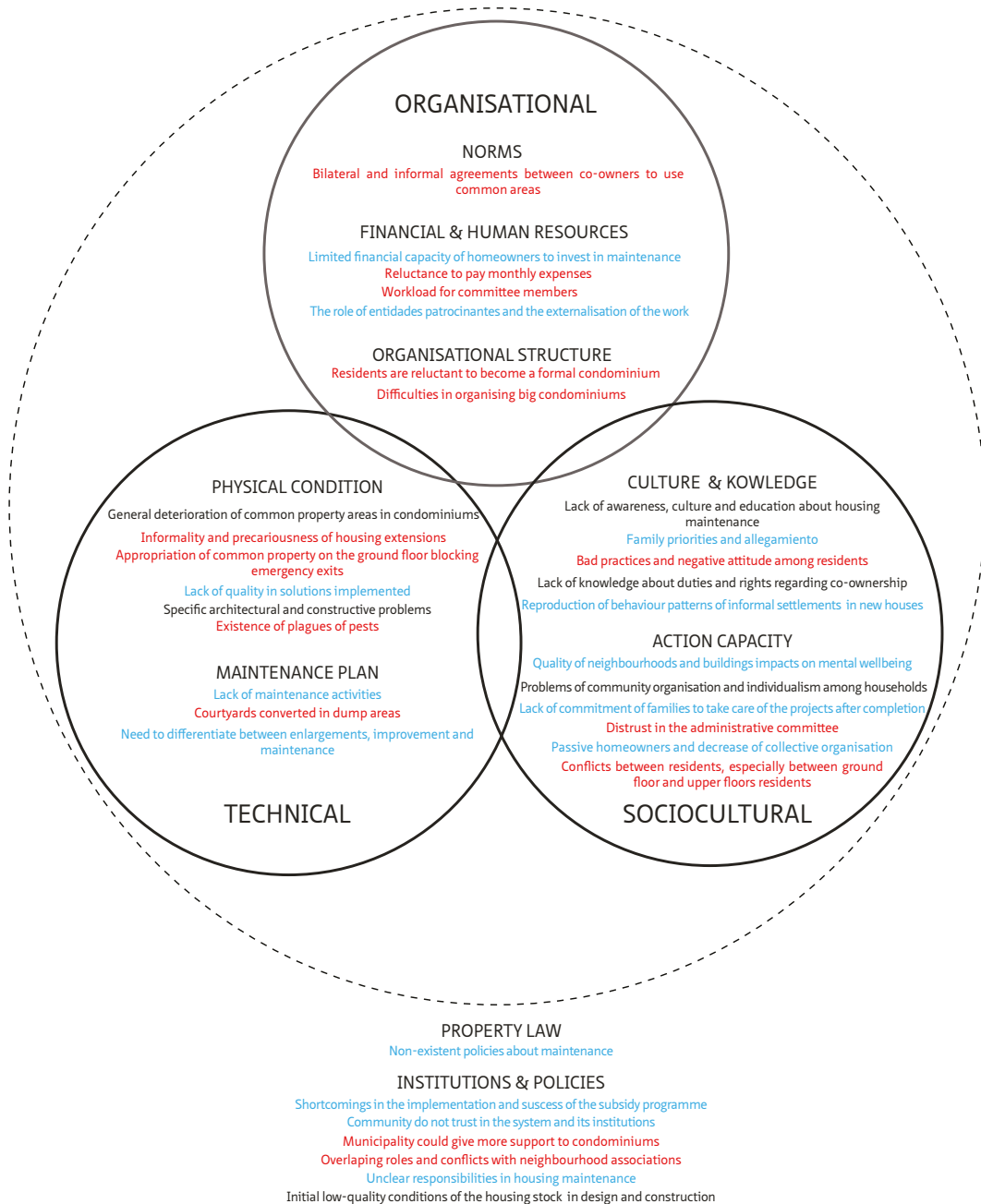
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### § 3.3 Interdependencies in the multidimensional approach and the main challenges for Chilean condominiums

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Figure 3.2 summarises the management problems identified by external and internal stakeholders, providing a general picture of the situation in social condominiums in Santiago. The problems noted by the external participants are represented in blue, the problems noted by the residents are indicated in red, and the problems noted by both in black. There are three main topics in which the visions of the participants conveyed: first, the general and critical physical deterioration of the condominiums, especially affecting the common property areas and the associated architectural problems; second, the individualism among neighbours against acting collectively; and third, the lack of knowledge about the duties and rights of co-ownership. Other relevant topics were also recognised, and slight differences in the perception of the same problems were identified. For instance, in the case of the organisational dimension and financial resources, the external vision pointed out the limited financial capacity, and the residents noted an unwillingness or reluctance to pay due to distrust in their leaders, as another variable. Another example is the technical dimension and the physical condition of the condominiums. Extensions and appropriations are identified as equally problematic by external stakeholders, but residents emphasised the appropriations of common ground as the most divisive issue.

Although the dimensions can be understood independently, interviewees noted several problems with origins or consequences closely related to other dimensions. It is therefore possible to identify some interdependences among organisational, technical and sociocultural aspects of the management problem. In these relationships we distinguish between those that trigger problems in other dimensions and those that are the result of the former. We would like to highlight five interrelationships that were relevant to the stakeholders.



**FIGURE 3.2** Summary of management problems identified by external stakeholder (blue), residents (red) and both (black)s. Source: author's image.

- 1 **Culture and knowledge shortcomings (sociocultural) and the impact on physical condition (technical).** The lack of awareness and education about maintenance, as well as bad habits among neighbours were identified as triggers of the general deterioration of common areas due to neglected maintenance, the creation of rubbish areas inside condominiums and difficulties eradicating plagues. Similarly, a lack of knowledge about duties and rights, along with individualistic actions is reflected in neglected maintenance in common areas, the illegal appropriation of the ground floor or bilateral agreements which did not pass the approval of the whole condominium.
- 2 **Physical interventions in the common property (technical) and the impact on the action capacity of residents (sociocultural).** Informal appropriations of common property on the ground floor were identified as a source of conflict between residents, especially when these constructions threaten the free enjoyment of the common area.
- 3 **Distrust in leaders and institutions (sociocultural) and the impact on financial resources (organisational).** Distrust in the administrative committee triggers reluctance to pay monthly expenses for maintenance. A general distrust in institutions generates reluctance to become a formal condominium.
- 4 **Specific cultural patterns of living (sociocultural) combined with limited financial and human resources (organisational) and the impact on the physical condition (technical).** DIY solutions are often precarious constructions built without professional advice and driven by urgent family needs. This combination generates low quality and informal extensions.
- 5 **Low quality construction and design shortcomings in condominiums (context-policies) impact the action capacity of residents (sociocultural).** The size of the condominium and initial low-quality of the constructed facilities have negative consequences on the internal organisation and the mental wellbeing of their residents.  
 Whilst the physical deterioration is the most urgent problem, the importance of sociocultural problems related to knowledge and culture about maintenance, trust and individualism arose during the discussion as important triggers for organisational and technical problems. Sociocultural elements such as culture and knowledge, and action capacity play a role in consolidating organisational elements such as organisational structure, and human and financial resources. They also play a role in technical elements such as physical conditions and maintenance plans, however the context of technical elements (low-quality in terms of facilities and design) is an initial handicap for maintenance, generating a vicious circle between an initial poor design and quality that affects the action capacity of residents, which aggravates the physical deterioration and so forth.

It is necessary to understand the contextual factors, most identified by external stakeholders, in order to understand problems that go beyond the resident's capacities, and therefore cannot be solved within the condominium organisation. While some have been already noted in Chapter 2, It is worth mentioning the new insights regarding the shortcomings in the implementation of the subsidy programme noted by the stakeholders, which were validated by the resident perceptions and behaviour during the group interview. The heterogeneous performance of EPs was reflected in differences between the knowledge and expertise of leaders. The solutions implemented in the condominium were an important milestone in terms of sense of community and physical upgrade of the built environment. Several challenges remain unsolved, however, with regards condominium management, such as the creation of maintenance practices, development of financial mechanisms and solutions to internal conflicts regarding the use of common areas. Another interesting element was the importance of the municipality to condominium residents and the need for a greater presence in condominium matters, especially regarding information for co-owners. The conflicts noted by the residents between internal condominium organisations and external territorial organisations like neighbourhood associations were also relevant in the diagnosis.

The identification of technical, organisational and sociocultural challenges in condominium management leads to two main considerations for potential solutions. the first is the identification of two main condominium conditions based on the different status of the challenges before and after the interventions developed under the subsidy programme. Although these changes are not structural, they do represent a milestone and an upgrade in condominium management conditions in the three dimensions. Secondly, it is important to distinguish between the challenges that can be addressed by the third sector intermediaries and those that depend on other institutional levels, such as municipalities and central government. This leads to the identification of areas for intermediation in which third; sector organisations might play a significant role: (1) the upgrade of physical conditions of deteriorated condominiums, (2) the engagement of communities and consolidation of leadership with regards maintenance and management; (3) the preparation of the community and their leaders to manage their properties; (4) professional support regarding long-term management; and (5) the promotion of better coexistence and reduction of conflict related to the use of the common property.



## § 3.4 Conclusions

The definition of a comprehensive framework for housing management in the context of low income homeownership entails an important challenge with regards the role of co-owners as the main actors in the process, individually and collectively. After revision consideration of the different approaches to understanding the concept in an organisational management theory, common property management and the asset vulnerability framework, a multidimensional approach was proposed. Housing management for privately-owned affordable condominiums was defined as a multidimensional process with three main interrelated dimensions: technical, organisational and sociocultural. The condominium is understood as a common property resource, collectively managed by co-owners in order to maintain the quality of the built environment. Each dimension is defined by internal elements related to the internal dynamics of condominiums. Related contextual elements such as property law and institutions and policies were defined.

The multidimensional approach was used to analyse the management of social condominiums from the perspective of stakeholders, represented by professionals from governmental institutions (SERVIU and MINVU), researchers and *entidades patrocinantes* (municipal, for-profit and non-profit); and by condominium's residents, members of their administrative committees. The main results showed the importance of the sociocultural dimension as a trigger for other management problems, in which the main challenges are general deterioration, the lack of a culture of maintenance, knowledge gaps regarding duties and responsibilities in condominium tenure, and individualism among homeowners, limiting their capacity for action. External stakeholders such as central government professionals and researchers contributed to characterise contextual elements, and residents and *entidades patrocinantes* provided more details about internal elements and dynamics in condominiums.

Based on the challenges identified, the chapter concludes with the definition of two main considerations for future actions. The first is the identification of two main condominium conditions based on the status of the challenges after the interventions developed under the subsidy programme. The second is the distinction of five intervention areas in which the third sector might play a significant role.

CHAPTER 1 INTRODUCTION

I  
CONCEPTUALISATION

Low-income homeownership | Condominium management  
CHAPTER 2 | CHAPTER 3

Third sector as intermediary  
CHAPTER 4

II  
ANALYSIS

Case study design and selection  
CHAPTER 5

Case study A Local | Case study B International | Case study C International  
CHAPTER 6 | CHAPTER 7 | CHAPTER 8

III  
PROPOSAL

Synthesis and strategies  
CHAPTER 9

Validation

CHAPTER 10 CONCLUSION

## 4 The potential role of the third sector in condominium management: development of an analytical framework

*Chapter 2 and Chapter 3 defined the societal and knowledge problem regarding low income homeownership and condominium management. Chapter 2 elaborated on the relationship between low income homeownership and maintenance problems. Chilean housing policies, actors and affordable housing stock were characterised, identifying the elements that have contributed to the rapid deterioration of social condominiums. The main elements are: (i) the specific characteristics of social condominiums and their residents, which combine the worst initial quality and the most critical maintenance problems in the common property areas, (ii) the promotion of low income homeownership under precarious conditions and weak institutional support, contributing to unsuccessful ownership processes, and (iii) the limited actors (profit and non-profit) and actions related to the improvement of social condominiums outside the subsidy programmes. After framing the general problem, Chapter 3 expanded on the condominium management challenges faced by Chilean condominium residents. The analysis used a multidimensional perspective considering technical, organisational and sociocultural characteristics. The main challenges are the lack of culture about maintenance, limited financial capacity, knowledge gaps regarding duties and responsibilities in condominium tenure, generalised distrust and individualism among homeowners. The main results showed the importance of sociocultural problems and the need for external support for low income owners especially as regards the provision of knowledge, the engagement of the community in maintenance, the promotion of good coexistence and the use of common property, and professional support and advice regarding management. This chapter thus introduces third sector organisations as solutions in condominium management and their role as intermediaries implementing services and catalysing management practices in disadvantaged contexts. The aim is to define their role in housing management activities and develop the methodological tools to analyse their practices and consider their possible contributions. The main question is: What types of roles and interventions can be distinguished regarding the contribution of third sector organisations in the improvement of condominium management practices in deprived contexts?*

*Based on the literature, Section 4.1 provides a definition of third sector organisations in housing activities and their contribution to social innovation in deprived contexts, identifying two elements: intermediation and institutionalisation. The first describe the practices, and the second refers to the institutional support for these interventions. In order to understand the dynamics and practices in the field, Section 4.2 focuses on the intermediary role, describing different sets of roles and activities associated with condominium management. The chapter concludes with Section 4.3, presenting an analytical framework with which to describe and evaluate the interventions of third sector organisations in condominiums. This framework is used in the next chapters to analyse the selected local and international experiences of third sector organisations improving management practises in affordable condominiums.*

## § 4.1 Third sector, deprived communities and social innovation

From the perspective of a solidarity-based economy, the third sector is viewed as an intermediate space where market, the state and society converge (Defourny, 2009). Acknowledging their hybridity and changeability (Brandsen, van de Donk & Putters, 2005), third sector organisations share common features such as their aim to 'provide good or services to their members or to a community, rather than generating profits' and specific governance rules which seek 'independent management, democratic decision making process and primacy of people and labour over capital in the distribution of income' (Defourny & Nyssens, 2014, p. 42). In this chapter, we will refer to the third sector as the umbrella for different types of organisations which are neither part of the commercial nor the public sector, such as social enterprises, NGOS, foundations, not-for-profit and non-profit organisations (see Figure 4.1). We will then focus on third sector organisations that contribute to housing management activities and work in vulnerable contexts.

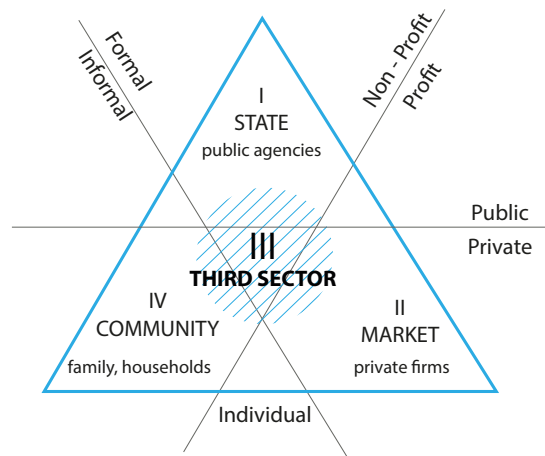


FIGURE 4.1 Third sector organisations between the state, the market and the community. Source: author's image based on Brandsen, van de Donk & Putters (2005)

According to Defourny (2009), third sector organisations have been active in the production of quasi-public goods, the redistribution of resources and provision of services to deprived sectors. Third sector organisations have also been necessary in overcoming market and state failures while proposing social change in developing and emerging countries (Tello-Rozas, 2016). The third sector has been historically

associated with social innovation, entrepreneurial dynamics and the invention of new types of services to take up contemporary challenges (Defourny & Nyssens, 2014). According to Edwards-Schachter and Wallace (2017), the presence of the third sector in the social innovation debate dates back to the 1970s and 1980s, describing the international expansion of non-profit organisations, third sector initiatives and social movements as providers of social innovation in the social economy. The most recent debate has shown its evolution to new grass-roots movements and the emergence of hybrid organisations in the context of collective processes and cross-partnerships (Edwards-Schachter & Wallace, 2017).

Moulaert et al. (2014) defined social innovation as 'innovation in social relations'. It refers 'not just to a particular actions, but also to the mobilization-participation processes and to the *outcome* of actions which lead to improvements on social relations, structures of governance, greater collective empowerment and so on' (Moulaert, MacCallum, Mehmood, et al., 2014, p. 2). Social innovation is also associated with three main dimensions: content/product, process and empowerment. Whilst the product is about the satisfaction of unmet human needs not yet, or no longer, perceived as important by the state or the market, the process is related to changes in social relationships, especially with regard to governance in deprived groups of society. The empowerment dimension is about 'increasing the socio-political capability and the access to resources to enhance rights to satisfaction of human needs and participation' (Moulaert, Martinelli, Swyngedouw & Gonzalez, 2005, p. 1976). Social innovation is thus strongly a matter of process innovation, social inclusion and empowerment. Institutions namely organisations, regulations, laws and agents play a necessary role in the creation of new relationships or collaborations in deprived communities, satisfying unmet needs, changing the dynamics of social and power relations or increasing their capacities and access to resources.

#### § 4.1.1 Third sector: intermediation and institutionalisation

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The role of the third sector may be understood from its socially innovative capacity. This highlights some features which are often discussed in the analysis of its practices. One characteristic of the third sector is its capacity to be an intermediary at the local level, supporting deprived or excluded groups which have reached the limit of what they can achieve by themselves (Lee, 1998). In the field of community development, 'to intermediate' is defined by scholars as acting for, between and among entities, considering the future well-being of communities and individuals (Liou & Stroh, 1998).

Several authors have noted the importance of intermediaries in building community capacity and contributing to social capital. Following the definition of Putnam, Leonardi, and Nanetti (1994), scholars have defined their role in bonding and bridging social capital to enhance the cohesiveness of communities (Agger & Jensen, 2015; Lang & Novy, 2014). Intermediaries can also play a role in the creation of strategic vertical connections between the community, with powerful actors at other scales. Such 'vertical' intermediaries contribute to the access of communities to key decision-making processes (Lang & Novy, 2014), increasing their access to available resources and information, as well as promoting institutional trust between communities and authorities (Agger & Jensen, 2015).

Given the scope of this research, an appropriate approach to identifying how the intermediary role is performed in terms of strategies and activities is provided by Lewis (2002, 2003) in the context of non-governmental development organisations. The author suggests a classificatory framework of three overlapping sets of roles and activities: implementers, catalysts and partners. The 'implementer' role refers to organisations that mobilise resources to provide goods and services that are wanted, needed or otherwise unavailable. The organisation can provide this services with its own resources or be contracted by the state or by a donor in return for payment (Lewis, 2002). The 'catalyst' role refers to organisations that inspire, facilitate or contribute to developmental change among, other actors at the organisational or individual level (i.e. grassroots organising, group formation or empowerment-based approaches). The 'partner' role refers to organisations that work with other institutions such as the government, donors and the private sector, sharing the risk or benefit of the joint work. Partnership is also a way of making more efficient use of scarce resources, increasing institutional sustainability and improving client participation (Lewis, 2002).

Independently of the roles performed, intermediation is focused on social relations, which makes these practices inevitably path-dependent and contextual, and thus, spatially and institutionally embedded (Moulaert, MacCallum & Hillier, 2014). In an optimal situation, far from being isolated, these organisations have to cooperate with supra-local institutions at different spatial levels in order to be up-scaled and therefore achieve a structural transformation (Moulaert et al., 2005; Oosterlynck et al., 2013). While the motivation of organisations to pursue social change has been called 'the fuel' of social innovation, the process of institutionalisation has been named 'the engine' (Vicari & Tornaghi, 2014). The latter is the mechanism that allows the reproduction of these practices over time, influencing and then consolidating innovative practices in public institutions (Vicari & Tornaghi, 2014). This process of institutionalisation is strongly influenced by the state, which can be more or less effective and supportive for the development of social innovative practices. One recurring example of insufficient institutional support is the existence of public institutions which are

passive subsidiaries, relegating social responsibilities and functions to civil society organisations ‘without establishing adequate mechanisms disciplining public-private partnerships, defining general interest aims and allocating enough resources’ (Oosterlynck et al., 2013, p. 27). There are risks in both, low and high institutionalised contexts, however. There is the risk of financial instability in a project-based system hindering the continuity of these practices in low institutionalisation, and in the context of high institutionalisation, there is also risk of transforming these organisations into mere vehicles of service provision (Vicari & Tornaghi, 2014).

In the relationship between social innovation and public institutions, several tensions are often noted between the rigid and conservatory nature of the state versus the flexibility and innovative characteristics of the civil society. To describe this vision, Oosterlynck et al. (2013) refer to the metaphor of elephants and butterflies, in which large scale organisations and institutions, and especially the state, are pictured as ‘big elephants moving in a context of brittle changes and challenges risking to make damages, while new rising innovative actors, like butterflies, try to experiment their frail flight and colourful experiences’ (Oosterlynck et al., 2013, p. 26). Nevertheless, the authors point out that despite the problems and weaknesses in their relationship, public institutions can contribute to the process of social innovation and its practices, either securing citizen’s rights against arbitrariness, creating frameworks and systems of services and interventions or programming long-term investments. While the solidarity, solidity and memory of elephants are strengths, the short existence and egocentric beauty of butterflies are potentially critical points.

Social innovative practices and public institutions react and interact in a complex relationship, which develops into a ‘dynamic balance between tendencies and solutions and local specificity, flexibility and guarantees of rights, decentralisation and coordination, participation and delegation, subsidiarization and institutional responsibility’ (Oosterlynck et al., 2013, p. 26). In this dynamic, the state and public institutions, as the ‘engine’, have the potential to contribute and support third sector practices at different levels, influencing the process of institutionalisation by either providing legal conditions, resources or opportunities to generate a fertile ground for social innovation. At the same time, social innovative practices, as the ‘fuel’, impact multilevel governance in terms of policy making, transforming values or providing more democratic process, which need to be sustained and renewed in a dynamic context (Pradel Miquel, Garcia Cabeza & Eisaguirre Anglada, 2014).

Both intermediation and institutionalisation are variables with which to understand the practices of third sector organisations as providers of social innovation in deprived communities (see Figure 4.2) While intermediation refers to the relationship between the organisation and the target group in a specific territory of intervention



(i.e. a neighbourhood, a condominium, a district), institutionalisation refers to the relationship between the organisation that intervenes with its institutional context (i.e. public institutions, legal frameworks, policies). Intermediation provides insights about the practices of these organisations and the actual strategies employed in deprived communities. The recognition of different roles permits an understanding of the dynamics and how these organisations perform. Lewis's classification into three set of roles and activities (implementer, catalyst and partner) provides a clear framework with which to analyse the role of third sector organisations as intermediaries between the communities and the context, identifying the final goal according to the organisation's drivers. The concept of institutionalisation explains the relationships between third sector organisations and the institutional context, where their practice is embedded, which may enable or hinder the possibilities of scaling-up and increase the impact of social innovative practices. Considering the social interest and public-oriented connotation of these practices, institutionalisation in this research is mostly focused on the relationships between the public sector and its institutions at different organisational levels (i.e. municipality, region, local government, central government). It also refers to the legal framework and policies that regulate and define their performance.

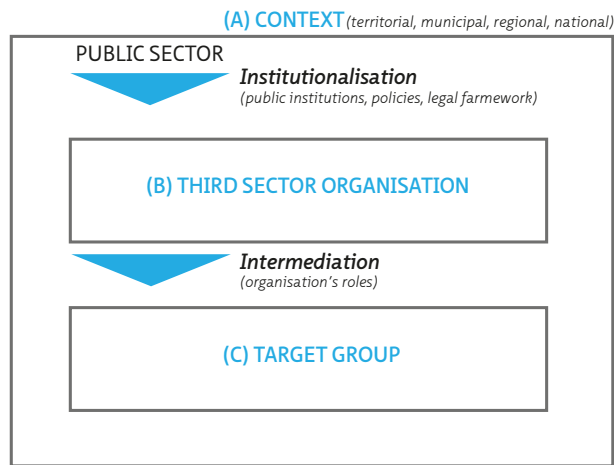


FIGURE 4.2 Institutionalisation and intermediation for third sector practices. Source: author's image.

## § 4.2 The intermediary role in condominium management

Researchers in the field of housing and urban studies have analysed different types of third sector organisations and their practices. The role of social enterprises has, for example, been addressed in the context of urban and neighbourhood regeneration (Carpenter, 2013; Murtagh & McFerran, 2015), European social housing management (Czischke et al., 2012; Mullins et al., 2012) and co-housing (Fromm, 2012). NGOs have been studied in the development of relief work in contexts of disadvantaged communities (Lee, 1998; Lewis, 2003) and their role in post-disaster and reconstruction processes (Baruah, 2015; Sanderson et al., 2012).

Some of these studies have analysed the dynamics between the third sector as intermediary, low income communities and institutions in processes related to the built environment. For instance, in the context of co-production, the role of coaching organisations was highlighted, to help the communities to navigate through both social and building information (Fromm, 2012). Another example is the identification of critical issues in the context of slum upgrading, such as the balance between creating a viable and durable relationship with the community without generating dependency or the disincentives to community participation due to the discontinuity of projects and governmental programmes (Lee, 1998).

In order to identify and understand the possible contributions of third sector organisations based on their practices, we adapted Lewis's definitions of roles (implementer, catalyst and partner) in condominium management, in which the condominium is the unit of the analysis and the collective management is the focus of the intervention. The roles are combined with the triangle of relationships between institutional actors. Figure 4.3 illustrates the roles, and Table 4.1 describes the activities associated with these roles.

In this adapted version, third sector organisations intervene in a condominium, which comprised of a physical built environment and by a community of co-owners and households. Interpreting the framework of Lewis, implementers as providers of goods or services, are focused mainly on improving the physical conditions of the built environment, involving all services and activities involved directly with the buildings, collective areas and/or the dwellings. The catalyst role, as facilitator of developmental change, includes organisations that contribute to improving the community's capacity to manage the condominium. It therefore involves activities in which the community is the main target. In the case of either implementers or catalyst it is expected that the direct impact on of the condominium's components (community or built environment) will indirectly contribute to improving either the physical conditions

or the community action capacity. For instance, physical improvement might trigger better maintenance practices among residents in the future, or the improvement of community cohesion might positively impact better maintenance practices. Finally, the partner role contributes to improving the capacities of the organisation to intervene in the condominiums. Partnerships are, therefore, a vehicle to improve either the built environment or community capacity building. Whilst catalyst and implementers aim directly at the condominium, partnerships aim at the organisation itself as an immediate goal.

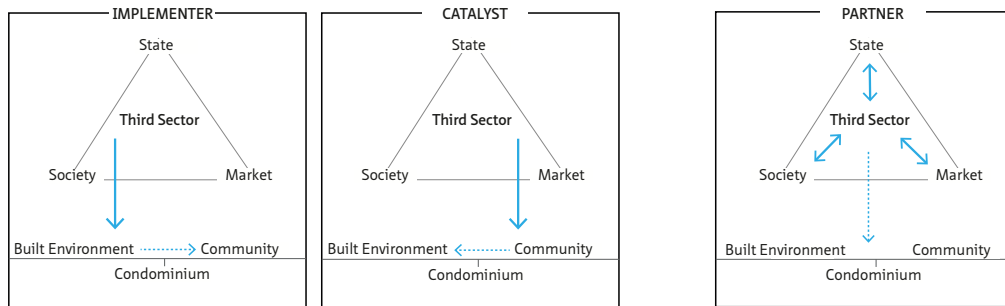


FIGURE 4.3 Possible roles of third sector organisations according to their goals, when applying for housing related activities. Source: author's elaboration using Lewis's (2002) role classification.

ROLE	MAIN GOAL	SET OF POSSIBLE ACTIVITIES FOR CONDOMINIUM MANAGEMENT
Implementer	Improve the physical conditions of the condominiums	<ul style="list-style-type: none"> <li>– Provide technical services to repair, improve or maintain.</li> <li>– Give professional advice about housing maintenance (e.g. maintenance plan).</li> <li>– Provide services of condominium administration.</li> <li>– Design and/or build architecture projects.</li> </ul>
Catalyst	Improve the community capacity for condominium management	<ul style="list-style-type: none"> <li>– Activities that promote linking social capital, connecting the community with external organisations and resources (e.g. enable access to external funding).</li> <li>– Activities that promote bonding and bridging social capital at the condominium and neighbourhood level (e.g. support to solve coexistence problems).</li> <li>– Providing skills in housing maintenance and management, coaching and training groups (e.g. training about condominium administration for administrative committees).</li> </ul>
Partner	Improve the capacities of the organisation to intervene in condominiums	<ul style="list-style-type: none"> <li>– Work jointly with third parties to increase professional expertise.</li> <li>– Associate with other organisations to increase financial resources.</li> <li>– Establish alliances to increase visibility and credibility.</li> </ul>

TABLE 4.1 Role and activities of intermediary organisations applied in condominium management

## § 4.3 Analytical framework for condominium interventions

Third sector organisations as intermediaries can contribute to improving housing management practices in affordable condominiums. As previously stated, these practices are strongly related to territorial and local conditions which impact the process and the final outcome. While the specific characteristics of the community and the local institutions draw the course of action for the intervention, the goals and the vision of the organisation define the way the intermediation is conducted. It is necessary in this regard to develop qualitative tools to provide a systematic approach to these experiences in order to unveil the contribution of third sector organisations according to the contextual conditions. To understand the relationships between these variables, an analytical framework is proposed to provide a systematic method to describe and assess the work of third sector organisations in improving housing management conditions in vulnerable contexts.

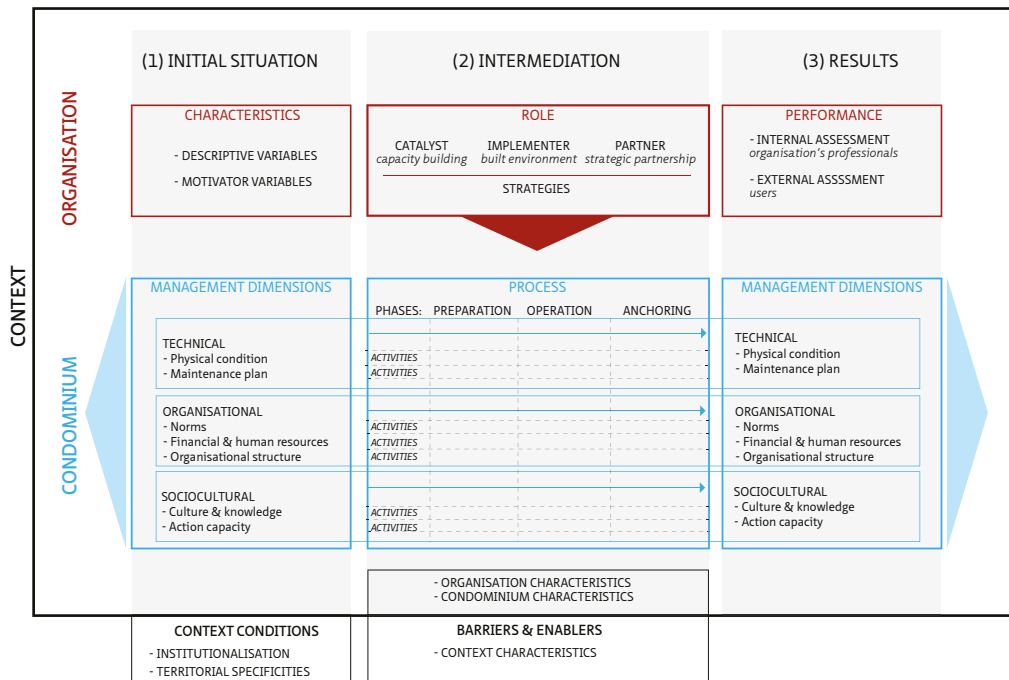


FIGURE 4.4 Analytical framework to analyse the intervention of third sector organisations in condominium management. Source: author's elaboration.

The intervention is assessed in this framework (see Figure 4.4) regarding condominium management parameters, considering technical, organisational and sociocultural dimensions (see Chapter 2). The framework distinguishes an organisation (which intermediates), a physical and social unit of intervention (the receptor) and a context in which both are embedded. Furthermore, it considers three main stages: the initial situation, the intermediation and the results in which these three elements are analysed. The *initial situation* describes the condition of the three main elements at the time of the intervention. The *intermediation* describes the role, strategies and activities carried out by the organisation and their implementation along the process. Finally, the *results* section provides an assessment of the situation of the condominium and the organisation after the intervention.

### § 4.3.1 Description of the framework

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#### Initial situation

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The initial situation shows a picture of the three main elements of the intervention: the organisation, the condominium and the context before the intervention. This section of the framework attempts to answer the following questions:

- What are the local conditions (legal, social, institutional) that define the context in which the intervention is embedded?
- Who initiates the intervention, the community or the organisation?
- What are the main housing management problems that need to be solved?
- What are the characteristics of the organisation that carries out the intervention?

The contextual characteristic comprises the local conditions, either regulations, sociocultural background, market participation and public or private institutions, that are necessary for the intervention. Special attention will be paid to two main elements. The first is the institutionalisation of third sector organisations and practices, and the role of the public sector in enabling or hindering these interventions. The second is the territorial specifics, which refers to contingencies and micro-agency effects that constitute the character of the territories (Gonzalez, Moulaert & Martinelli, 2011), for instance, existing local organisations, charismatic leaders, or prior experiences of public or private interventions that might impact future interventions. This also includes some characteristics of the neighbourhood and condominiums related to the built environment and the residents.

To describe the characteristics of the organisation we will use the classificatory framework developed by Czischke, Gruis and Mullins (2012) for housing organisations. They proposed three types of variables based on the framework of Crossan and Til (2009) for not-for-profit organisations, descriptive, motivator and behavioural, to study and compare the characteristics of social enterprises within social housing organisations. In this section, two of these classificatory parameters will be used: descriptor and motivator. As the main organisation dynamics will be analysed from the perspective of the intermediation, the characteristics related to the behaviour of these organisations will be explained using Lewis’s definition of roles and it will be further developed in the next section of the framework.

Descriptive variables are the formal institutional characteristics of an organisation such as legal structure, profit objective, ownership structure, core business activities, governance, funding income and catchment. Motivator variables, are an organisation’s mission and drivers, making a distinction between state-driven (strongly influenced by state policies, regulations and finance), market-driven (strongly influenced by housing market demand and financial opportunities), and community-driven (strongly influenced by preferences and financial means of residents, local stakeholders, local government, local community and third sector organisations) (Czischke et al., 2012).

The condominium will be described according to its management conditions at the time of the intervention. To do so, we will use the multidimensional approach for housing management activities developed in Chapter 2, which considers technical, organisational and sociocultural dimensions, and their respective elements. The evaluation identifies the main problems but also positive features and practices regarding condominium management conditions.

ANALYTICAL FRAMEWORK - SECTION 1 - INITIAL SITUATION		
Elements	Description	Indicators
1.1 Context conditions	Description of the context variables and territorial specifics that are necessary for conducting interventions in condominium management.	<ul style="list-style-type: none"> <li>- Institutionalisation. Public institution support (municipal, regional, national) for TS practices, contextual elements that affect management practices (property law, institutions for HM)</li> <li>- Territorial specificities related to the neighbourhood and the condominiums (presence of TS organisations, previous interventions in the area, history of use, characteristics of the group and the built environment).</li> </ul>
1.2 Organisation characteristics	Description of the organisation characteristics	<ul style="list-style-type: none"> <li>- Descriptive variables: formal characteristics</li> <li>- Motivator variables: values, drivers</li> </ul>
1.3 Condominium management dimensions	Description of housing management dimensions and elements before the intervention	<ul style="list-style-type: none"> <li>- Technical dimension: physical condition, maintenance plan.</li> <li>- Organisational dimension: norms and rules, human and financial resources, organisational structure.</li> <li>- Sociocultural dimension: culture of maintenance, action capacity.</li> </ul>

TABLE 4.2 Analytical framework. Initial situation

## Intermediation

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The intermediation represents the core of the framework, since it describes the operationalisation of the roles, strategies and activities carried out by the organisation in order to improve condominium management practices. The purpose of this phase is to understand the focus and the path of the intermediation and the roles performed by the organisation. During the intermediation, the necessary steps of the activities, as well as barriers and enablers, are identified. Some questions to be answered in this section are:

- What are the roles assumed by the organisation and the strategies and activities associated with them?
- How are the activities operationalised along the phases? Where are the resources concentrated?
- What is the focus of the organisation regarding management dimensions? What are the elements addressed and not addressed during the intervention?
- What are the steps required during the process to complete the intervention?
- What are the main barriers and enablers in the process that impact the final result (context, community, built environment)?

As previously noted, the contextual conditions affect and inform the intervention. Based on the initial description of the context characteristics, the conditions will be further analysed in this section, identifying barriers and enablers during the process and the respective impacts of the intervention. The barriers and enablers are associated with the context conditions, but also with the characteristics of the condominium and the organisation.

The organisation is analysed from an intermediation perspective, through the description of the roles and strategies used to intervene. Lewis's definition of roles is applied in the process, identifying the categories: implementers, catalysts and partners, previously defined in this chapter.

The process is therefore analysed in the condominium, as the physical and social unit of intervention. The activities carried out by the organisation are associated with specific phases in the process and with management dimensions. The analysis uses a process flowchart identifying the sequence of the activities and necessary steps. Three main phases are identified in order to analyse the process. First, preparation, considers all the activities needed to start the intervention. Secondly, the operation is the core of the intervention and where the organisation addresses their main goals. Thirdly, anchoring is the preparation of the organisation's withdrawal and the elements required to ensure the sustainability of the intervention after they are gone.

ANALYTICAL FRAMEWORK - SECTION 2 - INTERMEDIATION		
Elements	Description	Indicators
2.1 Organisation's role	Description of the role and strategies to intervene.	<ul style="list-style-type: none"> <li>- Implementer: contributes to improving the physical conditions of the built environment.</li> <li>- Catalyst: contributes to improving the capacity building of the community in relation to condominium management.</li> <li>- Partner: contributes to improving the resources and the capacity of the organisation to intervene.</li> </ul>
2.2 Process	Description of the process identifying main activities according to the timeline and the focus.	Process timeline: Preparation phase; Operation phase ; Anchoring phase  Focus: housing management dimensions - Technical, organisational, sociocultural
2.3 Barriers and enablers	Identification of barriers and enablers by the interviewees and by the researcher observed during the fieldwork.	Related to organisation characteristics Related to the condominium's characteristics Related to the context

TABLE 4.3 Analytical framework. Intervention

## Results & conclusions

The results show the situation of the condominium and the organisation after the intervention. The organisation's performance is measured through internal and external assessment. The assessment makes a comparison of the initial situation of the condominium and the changes addressed in the management dimensions. This section attempts to answer the following questions:

- How does the organisation perceive their performance?
- If the organisation has assessment tools, what parameters do they measure?
- Are the users satisfied with the performance of the organisation? Which activities or characteristics of the organisation are valued as good? Which are not?
- How does the organisation define a successful result?
- Is the organisation effective in achieving the initial goals? What dimensions and elements are (and are not) successfully achieved? Why?
- To what extent does the intervention generate an enduring change?

The performance of the organisation is evaluated according to internal and external assessment. The internal assessment considers the individual perception of the organisation's professionals with regard to their performance, and it is measured by identifying successful parameters and the level of goals achievement. If applicable, this evaluation is complemented with information about the self-assessment tools provided by the organisation. The external assessment considers the perception of the



users and it is measured according to the level of satisfaction with the organisation's overall performance.

At the condominium level, the results of the intervention are measured according to the management dimensions. The evaluation consists of a comparison between the initial and the final situation, indicating which of the problems originally identified were solved, partially solved or not solved.

ANALYTICAL FRAMEWORK - SECTION 3 – RESULTS		
Elements	Description	Indicators
3.1 Organisation performance	Assessment of organisation performance	Internal assessment -successful parameters (organisation professionals) External assessment– Community satisfaction (users)
3.2 Condominium management dimensions	Comparison of condominium management dimensions before and after the intervention.	Housing management dimensions – Technical, organisational, sociocultural
3.3 Conclusions	Summary of main elements of the intervention	Researcher assessment

TABLE 4.4 Analytical framework. Results.

Finally, the analysis considers a section of conclusions, which summarises the main elements of the intervention, identifying:

- The effectiveness of the organisation/programme/experience in solving the problems.
- Elements of either the organisation, context or condominium that facilitate or hamper the process.
- Critical steps during the process that need to be taken to achieve the final results and to conclude the intervention.
- Specific activities of the intermediation that have a positive impact on the results.

## § 4.4 Chapter conclusions

This chapter provided a theoretical approach to the role of third sector organisations in condominium management. Third sector organisations are described via their potential as agents of social innovation in deprived territories, satisfying unmet human needs, but also contributing to changes in social relations and the empowerment of vulnerable communities.

These practices, spatially and institutionally embedded, are described from two perspectives: intermediation and institutionalisation. Intermediation provide insights about the relationship between third sector organisations and the communities, in which these organisations support deprived sectors when their capacity has reached the limit. As intermediaries, the third sector mobilises goods and services, but also contributes to improving access to available resources or to the key decision-making process at different spatial levels. Three main sets of overlapping roles and activities are recognised in analysing the intermediary role: implementers, catalysts and partners.

While intermediation describes the dynamics between the organisation and the community, institutionalisation explains the relationships between the organisation and the institutional context where its practice is embedded. This context is defined as the engine of social innovation and might hinder or enable the possibilities of scaling-up, and increase the impact of social innovative practices. The main tensions between rigid and conservative public sector institutions and flexible and fragile organisations are described. Despite their problems and weaknesses, however, public institutions can contribute to the process of social innovation while providing legal frameworks, incentives and resources for a fertile institutional environment.

The actual contribution of third sector organisations in condominium management in countries of the global south has rarely been studied. Scholars have noted the role of housing associations in social (rental) housing, but the contribution of the third sector within the owner-occupied sector is hardly mentioned. An analytical model is thus developed in order to provide a systematic approach to interventions in condominiums and contribute to increasing knowledge of the role of the third sector in condominium management.

The framework considers three main components: an organisation (which intermediates), a physical and social unit of intervention (the receptor) and a context where both are embedded. It also considers three main stages: the initial situation, intermediation and the results. The core of the framework is intermediation, in which three main sets of roles and activities are described for condominium management,

implementer, catalyst and partner, as they target technical, organisational or sociocultural dimensions. While implementers focus mainly on service and good provision in order to improve the physical conditions of the built environment, catalysts contribute to developmental change, focusing on improving co-owners' capacities in relation to condominium management. Partners focus on improving the capacities of an organisation to carry out these interventions through strategic alliances. The analytical framework will be used in the next chapters to analyse the performance of third sector organisations in international and local case studies.



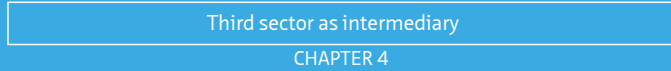


## PART II Analysis



CHAPTER 1 INTRODUCTION

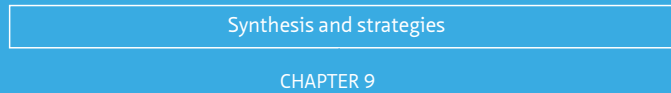
I  
CONCEPTUALISATION



II  
ANALYSIS



III  
PROPOSAL



CHAPTER 10 CONCLUSION

## 5 Case study analysis and lesson-drawing : approaches and methods

*The previous chapters consolidated the first part of the thesis in which the societal and knowledge problem were defined. Chapter 2 and 3 described the problem of condominium maintenance and management in Chile, and Chapter 4 provided a definition of the role of the third sector in housing activities, and developed an analytical framework to describe and analyse interventions by third sector intermediaries in condominiums. This chapter introduces the second part of the thesis, the case study analyses. It aims to define the methods for the selection, data collection, analysis and lesson-drawing of international and local experiences.*

*Section 5.1 describes methods and approaches for the use of case studies, based on policy transfer and lesson-drawing literature. Section 5.2 defines the criteria for case study selection resulting in one local (Proyecto Propio, Chile) and two international cases (Servicios de Dinamización Vecinal, Spain and VVE-OIO, The Netherlands). Section 5.3 presents the case study design for lesson-drawing and Section 5.4 concludes with the case study protocol for data collection.*

## § 5.1 Case study research and lesson-drawing

A case study is defined by Yin as an empirical inquiry that ‘investigates a contemporary phenomenon within its real-life context’ (Yin, 2014, p. 18). The use of case studies as a research strategy contributes to understanding a process, a practice or a phenomenon in depth, dealing with the full variety of evidence such as documents, interviews and observations. In comparison with other research approaches, case studies are characterised by three main attributes: particularistic, since they focus on a particular phenomenon; descriptive, since they yield a rich description of the phenomenon; and heuristic, because they illuminate the reader’s understanding of the phenomenon under study (Yazan, 2015). This research project uses a case study approach to describe and understand the practices of third sector organisations in the field of condominium management.

The research analyses local and international case studies as learning tools in order to draw lessons from real-life practices in the field. The decision to include international practices is based on the value of expanding the range and type of solutions with which to address a particular challenge. As stated by Rose (2002) learning from abroad offers an evidence-based alternative to developing a new programme, policy or ideas. The early development of the Chilean third sector in condominium management, as well as housing management activities, makes it necessary to explore alternative approaches from other contexts such as The Netherlands or Spain with more advanced organisational and managerial systems.

The literature about learning from abroad encompasses a variety of concepts, such as institutional transplantation (Jong & Stoter, 2009), policy transfer (Dolowitz & Marsh, 2000) and lesson-drawing (Rose, 2002) to address a common problem related to ‘the process by which knowledge about policies, administrative arrangements, institutions and ideas in one political system (past or present) is used in the development of policies administrative arrangements, institutions and ideas in other political system’ (Dolowitz & Marsh, 2000, p. 5). Most of the literature refers to lesson-drawing in the context of urban planning and public institutions, but some authors have also noted the importance of understanding knowledge transfer in private and non-governmental organisations which participate as much as the state in planning practices (Stone, 2000).

The process of drawing lessons from different contexts entails several challenges regarding when, where, and how well we learn (Rose, 2002). It is already known that a good practice in one context is rarely suitable to all circumstances, which means that it needs to be contextualised and institutionalised to be part of the system of another



country or region (De Jong & Edelenbos, 2007). A learning process without proper information and consideration of the circumstances of both the context from which the practice is borrowed and the context to which it is transplanted can lead to policy failure due to information gaps, the inappropriate selection of elements to transfer or an incomplete process of transference (Dolowitz & Marsh, 2000). It is therefore necessary to define the problem and the process: what is transferred and how it is transferred.

Several authors have categorised both elements, showing that it is not a black or white process, but that precision resides in the grey areas of the potential to deal with this knowledge exchange. In the context of policy transfer Dolowitz and Marsh (2000) define eight categories of things that can be transferred, ranging from policies (goals, content, instruments) to programmes, institutions, ideologies, ideas, attitudes and negative lessons. Similarly, different degrees of transference have been identified. As can be seen in Table 5.1, Evans (2009) and Dolowitz and Marsh (2000) have defined four levels of transference, including copying, emulation, combination/hybridisation and inspiration. Another example is Janssen-Jansen, Spaans, and Van der Veen (2008) who have defined three degrees of intensity: inspiration, learning and transplantation. Despite the different intermediate degrees, inspiration is the lowest level of transfer, and copying and transplantation are the highest.

CLASSIFICATION	DEGREE OF LESSON-DRAWING
Evans (2009); Dolowitz and Marsh (2000)	Inspiration (ideas inspire fresh thinking and help to facilitate policy change)
	Combination (mixture of elements found in several settings to develop a policy culturally adapted)
	Emulation (transfer of ideas or standards behind a policy)
	Copying (direct and complete transfer)
Janssen-Jansen, Spaans, and Van der Veen (2008)	Inspiration (collecting and valuating data and information about innovative experiences)
	Learning (adaptation of the information collected and valuated in the inspiration phase, including retrieving underlying ideas, obstacles and changes)
	Transplantation (looks the specific conditions under which transfer of policy, instruments to another context is possible)

TABLE 5.1 Degree of transference of lesson-drawing

Spaans and Louw (2009) developed a framework to understand the relationship between the degree of lesson-drawing and the likelihood of effective transfer in different contexts. Figure 5.1 shows that a lower level of lesson-drawing is more likely to be effective in different contexts, and a higher level of lesson-drawing is more likely to be effective in similar contexts.

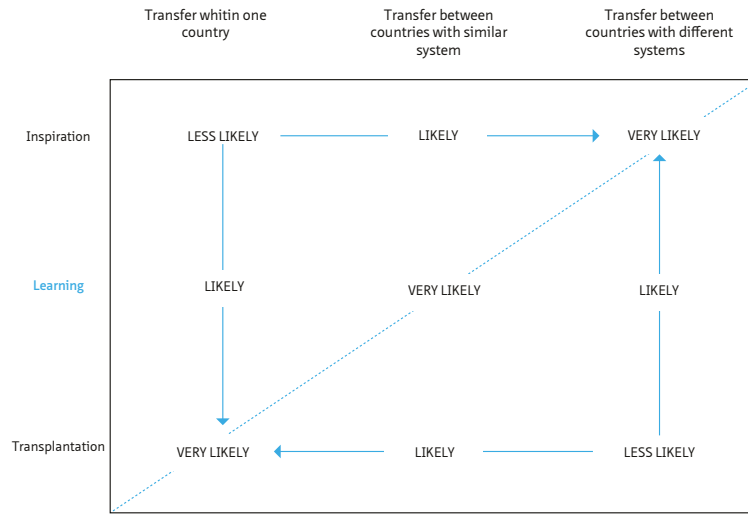


FIGURE 5.1 Lesson drawing degrees and likelihood of transfer under different context conditions. Source: author's elaboration based on Spaans and Louw (2009).

In the framework, this research correlates to the 'learning' level of lesson-drawing, understanding that the case studies will be used as learning tools to expand the type of solutions for the Chilean context. Following the classification of Evans (2009) and Dolowitz and Marsh (2000), which provides more detail at the intermediate levels, this research will use the 'combination' as the main approach to lesson-drawing. This means that a mixture of compatible elements will be taken from the case studies to formulate lessons, and practices will then be culturally adapted to Chilean conditions. It is important to point out that this research does not aim for transplantation or copying as the final goal, on the contrary, these practices are embedded in a particular institutional background and respond to the specific needs of the communities, making it difficult, if not impossible, to apply high levels of transplantation.

## § 5.2 Case study selection

The selection of case studies was a two-phase process. From an initial database of 11 cases, three cases were recruited for in-depth analysis. As shown in Figure 5.2, this analysis concerns two type of cases: one local and two international cases. The local case aimed to identify current practices, showing the possibilities and restrictions of a

real case in Chile. The international cases aimed to expand the approaches to tackling housing management, finding underdeveloped or non-existing elements in the Chilean context that may contribute to new insights into local practices. In this regard, the selection and analysis of the local case preceded and informed the international selection.

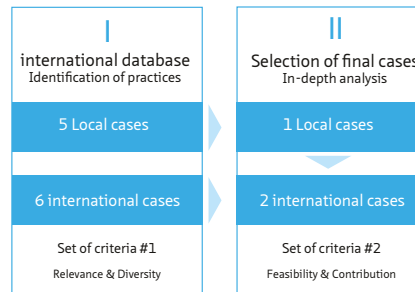


FIGURE 5.2 Case study selection

This international selection comprises cases from Europe. The decision to focus the search on one region was three-fold. First, it was decided to search in consolidated and experienced contexts regarding third sector practices and housing management activities. European countries have a long tradition of third sector organisations, cross-sector partnership and accumulated experience in social housing management. Secondly, European cases provide enough variety in terms of approaches to the problem, in which the challenges and solutions to the maintenance problems are different in Central, Eastern and Southern Europe. Thirdly, a practical reason was added. The PhD was developed in the Netherlands, where it was financially and temporally feasible to develop two in-depth case study analyses within European countries.

### § 5.2.1 Phase I: local and international database

The purpose of Phase I was to consolidate an initial database of local and international cases. Primary and secondary data was collected to build the database. The former was collected from face-to-face and Skype interviews with key informants and representatives of third sector organisations, and the secondary data was derived from a literature review and search queries in online journal databases. The following activities were carried out: (i) literature review and journal database search (ISI, Scopus, Science Direct, Scielo), (ii) search of website for good practises awards (i.e. Social innovation in Europe, Community

Wealth, World Habitat awards), (iii) identification of empirical cases (snowball technique) and consultations with experts in the field, (iv) in-depth search for experiences in contexts where low income homeownership is necessary (i.e. East and south Europe). If the information gathered was not sufficient to understand their aims and activities after the first enquiry, some cases were contacted by email and/or Skype interview.

Two sets of criteria were used to select the cases, listed in Table 5.2. To ensure their scientific importance, the criteria used were: the presence of collective management practices among vulnerable households, the participation of T.S. organisations as main intermediaries and the incorporation of social innovative values. To ensure diversity, various types of T.S. participation (specialised organisations, public programmes, and single interventions) and different geographic areas were sought. This selection led to 11 case studies, comprising five local practices and six international practices. There is more information about the characteristics of the cases and the data collection in Appendix B.

GOAL	CRITERIA	EXPLANATION
Relevance	Intermediation	There is a recognisable third sector intermediary whose role is necessary for achieving housing management goals.
	Target group	The target group is vulnerable households who face financial or social constraints on developing housing management activities.
	Goals	The intervention aims at improving housing management conditions addressing one, two or three of the following dimensions: (i) technical, (ii) organisational, or (iii) socio-cultural, developing activities that directly or indirectly impact the built environment.
	Collective management	The intervention aims at condominium management practices or at least incorporate collective management approaches involving group decision processes over a common good collectively used.
	Social innovation	The intervention is carried out from a social innovative perspective considering at least one of the following features (Czischke, 2013): (i) any degree of user involvement, (ii) user perspective, (iii) cross-sector collaboration, (iv) multidimensional approach to face complex problems, (v) streamlining.
Diversity	Participation	The selection considers different ways that third sector is involved in condominium management activities, identifying three main type of participation: (i) Specialised organisations: third sector entities that actively work in condominium management as their main or secondary activity. (ii) Public programmes: public administration programmes or policies coordinated either by the central government, local governments or international agencies, considering a third sector intermediary for their implementation. (iii) Single interventions: specific projects in which third sector organisations have actively participated. They tend to be one-time initiatives but are successful examples with the potential of being replicated.
	Geography (for international selection)	The selection considers different housing background contexts East/South Europe: countries with high levels of homeownership Central Europe: countries with advanced experienced in housing management

TABLE 5.2 Phase I. Selection criteria for case studies

## § 5.2.2 Phase II : in-depth case study

One local case and two international cases were selected from the 11 case studies. The selection criteria, listed in Table 5.3, were feasibility (experience and availability of information) and contribution (representativeness for local cases and innovation for international cases). As that the international cases aimed to expand possibilities, the selection of the international experiences was carried out after the local case was selected and analysed.

GOAL	CRITERIA	EXPLANATION
Feasibility	Experience	The case has practical experience in condominium or collective management, providing enough information (in relation to time and quality) to measure performance and results.
	Information	The third sector organisation involved in the case is currently active, and it is possible to contact them, and also their clients. Organisations or programmes that are not performing anymore are therefore disregarded.
Contribution	Representativeness (for local case)	The case is illustrative of current possibilities and constraints of third sector organisations in Chile as well as the problems regarding condominium management practices.
	Innovation (for international cases)	The cases offer different means of third sector participation and approaches to the problem in comparison to the Chilean case.

TABLE 5.3 Phase II. Selection criteria for in-depth case studies

*Proyecto Propio* (PP) was selected as a local case for in-depth analysis. The case is a private non-profit organisation with more than 10 years of experience working in vulnerable neighbourhoods. The organisation has been involved in the improvement of social condominiums in Santiago since 2012, using governmental subsidy programmes. At the time of the selection, PP was the most experienced and active organisation in condominium improvement projects. The organisation also participates in public debate and they provided open-access information about their work. Similar to other TS organisations in Chile, their interventions in vulnerable areas use an holistic approach, combining technical and social actions. The case is used to identify elements of effective interventions in condominium management, understanding the possibilities and limitations of local, socially innovative practice.

VVE-O10 was one of the international cases selected, and is a programme initiated by the municipality of Rotterdam to improve maintenance practices among VvEs (homeowner associations). The case was selected because it focuses on the organisational and technical dimensions of housing management, with special

attention to strategic maintenance and administration in the long-term. The case explores the role of the municipality in the maintenance of the owner-occupied housing stock and the role of the third sector as coordinators of third party executors. The foundation has nine years of experience and its work in the neighbourhood is part of a long-term plan.

The second international case is Services of Neighbourhood Activation (*Servicios de Dinamización Vecinal*), a bottom-up initiative of neighbourhood associations in Madrid with the aim of improving coexistence in their neighbourhoods. The case was selected because its bottom-up approach is led by neighbourhood associations, showing the potential of these territorial organisations as the main actors at the neighbourhood level, but also at the city level. This case seeks to expand knowledge by exploring sociocultural and organisational dimensions of housing management and the role of civil society organisations in the management of their own neighbourhoods. Its main focus is conflict resolution and the promotion of good coexistence between households at neighbourhood level and at condominium level. The SDV has 13 years of experience and it is actively working in different neighbourhoods in Madrid.

The other cases were discarded because they did not meet feasibility and contribution criteria. They may not have enough information to measure results (e.g. HOME, La Bezindalla), for instance, or access to the information was limited (especially about the residents) given that the project finished years ago (e.g. Woonbron, Lourdes Renove). The selected cases offered innovative and different approaches to the problem in Chile, and in comparison with each other. Information about these cases is presented according to the selection criteria in Table 5.4.

CASE SELECTED	FEASIBILITY		CONTRIBUTION	
	Experience	Information	Representativeness (local case)	Innovation (international cases)
PP Proyecto Propio	10 years	Available finished and on-going projects	Project based model - Holistic approach-	-
VVE-010	9 years	Available Finished and on-going projects	-	Municipal coordination and partnerships with third parties Strategic maintenance Long-term administration
SDV Servicios de Dinamización Vecinal	13 years	Available Finished and on-going projects	-	Bottom-up approach Led by neighbourhood associations Conflict management

TABLE 5.4 Phase II. Final case studies organised by the selection criteria

## § 5.3 Case study design

The main purpose of the local and international case studies is to draw lessons for Chilean third sector organisations regarding condominium interventions. Figure 5.3 shows the whole process, including the following steps: individual analysis, lesson-drawing and transferability.

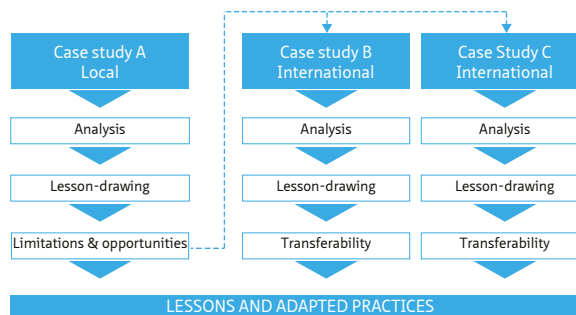


FIGURE 5.3 Case study design for lesson-drawing

The process of lesson-drawing is designed in three main steps, which are developed per case in Chapters 6, 7 and 8. Table 5.5 shows the steps and methods. The first step is the **analysis of the case**, using the analytical framework presented in Chapter 4. This analysis provides a detailed description focusing on the intermediation. The second step is the **lesson-drawing** from these cases. A set of criteria are defined to assess the selected practices. This analysis considers (i) description of the practice, (ii) identification of main contextual conditions that make this practice possible regarding the institutional context, the organisation and the condominium, (iii) identification of the focus of the practice regarding management dimensions and (iv) description of the main drawbacks identified in its implementation. The lesson-drawing step concludes by formulating a lesson for each practice selected.

The international cases go through an additional step: **transferability**, in order to define the circumstances that allow the lessons to be applied in Chile, or not. A feasibility analysis is performed to test the lessons in the Chilean context. The feasibility criteria consist of political, technical, financial and cultural variables with which to evaluate the adapted practices. These criteria are evaluated in the institutional context, the third sector and condominiums. The analysis finishes with the formulation of

adapted practices organised as minor, medium and major adaptations required for their implementation in the Chilean context. Transferability for the local case study is assessed in terms of the opportunities of, and limitations for, the practice in Chile, providing the input to select the international case studies.

SECTION	METHODS	DESCRIPTION
Individual analysis	Analytical framework for condominium interventions	Description of the intermediary role considering: (i) Initial situation (context conditions, organisation characteristics and condominium management dimensions) (ii) Intermediation (organisation role, process and barriers & enablers) (iii) Results (organisation performance, condominium management dimensions)
Lesson-drawing	Selection of practices	Identification of main elements from which to draw lessons.
	Assessment of the practice	Assessment of practices considering: (i) Description of the practice (ii) Conditions to develop the practice (institutional context, organisation and condominiums) (iii) Focus of the practice (technical, organisational or sociocultural elements) (iv) Identification of drawbacks in its implementation
	Definition of lessons	Definition of the lesson derived from the practice. What lessons can be identified from this practice?
Transferability	Feasibility assessment	Feasibility parameters: (i) Political (ii) Technical (iii) Financial (iv) Cultural Considering (i) Institutional context (ii) Third sector organisations (iii) Condominium (built environment and community)
	Definition of adapted practices	Recommendations for adapted practices (i) Lesson feasible with minor changes (ii) Lesson feasible with medium changes (ii) Lesson feasible with major changes

TABLE 5.5 Case study design for lesson-drawing. Steps and methods



## § 5.4 Case study protocol

The three case studies followed the same protocol. The first action was to contact the third sector organisation involved in order to present a fieldwork plan including information about the research project and the activities that will be carried out by the researcher. Once the plan was approved the fieldwork was carried out. The data collection involved five activities:

- Individual interviews with organisation professionals. These interviews were to obtain information about the organisation, the problems detected and the process from the view of the intermediary. The number of interviews varied between the cases depending on the size and the organisational structure of each organisation. The questionnaires are available in Appendix B.
- Interviews with households. To compare the vision of the organisation with user perceptions. These were to get more information about household satisfaction with the organisation's performance and the final results. The number of interviews varied from one case to another, depending on the willingness and availability of the community. The information to contact the households was provided by the organisations. The questionnaires are available in Appendix B.
- Field observation. Visit to the area accompanied by organisation' professionals in order to discuss the main problems and challenges while observing the built environment. Additional visits by the researcher alone were also considered.
- Review of project documents. i.e. project budget and planning, organisation official reports, internal evaluations.
- Complementary interviews. Unstructured interviews with professionals from the field and researchers were conducted in the different countries in order to have a better understanding of the contextual characteristics in specific topics.

The interviews were performed in Spanish (in Chile and Spain) and in English in the Netherlands. A student assistant supported the researcher asking the questions in Dutch, in order to facilitate household participation. The interviews were recorded with the interviewees' permission to facilitate the transcription. After every piece of fieldwork, a report was sent to the organisation in order to corroborate the accuracy of the information collected.

## § 5.5 Summary

This chapter has presented the methodological approach to case study analysis and lesson-drawing. The research uses case studies to describe and understand the real-life practices of third sector organisations in the field of condominium management. The analysis of local and international practices aims to draw lessons to be applied in the Chilean context. The analysis of one local case revealed the current possibilities and constraints in the field, and the international case studies explored alternative approaches from other contexts with more experience in housing management practices and third sector practices. The main challenge in lesson-drawing is to identify the elements that are potentially transferable and to define the degree of transference according to the contextual differences and possibilities. The thesis aims for a learning level of transfer, using a combination of elements from the different practices to adapt lessons according to Chilean conditions.

The selection of the case studies involved a two-phase process which started with a database of 11 cases encompassing specialised organisations, public programmes and single interventions. From this original selection, three cases were recruited for in-depth analysis: one local case (Proyecto Propio) and two international cases (Servicios de Dinamización Vecinal in Madrid and VVE-010 in Rotterdam). After describing the selection criterion, the case study design and the data collection protocols were explained. The analysis of each case will be presented in Chapters 6, 7 and 8, followed by the set of strategies and their validation in Chapter 9.



CHAPTER 1 INTRODUCTION

I  
CONCEPTUALISATION

Low-income homeownership | Condominium management  
CHAPTER 2 | CHAPTER 3

Third sector as intermediary  
CHAPTER 4

II  
ANALYSIS

Case study design and selection  
CHAPTER 5

Case study A  
Local  
CHAPTER 6

Case study B  
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III  
PROPOSAL

Synthesis and strategies  
CHAPTER 9

Validation

CHAPTER 10 CONCLUSION

## 6 Foundation Proyecto Propio: a comprehensive approach to social innovation in condominium improvements in Santiago, Chile

*Using the analytical framework for condominium interventions developed in Chapter 4, this chapter presents an in-depth analysis of one Chilean experience of third sector organisations in order to understand the practices in an applied context. This chapter aims to identify elements of effective interventions in condominium management, understanding the possibilities and limitations of a local practice. The questions are the following: How does Proyecto Propio address condominium management problems? What are the contributions and limitations of this practice in the Chilean context?*

*Section 6.1 describes the case using the analytical framework, considering initial situation, intervention, and results. A selection of lessons identified from the case are then discussed in Section 6.2. The discussion focuses on drawing lessons, highlighting the contribution of the organisation as a social innovative practice in condominium improvements, and the identification of effective strategies and activities to engage the community in complex contexts. The chapter concludes with the identification of unsolved areas and limitations to scaling-up this practice in the Chilean context.*

## § 6.1 Case description and analysis

### § 6.1.1 Introduction

Proyecto Propio (PP) is a foundation focused on the improvement of deteriorated social condominiums in Santiago by designing and constructing condominium improvement projects in the common domain areas. This analysis is focused on the role of external organisations re-activating distressed communities by improving the quality of the built environment.

### § 6.1.2 Initial situation

#### § 6.1.2.1 Context conditions

##### Institutionalisation

In Chile, the main institutional support for third sector organisations, like Proyecto Propio, comes from governmental subsidies (Irrarrazabal et al., 2006) acquired by public competition to develop specific projects. Incentives to stimulate the creation of new third sector organisations have also recently been added (e.g. Law 20.500). In the field of housing, the relationship between third sector and central government combines characteristics of high and low institutionalised contexts. On the one hand, *entidad patrocinante* has been consolidated as the only means of participation by the third sector in housing policies, limiting their action as vehicles of policies and service provision. On the other hand, this participation is a project-based approach which promotes competition between organisation and hinders the financial stability or continuity of these practices (Espinoza, 2014).

The regulatory framework for condominiums is Law N° 19.537 from 1997, *Ley de Copropiedad Inmobiliaria (Co-ownership Law)* which establishes administrative and behavioural guidelines for condominium tenure. This law defines the individual property and the common domain property within a condominium. It also

stipulates basic administrative regulations to ensure a healthy living environment. A condominium that has been 'legalised' (registered as an organisation following the requisites of the co-ownership law) obtains a juridical personality and is therefore more visible and able to access municipal support or benefits, given its status as organisation. There are no regulatory frameworks related to maintenance practices, however, or the definition of maintenance parameters that owners need to create. Additionally, neither the central government nor municipalities have legal rights or the capacity to force the implementation of maintenance practices or implementation of the co-ownership law in condominiums.

Administration services for condominium management are provided by private (for profit) enterprises, but they do not work with low income groups. The only way the third sector or private organisations participate in social condominiums is through the subsidy programme PMCS, as *entidad patrocinante*. This action focuses mostly on the improvement of physical conditions and legalisation of condominiums.

### Territorial specifics

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In 2016, Proyecto Propio was working in three different municipalities in Santiago, El Bosque, Quilicura and Lo Prado, implementing the subsidy PMCS. The predominant socioeconomic groups in these municipalities are families with a monthly average income between €245 and €690. In the Municipality of Quilicura, presence large number of families have an average income below €244. Their financial situation is a constant barrier to accessing better education, goods and opportunities to improve their quality of life.

The work in El Bosque focused on the *Vicente Huidobro* neighbourhood. The neighbourhood was built in 1992 and has 408 dwellings. In addition to the physical deterioration of the buildings, there are severe problems of drug micro-trafficking and delinquency. The organisation has applied for the inclusion of five co-properties in the subsidy programme and they are improving the two co-properties that have obtained a grant. The organisation's plan is to stay in the area until they have improved all the properties.

In the case of Quilicura, PP has implemented condominium improvement projects in three different neighbourhoods. Currently, the organisation is focused on *Valle de la Luna*, which is a neighbourhood built in 1993 and has 1356 dwellings organised in 25 condominiums. The neighbourhood is a socially complex area, with problems of drugs micro-trafficking, delinquency and an increasing percentage of immigrants from Haiti and Colombia who live in crowded conditions. Given the extension of the intervention area and the high number of condominiums, the organisation has planned to develop

long-term work in the area. At the time of the fieldwork they had intervened in four co-properties out of twenty five.

A common characteristic of these neighbourhoods is that they have a significant number of social condominiums, in which a second or even third generation of homeowners live. These communes concentrate the highest number of social condominium construction (see Chapter 2). The neighbourhoods were also built during the 1990s, in the period when the production of social condominiums had more problems in design and construction. Given that these areas are more than 20 years old, these communities have now established networks. Despite the poor conditions of the dwellings and the low value of this neighbourhood, the community still appreciates it and prefers to stay in the neighbourhood rather than move to a new project on the outskirts of the city.

*In these neighbourhoods they raise their children and have their networks. The issue of low valorisation and willingness to move out are due to the physical deterioration. Sometimes it is argued that you have to move Quilicura's inhabitants to better located neighbourhoods to improve their lives. But no, you have to valorise their own spaces and help them.(...) It is about more services, opportunities, better spaces, to live in cleaner and better-equipped neighbourhoods (Social Director PP, interview, January 2016)*

### § 6.1.2.2 Organisation characteristics

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#### Descriptive variables

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Proyecto Propio is a foundation that was born in 2004 with the aim of developing projects in vulnerable communities based on the community's ideas. The foundation has worked on diverse areas of different social projects, such as community development, participatory methodologies, post-disaster reconstruction, neighbourhood renovation and condominium improvement. In 2014 and 2015 Proyecto Propio went through a process of restructuring, diversifying the organisation with different social enterprises and increasing its participation in housing policies



At the time of the fieldwork, the organisation comprised central coordination and four sub-organisations that belong to the Foundation<sup>2</sup>:

- **The central coordination** creates and implements methodologies for social programmes and public policies. It also centralises the information and coordinates the social enterprises. The main type of projects are workshops for community leaders, and consultancy.
- **The building company executes** projects of infrastructure in housing and public spaces. Examples of projects are improvements to public spaces and public infrastructure, and the execution of improvement projects in social condominiums.
- **The technical assistance entity** carries out projects based on public policies, providing technical and social assistance to community. They coordinate, apply and execute subsidy programmes such as Programme of Protection of Family Patrimony and Programme for the Improvement of Social Condominiums.
- **Social brands** develops marketing projects at the local level as well as promoting the organisation's output through internal reports and publications (magazine: 'Barrios Adentro')
- **Shared services** develops cluster strategies for enterprises at the local level to enhance the local economy.

Proyecto Propio is a non-profit organisation that has the legal standing of a foundation, although they identify themselves as a social enterprise. The main financial sources come from governmental subsidies and consultancy work. According to the executive director, the main financial challenge is to balance the payment timeline of the subsidy programmes, which begins on completion of the projects, with the initial investment required to implement them. In this case, the private projects developed by the building company are important financial support. In 2016, the organisation managed an annual investment of 1,979,000 euros.

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During 2017 and 2018, the foundation used another process of restructuration, changing the concept of social enterprises to programmes. Now there are eight programmes: the programme of neighbourhood associations, coordination of subsidies (former technical assistance entity), infrastructure and construction (former building company), architecture and urbanism, social brand (former communication agency), territorial research (former foundation), shared services and community management.

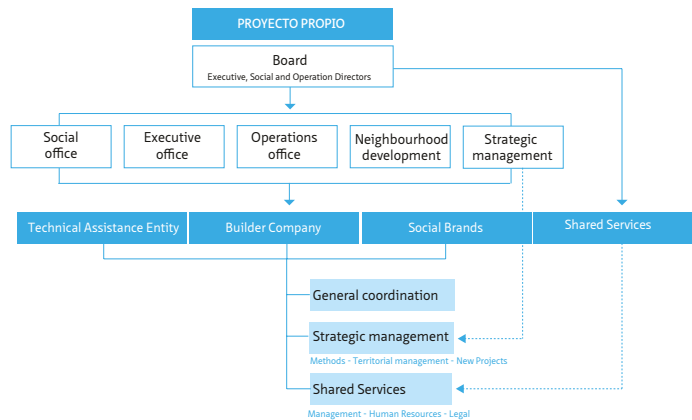


FIGURE 6.1 Organisational model foundation Projecto Propio. Source: author's elaboration based on Projecto Propio's internal documents.

The organisational model follows a flexible scheme, defined by the organisation as 'functional', in order to adapt themselves to workload fluctuations (Figure 6.1). The permanent staff of 25 employees can assume different roles according to current organisation's needs and priorities. The foundation is managed by a board of three directors: the executive director, operations director and social director, who define the guidelines for the strategic management of the four areas.

### Motivator variables

Projecto Propio has historically worked in vulnerable contexts. They define themselves as a 'methodological intermediary, which enables the access to knowledge, but also to mechanisms and processes to help community to develop their own projects' ("Fundación Proyecto Propio"). The starting point is that communities have a better knowledge of their own needs and therefore are better able to support their own ideas rather than being someone else's external projects. The foundation is 12 years old and has been able to position itself as a social brand.

The improvement of social condominiums has been a major task within the organisation since 2012. They increased their participation in condominium improvements, becoming *entidad patrocinante* (technical assistance entity) in order to participate in the governmental programme for the improvement of social condominiums. The *entidad patrocinante* is a legal entity that allows profit or non-profit organisations to become the executors of subsidy programmes, carrying out technical and social plans. This represented an opportunity for the deeper insertion of the organisation in the local areas and for participation in public policies. It also represented a better financial opportunity to develop projects with higher impact. Their

previous work in social condominiums was based on private donations and community contributions which were not enough to develop projects able to tackle the high levels of deterioration.

According to the social director, the organisation's main goal is to make themselves available to the territorial development supporting local organisations and communities to develop their own projects.

*One of the major goals is to make ourselves available to the territorial development. To understand that public policies and the development of the country go beyond individuals (...) for instance, reinforcing our engagement with the territory and helping local organisations to develop their own projects (Social Director PP, interview, January, 2016)*

Apart from the general goal, five main goals were identified by the interviewees:

- To coordinate the public and private sector with the community, as intermediaries.
- To address territorial intervention, supporting local organisations to develop their own projects.
- To contribute to decentralising public policy implementation.
- To provide tools and relationships, understanding the community as a valid interlocutor.
- To develop participatory methods in order to ensure quality in the results, and generating understanding among the community.

The social director pointed out the importance of decreasing the level of expectation for interventions in terms of outcomes in vulnerable areas. He explained that the implementation of public policies requires a sense of urgency, but at the same time requires calm, because you need to embrace the complexity of the context and understand that social challenges might go beyond the organisation's capacity. Using this logic, they decided as a foundation to 'hang up the superhero costume' and to offer tools and methods incorporating these complexities based on an understanding of the contexts. Their efforts are thus focused on in breaking through the inertia in communities and catalysing improvement processes.

### § 6.1.2.3 Condominium management dimensions: Valle de la Luna, Condominium F3

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The identification of management problems and the analysis of the process will focus on the neighbourhood *Valle de la Luna* in the municipality of Quilicura, and specifically

on the intervention in Condominium F3. The neighbourhood was built in 1993 and is comprised of 1356 dwellings organised in 25 condominiums. On average, one condominium includes 70 households.

Condominium F3 has 72 apartments organised in six buildings, which are popularly called *blocks*. The six buildings are arranged in pairs that share a staircase and have a central courtyard (see Figure 6.2). The main technical problems in the condominium (see Figure 6.3) were the result of the lack of planned maintenance over the last 20 years, aggravated by the poor initial quality of the design and construction. In addition to the generalised deterioration of common areas, precarious extensions have affected the spatial quality of the central courtyards.

Organisational problems are related to a lack of awareness that residents live in a condominium, and a lack of knowledge about condominium law, which leads to unclear responsibilities about maintenance and administration. Residents commonly do not recognise the boundaries of their own condominiums. The random shapes of the condominium do not contribute to a better understanding of the common property. Most of the condominiums are not legalised and do not have administrative committees or internal regulations. If there is self-organisation it happens at the level of blocks or pairs of blocks. In terms of financial resources, families have managed, with difficulties, to invest in their own apartments, but the financial situation is restrictive as regards investing in common areas and organising a maintenance fund.

Sociocultural problems consist of drugs micro-trafficking, but also bad habits regarding housing maintenance, such as using courtyards as rubbish areas or engaging in individualistic behaviour when it is necessary to cooperate to clean up the common domain areas. The organisation has detected low self-esteem among the residents due to the deteriorated environment conditions, affecting their capacity for action and creating a general distrust in institutions. Even though there are a few active leaders among the community, the majority of the community tends to be passive. The management problems are listed in Table 6.1, organised by dimensions and elements.

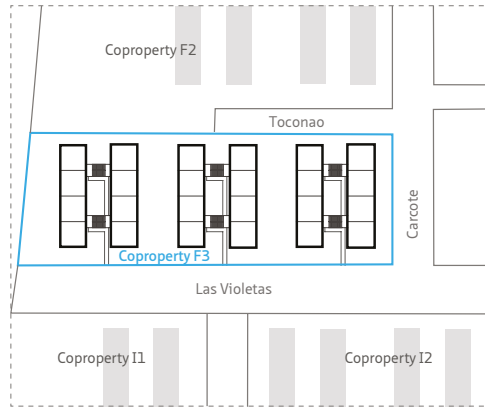


FIGURE 6.2 Condominium F3, Valle de la Luna, Quilicura. The condominium is organised in six pairs of buildings (blocks). Source: author's elaboration based on Proyecto Propio's internal documents.



FIGURE 6.3 Condominium F3, Valle de la Luna before the intervention. Source: Proyecto Propio

INITIAL SITUATION	INDICATORS	DESCRIPTION
Contextual conditions	Institutionalisation	<ul style="list-style-type: none"> <li>- The regulatory framework is the co-ownership law. It defines the main organisational elements.</li> <li>- Maintenance practices or standards are not regulated.</li> <li>- The only participation of third sector or private organisations in social condominiums is through the subsidy programme as entidades patrocinantes.</li> <li>- Governmental support to the TS is through subsidies on a project-based approach.</li> <li>- Private (for profit) enterprises that specialise in administration do not work with low income groups.</li> </ul>
	Territorial specifics	<ul style="list-style-type: none"> <li>- Second generation of relocated families.</li> <li>- Maintenance is not a priority given financial and social constraints.</li> <li>- Average monthly income per household: from €245 to €690</li> <li>- Presence of individual leaders with wide experience</li> </ul>
Organisation characteristics	<b>Descriptive variables</b>	
	Legal structure	- Foundation and four social enterprises: the Foundation, the Building Company, Assistance Entity and Communication Agency.
	Profit objective	- Non-profit
	Funding income	- Government subsidies, private consultancy
	Organisational structure	<ul style="list-style-type: none"> <li>- Flexible scheme: one person might have more than one role depending on the workload of the social enterprises</li> <li>- 25 employees and voluntary work.</li> <li>- Three directors: executive director, operations director and social director.</li> </ul>
	<b>Motivator variables</b>	
	Goals	<ul style="list-style-type: none"> <li>- Coordinate public and private sectors with the community, being intermediaries.</li> <li>- Address local intervention.</li> <li>- Contribute to decentralising the implementation of public policies.</li> <li>- Provide tools and relationships understanding the community as a valid interlocutor.</li> <li>- Develop participatory methods in order to ensure quality in the results and understanding in the community.</li> </ul>
Mission & drivers	<ul style="list-style-type: none"> <li>- Social innovation values: user involvement, user perspective, user empowerment and multidimensional approach to face complex problems.</li> <li>- Since 2012 they have been more active in condominium improvements participating in subsidies programmes</li> </ul>	

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INITIAL SITUATION	INDICATORS	DESCRIPTION
Condominium management dimensions Neighbourhood valle de la luna condominium f3	<b>Technical dimension</b>	
	Physical conditions	<ul style="list-style-type: none"> <li>- High deterioration in buildings and common domain areas (i.e. damage to staircases, roof, window frames, fences and doors)</li> <li>- Appropriation of public spaces and common property in the ground floor.</li> <li>- Informal and precarious extensions</li> <li>- Presence of vacant lots</li> <li>- Central courtyards in condominiums without paving, narrow spatial conditions and scarce daylight due to extensions.</li> </ul>
	The maintenance plan	<ul style="list-style-type: none"> <li>- No regular maintenance or preventive maintenance at the condominium level.</li> <li>- Individual maintenance only inside apartments.</li> </ul>
	<b>Organisational dimension</b>	
	Norms	<ul style="list-style-type: none"> <li>- Lack of awareness that they live in a condominium.</li> <li>- Lack of knowledge about the co-property law.</li> <li>- No condominium regulations.</li> </ul>
	Financial & human resources	<ul style="list-style-type: none"> <li>- Non-existence of a maintenance fund.</li> </ul>
	Organisational structure	<ul style="list-style-type: none"> <li>- No formal organisational structure.</li> <li>- Presence of informal organisational structures that are different from the condominium.</li> </ul>
	<b>Sociocultural dimension</b>	
	Culture & knowledge	<ul style="list-style-type: none"> <li>- Bad habits regarding maintenance (e.g. rubbish areas inside the condominium)</li> </ul>
	Action capacity	<ul style="list-style-type: none"> <li>- Individualism rather than cooperation in collective maintenance.</li> <li>- Few experienced leaders and a passive community.</li> <li>- Drugs micro-traffic has damaged social capital.</li> <li>- Community with low self-esteem due to high deterioration of the condominium and the neighbourhood.</li> </ul>

TABLE 6.1 Analytical framework. Initial situation

### § 6.1.3 Intermediation

#### § 6.1.3.1 Organisation role

Organisation professionals were asked about the role of Proyecto Propio and the main strategies developed to intervene in social condominiums. The interviewee responses were organised according to the role classification of implementer, catalyst and partner (see Table 6.2).

Prior to the delivery of the services, the social and executive directors described a general strategic approach which defines their relationship with the local area. This approach employs a model of intervention that seeks to address three scales in every area: the unit, the condominium and the public space. Once they identify a territory with specific needs, they develop an intervention plan. This approach is used to increase the trust of the community regarding the organisation and to consolidate interventions in one area.

*Proyecto Propio* combines implementer and catalyst roles, in which they target both the community and the buildings with their own human resources. Although they establish a relationship with the municipalities of the neighbourhoods they work in, this relationship is about informal collaborations that do not translate into the specific participation of the municipality in the process.

In its role as implementer, *Proyecto Propio* executes improvement projects in social condominiums financed by governmental subsidies. They are therefore vehicles of housing policies, providing a physical renovation of the condominium with the budget and conditions imposed by the programme. The professionals noted three main strategies used to carry out the intervention, which differentiate them from other (more technically oriented) *entidades patrocinantes*. The first strategy is to maximise the financial resources of the subsidy, including all the requirements to apply for the maximum amount per project, and developing new subsidy projects in the same area in order to consolidate interventions. A second strategy is to promote transparency, making technical and financial information accessible to their clients. The third strategy is to customise the improvement projects in the condominium using participative design methodologies. To do this, the organisation developed a tool called *El Tablero* (the blackboard) which contains processes and procedures that help the community to define their projects collaboratively. *El Tablero* is described by the organisation as a methodological tool to encourage the users to participate in the decisions, to choose their project and to make them responsible about the choice. It has four main sections with guided questions about the definition of the condominium's project, brainstorming, analysis and agreements that are discussed between the co-owners, and answered in the meetings. The questions are complemented with graphics resources to help envision the possibilities of future projects.

As a catalyst, the organisation focuses on the consolidation of organisational structures, the provision of information about condominium maintenance and the co-ownership law. They seek to improve maintenance practices and to increase homeowner awareness of their responsibilities. To do this, the professionals promote a professional-client relationship, in which the community is a valid interlocutor with the capacity and knowledge to make their own decisions. The organisation does not see its work as philanthropy, and tries to avoid the paternalistic approaches of top-down aid organisations. They also support homeowners in upgrading the administrative status



of the condominiums according to legal requirements. Proyecto Propio also provides selective training about condominium administration. Given the knowledge gap between the community and the difficulties of transferring the information widely, they decided to focus the training on the administrative committee. Their assumption is that the leaders will transfer the knowledge to the community and to the next committee members. Another strategy is the development of their own methodological tools and informative material to strengthen responsibility and the informed decision-making process. The Social Worker noted that two main concepts guide this approach; proceduralism and deliberation. Proceduralism refers to the promotion of social intervention without predefined content because it has to be defined by the users, and the concept of deliberation is a step forward to participation, aiming at the development of a thoughtful process of decision-making (Miranda et al., 2013)

### § 6.1.3.2 Process

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The activities were grouped into three main phases in order to analyse the process: preparation, operation and anchoring, and associated with the management dimensions. Figure 6.4 summarises the main activities in relation to the phases and management dimensions.

#### Preparation phase

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The preparation phase comprises all the necessary activities to involve the community in the project. The organisation has to apply to the subsidy programme to obtain the financial resources. This means that the community has to be organised and the organisation has to present a technical proposal with the consent of the co-owners. Given the importance of this initial step for the continuity of the project, the organisation invests more time and resources in this phase in order to gain the trust of the community, get them involved in the process and reach a consensus about a project for the condominium. One of the main activities is the identification of active leaders. In addition to leadership at the condominium level, Proyecto Propio also considers other types of organisations on a small scale such as 'block representatives' who help to channel the information to smaller groups. At Condominium F3, the blocks were organised before the intervention of Proyecto Propio to arrange Christmas parties and contact the municipality.

Another activities to get the community involved are the promotion of subsidy opportunities in local markets or the provision of incentives to the community to show that they are a reliable organisation for subsidy applications (i.e. to pay the owner contribution to the subsidy or to make a 'work of trust' in the condominium). Once the

community is involved, meetings are held to inform them about the process and define the project with the community, using a blackboard. According to the social professionals of the organisation and the community leaders, this phase is time consuming, and an important workload for them. It also requires substantial (pre)investment from the organisation when the risk of failure is still high.

### Operation phase

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The operation phase starts once the subsidy is obtained, and has a duration from 6 to 12 months, which is defined by the subsidy programme. At this stage, they finish the design of the project and make the adjustments required to carry out the construction. A team of one social worker and one architect are in charge of the process and the community recognises them as the organisation's representatives. The team organises informative meetings with the community about the process. The construction is usually carried out by the building company of the organisation, supervised by the architect who visits the site weekly.

Another element of the intervention is the legalisation of the condominium according to the co-ownership law, which can be done either in the preparation phase or in the operation phase. The process consists of registering the condominium in the CBR. To do so, the condominium has to consolidate an administrative committee and define internal regulations. The main activities are informative meetings with the community about co-ownership law and maintenance, the organisation of the first condominium assembly and the organisation of training meetings for the administrative committee about condominium management.

The improvement of Condominium F3 required a total budget of €202,414, which was used to pave the condominium area, install a new fence, paint the facades, replace the rain gutters, repair the staircases, change windows and doors, improve the roof, removing asbestos cement, and eradicate the plague of pigeons. Figure 6.5 shows the condominium after the intervention.

### Anchoring phase

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The anchoring phase is not as clearly defined as the previous phases. The professionals noted that they finish work with the condominium when the project is complete, but they do not completely withdraw from the neighbourhood until the area plan is completed. This plan consists of interventions in as many condominiums as possible in the same territory. In most situations they will start a new process with another condominium, continuing informal communication with the previous community.

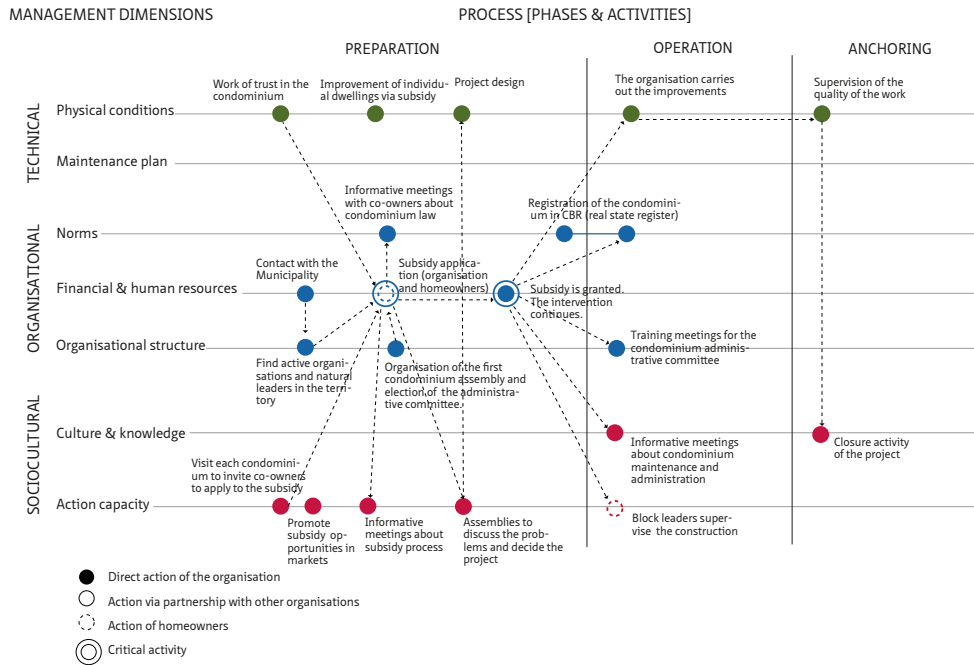


FIGURE 6.4 Process of intervention. Activities organised according to management dimensions and phases. Source: author's elaboration.

### § 6.1.3.3 Barriers and Enablers

The organisation professionals were asked about the main barriers and enablers encountered during the process. These barriers and enablers can be related to the organisation itself or related to the context and the circumstances under which they work.

The main barriers of the context's circumstances are related to the general physical deterioration of the condominium and neighbourhoods, and the social vulnerability of their residents. Some barriers are critical problems in the design and construction of the condominiums, and the existence of drugs micro-trafficking and delinquency problems that are beyond the organisation's scope. The latter hampers security. They also noted the difficulties of 'taking care of previous experiences lived by the community'. The social coordinator explained that these neighbourhoods have faced several unsuccessful projects in the past, either by previous *entidades patrocinantes*, governmental institutions or foundations, which have diminished the credibility of the success of these interventions.

The professionals pointed out the lack of a culture of housing maintenance and the management of common property in the community, suggesting that residents tend to adopt individualistic behaviour when it comes to taking collective responsibility. Other contextual barriers are related to the subsidy programme. According to the professionals, the budget for the technical project (asistencia técnica) is enough to make substantial changes to the condominium, and payment for the services is satisfactory. Nevertheless, the timeframe of one year and the administrative bureaucracy constrain the social and organisational intervention to a minimum level. Another barrier involving the subsidy is the changing criteria for allocating resources, from one funding call to another, which complicates access to the subsidy; the inefficient payment process affects the organisation's revenues, creating a lack of incentives to perform good work or to innovate. The main barrier for the organisation is the communication gap between professionals and the community, for the transference of technical knowledge.

On the other hand, professionals noted that knowledge about living in a condominium is a positive surprise for the community, as an enabler for the intervention. They also mentioned that the same community protects them from threats such as delinquency or conflicts related to drugs. The policy of transparency about information was noted as an enabler. Although this has generated more demanding clients, it has also contributed to increasing the trust of the community about them. Coordination with the municipality facilitates the implementation of housing policies and the coordination with community leaders and block representatives facilitates the organisation of condominiums. Finally, the development of a close relationship between the professionals and the residents as a result of being available in non-working hours or being present throughout the whole project, generated more trust between the community and the organisation.

INTERMEDIATION	INDICATORS	DESCRIPTION	
Roles & strategies	Implementer strategies	<ul style="list-style-type: none"> <li>- Maximise the financial resources offered by the subsidy</li> <li>- Customise the projects with participatory design processes, using methodological tools (el tablero)</li> <li>- Promote transparency, offering the clients technical and financial information about the projects</li> </ul>	
	Catalyst strategies	<ul style="list-style-type: none"> <li>- Promote symmetry in the professional-client relationship</li> <li>- Give specialised training to condominium administrative committees</li> <li>- Develop their own methodological and informative material to intervene, upgrading the information provided by the government</li> </ul>	
	Partner	(-)	
Process	<b>Phases</b>	<b>Activities</b>	<b>Management dimensions</b>
	Preparation phase (6 months)	- Find active organisations and natural leaders	Sociocultural – action capacity
		- Promote the subsidy in local markets	Sociocultural – action capacity
		- Visit the condominiums inviting home-owners to participate	Sociocultural – action capacity
		- Meetings to inform about the process	Organisational – financial resources
		- Assemblies to define the project with the community	Technical – physical conditions/ Sociocultural – action capacity
	Operation phase (12 months)	- Meetings to inform about co-ownership law and maintenance	Organisational – organisational structure/ Sociocultural – culture & knowledge
		- Organise the first condominium assembly	Organisational – norms
		- Register the condominium	Organisational – norms
		- Informative meetings about the project and the subsidy process	Technical – physical conditions
		- Weekly visit to the condominium site.	Technical – physical conditions
	Anchoring phase	- Training meetings with the condominium administrative committee about condominium management	Organisational – human resources
		- Availability to solve problems regarding post execution	Technical – physical conditions

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INTERMEDIATION	INDICATORS	DESCRIPTION
Barriers & enablers	<b>Barriers</b>	
	Organisation characteristics	<ul style="list-style-type: none"> <li>- To be transparent about the information implied more demanding clients.</li> <li>- Communicational gap between professionals and the community</li> </ul>
	Context conditions	<ul style="list-style-type: none"> <li>- The construction site with families living there generate stress in the community</li> <li>- Condominiums present critical problems of design and construction quality</li> <li>- Lack of culture about the management of common areas</li> <li>- Communication gap between professionals and the community</li> <li>- Over-intervening in the neighbourhood with previous unsuccessful interventions and distrust in institutions</li> <li>- Existence of drugs micro-trafficking and delinquency hampers professional's security</li> <li>- Problems in subsidy programme about the allocation of resources, inefficient payment process, lack of incentives to perform good work and a short timeframe to develop the intervention</li> </ul>
	<b>Enablers</b>	
	Organisation characteristics	<ul style="list-style-type: none"> <li>- Being transparent about the information increases the community</li> <li>- The coordination with the municipality</li> <li>- The coordination with community leaders and blocks representatives</li> <li>- Development of a close relationship between the professionals and the community</li> </ul>
Context conditions	<ul style="list-style-type: none"> <li>- Knowledge of living in a condominium is a positive surprise for the community</li> <li>- Community protects them from the context's threats such as delinquency or conflicts related to drugs micro-trafficking</li> </ul>	

TABLE 6.2 Analytical framework. Intermediation

## § 6.1.4 Results

### § 6.1.4.1 Organisation performance

#### Internal assessment – Success parameters

The organisation's professionals were asked about the success parameters used to evaluate their interventions. Although the organisation does not have standard indicators to measure their performance, there was a consensus among the interviewees that success is related to the process rather than the results, and that it is measured taking into consideration the complexities of the context.

The success of a project is associated with participatory processes, the generation of understanding among the community and the intention to adopt new behaviour regarding condominium maintenance. In a successful process the *'community was involved and the requirements were achieved on time. Success is to trigger an intention of change (...) to make the people think that they can live better, it is just about questioning themselves, to create awareness'* (Social Worker PP, interview, January 2016). The technical professional noted that the fact of generating small behavioural changes in the community is a sign of success. Examples of such small activities are starting to clean the common areas more often or to build a garden in the improved courtyard.

The social director emphasised the process as the main focus of the organisation, especially in complex contexts where quality is about 'how to understand this context and to offer procedures and methods that help them to clear these problems'. The social director also referred to indicators to measure the achievement of their goals, emphasising the consolidation of a platform of organisation and the provision of tools for condominium management.

*'The people have a platform to organise themselves as co-property, to be a formal condominium, but also to have an administrative committee that understands its role and the law; and a group of neighbours that understands the goals of living in a condominium. What happens after this? They will have to see how to use these tools, according to their own aspirations'* (Social Director PP, interview, January 2016).

Other indicators noted by the professionals include that the municipality trusts them and contacts them to carry out new projects, that the community recommends their work to other condominiums or that the community asks them to apply for new projects together.

### External assessment – user perception

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The homeowners who were interviewed live in the neighbourhoods of Valle de la Luna (Quilicura) and Vicente Huidobro (El Bosque). At the time of the interview, the condominiums were either improved or in an advanced stage of the process. Three out of five interviewees were the chairpersons of their condominium's administrative committees, and the other two were residents. The chairpersons were women, two of whom had a long history as community leaders. They had a very good knowledge of the neighbourhood and were respected by the community. Their work is voluntary, and most of the time is not compatible with a full-time job. The chairpersons have played a key role in conducting the projects. The three chairpersons feel they have gained more experience and technical knowledge through the projects.

*'The people come with questions and I feel more important, because I can give them a good answer with the correct information (...) Sometimes they come with the wrong information provided by someone else, and I tell them that they have to ask to me, because I'm the chairperson and I know all the steps in the process' (Neighbour's interview, Valle de la Luna, 2016)*

The interviewees noted that the condominiums were in bad condition before the intervention. The only maintenance activities carried out were cleaning, such as sweeping the corridors or the courtyard at the level of each block. This was the first time that any type of improvement or maintenance had been conducted in the condominium. The condominiums were not recognised by the interviewees as an unit of organisation and administration. Instead, the organisation at the block level was commonly used to organise barbeques, to celebrate Christmas or to apply for governmental benefits.

*'Before being a (formal) condominium, we weren't one. We lived each one on their own. We did not have any relationship with the other three blocks. In fact, when we started with this project, we started to know more about it and we became a condominium. Now we are one group' (Neighbour's interview, Valle de la Luna, 2016).*

In general, the organisation contacted them or they knew about Proyecto Propio due to previous work in the same neighbourhood. The two most experienced chairpersons described the first part of the process as time consuming, with an important workload, especially getting co-owners involved from the different blocks in the projects and collecting the paperwork. One important incentive mentioned was the financial support of the organisation. After knowing this, the people agreed to participate. One of the chairpersons noted that the people distrusted them because of previous bad experiences with former community leaders who committed fraud. *'The problem is that has been hard to make the people trust in us (...) I go to the neighbourhood with a megaphone to call the people'* (Neighbour's interview, Vicente Huidobro, 2016).

The interviewees agreed that they participated and chose their projects. They noted the assemblies as activities where they could give their opinion. There was no special mention of the tools and the methods employed by the organisation, however.

*We had meetings and we had to give our opinion. We chose the colour, the type of floor, everything was selected by the people (Neighbour's interview, Valle de la Luna, 2016).*



*We participated. We made the improvements that we wanted. This block was the worst compared to the others. We are now one condominium. So, they asked us what we want, and we started with painting, the replacement of windows, doors and roof (Neighbour's interview, Valle de la Luna, 2016).*

PP's performance was evaluated positively. The interviewees highlighted the good communication with the organisation, Residents noted that the professionals were always willing to solve the doubts, to explain the process and to provide information. *'They always explained the status of the projects, where there were doubts they came, we talked to them and we answered our questions'* (Neighbour's interview, Valle de la Luna, 2016). The chairpersons noted their role as supervisors of the construction and the main communication channels between the organisation and the community. Any complaint was reported through the condominium chairperson. They were also satisfied with the physical results achieved in the condominiums, emphasising the improvement of security within the block and the aesthetical change. There were some problems noted, however, such as technical mistakes by the building company during the construction process and delays with the paperwork at the beginning. They also emphasised that they were minor problems in relation to the whole process.

According to the chairperson and the neighbours, the community started to use the common areas more after the improvements in Valle de la Luna, to decorate them and to think about applying for new projects.

*'Before I did not have plants outside my apartment. It was not paved, but I always had to sweep the floor and I had complained that the other people would not do it. Now, sometimes other people sweep as well. Actually, they brought a new plant for the courtyard. (...) I really wanted this block to be improved, it was horrible. But I did not have the motivation. The block did not have lighting and everybody stayed in their homes and the common areas looked abandoned. The kids did not go to play outside. Now, it is different.'* (Neighbour's interview, Valle de la Luna, 2016)

The idea of developing new projects is related to subsidy opportunities. Being a condominium enables them to apply for more government benefits, however they have generated a kind of dependence on subsidy programmes as the main, if not the only, way to improve their living conditions.

*Our idea is that now when we are finished we will apply to new projects. In fact, now that we are a co-property is easier to apply for upcoming projects. I have neighbours for whom nobody has come to improve their apartments. I tell them that they should not spend money if they can wait until a new opportunity arrives' (Neighbour's interview, Valle de la Luna, 2016)*

At Vicente Huidobro, the interviewee was more suspicious about changes in community behaviour. She thinks that they might change in the future, but she noted that there are things that cannot be changed, such as the drug problems. From her point of view this is a very complex issue that does not have a solution.

#### § 6.1.4.2 Condominium management dimensions

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The results are measured according to the management dimensions by comparing the initial and final situation. The condominiums solved their most urgent technical problems using the budget and items covered by the subsidy programme (roof replacement, new change of windows and doors, new fence, rain gutter, repair of staircases, paving). The buildings are in better condition in terms of safety and aesthetical appearance. There are still problems related to the lack of a maintenance plan, the situation of informal extensions and the presence of vacant lots after the intervention. Apart from giving advice, PP does not intervene or carry out actions in these areas.

The intervention has been the basis for internal organisation. The condominiums are legalised, which means that they have been legalised in the Real Estate Register, they have an administrative committee and a set of regulations. The condominium's administrative committee has received basic training about condominium management. After the process, the community was aware that they lived in a condominium, they knew the limits of the property, the existence of condominium regulations and the monthly expenses for maintenance, however the knowledge remains at a basic level and there is no certainty about the financial capacity of the co-owners for future maintenance and repairs. Even though regulations concerning monthly expenses for maintenance have been established, there is no certainty that co-owners will pay their contributions. These contributions are set very low (from 2 to 3 euros per month), not enough to finance more than small repairs or daily maintenance activities. The most likely situation is that co-owners will keep relying on subsidies to maintain their condominiums. The main responsibility for the management of the condominium relies on the condominium's administrative committee and their capacity to transfer the information to the next representatives.

In the sociocultural dimension, the main achievements are related to the increase of community participation during the process and the improvement of their perception about the condominium. Co-owners who participated in the meetings have received information to increase their knowledge about maintenance practices. The community appreciated the aesthetical improvement, generating a milestone between before and after the intervention. The improvements have triggered more cooperation among

co-owners to take care of the common areas. There is no certainty, however, about whether this initial enthusiasm, along with the informative meetings, will result in long-term changes in the community's capacity regarding housing maintenance. Other social problems such as drugs micro-trafficking and delinquency are out of the organisation's scope, but are permanent threats and barriers to community cohesiveness.



FIGURE 6.5 Condominium F3, Valle de la Luna after the intervention. Source: Proyecto Propio

Results	INDICATORS	DESCRIPTION
Organisation performance	Internal assessment – success parameters	<ul style="list-style-type: none"> <li>– There are no standard tools with which to evaluate the success of every project.</li> <li>– Generation of understanding in the community.</li> <li>– Intention of new behaviour regarding community maintenance and organisation.</li> <li>– Good relationship with the municipality to continue with more projects.</li> <li>– The community recommend them to other condominiums.</li> </ul>
	External assessment – user perceptions	<ul style="list-style-type: none"> <li>– General positive evaluation of the organisations.</li> <li>– Minor problems in the process such as technical mistakes and delays in the paperwork.</li> <li>– Community agreed that they had the space to participate and choose their projects.</li> <li>– Identification of a milestone in the condominium before and after the intervention (i.e. security and aesthetical change).</li> <li>– Good communication with the organisation.</li> <li>– Professionals willing to solve doubts.</li> <li>– More participation of the community in cleaning and decorating the common areas.</li> <li>– The idea of developing new projects is related to subsidy opportunities.</li> </ul>
Condominium management dimensions Case: neighbourhood valle de la luna – condominium f3	<b>Technical dimension</b>	
	Physical conditions	<ul style="list-style-type: none"> <li>– The main technical problems solved using the subsidy budget (roof replacement, new change of windows and doors, new fence, rain gutter, repair of staircases, pave)</li> <li>– Apart from giving advice, they do not remove or intervene in the informal extensions and the vacant lots.</li> </ul>
	Maintenance plan	– No specific actions to implement a maintenance plan.
	<b>Organisational dimension</b>	
	Norms & rules	<ul style="list-style-type: none"> <li>– The condominium is legalised in the Real Estate Registrar, has an administrative committee and a set of regulations.</li> <li>– The community understand that they live in a co-property and they recognise the physical limits of the condominium. The information remains at a basic level.</li> </ul>
	Human & financial resources	<ul style="list-style-type: none"> <li>– The administrative committee has received basic training about condominium management.</li> <li>– Financial resources remain ambiguous.</li> </ul>
	Organisational structure	<ul style="list-style-type: none"> <li>– Consolidation of an administrative committee at the condominium level.</li> <li>– Alternatives organisation at the block level.</li> </ul>
	<b>Sociocultural dimension</b>	
	Culture of maintenance	– Generation of understanding about maintenance in the co-owners that attended the meetings.
Action capacity	<ul style="list-style-type: none"> <li>– The improvements have triggered more cooperation among co-owners to take care of the common areas.</li> <li>– No action regarding social problems (drugs, delinquency, violence), they are out of organisation's scope.</li> </ul>	

TABLE 6.3 Analytical framework. Results

## § 6.1.5 Summary

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Proyecto Propio provides interesting insights into the capacities and limitations of Chilean third sector organisations in supporting homeowners to improve the management of their condominiums. The organisation focuses on the re-activation of distressed communities with an holistic approach, adopting an implementer and a catalyst role.

The organisation initiates the intervention in a top-down manner, but at the same time places a strong emphasis on community participation. In this activation process, the experience of Proyecto Propio showed that the intervention needed to take care of previous history and deal with problems that usually go beyond the organisation's capacities. For instance, the initial low quality of the buildings, presence of drugs and micro-trafficking or general distrust of institutions are local characteristics of these neighbourhoods which inevitably have impacted the process.

The contribution of Proyecto Propio in this area is an approach towards the intervention that embraces the complexities of the context. This means the acknowledgment of these problems and the incorporation of methods and tools in the process to tackle them. Some examples are the creation of participatory mechanisms to decide upon the physical project, the willingness to invest more time and resources at the beginning of the intervention where the risk is still high, and the promotion of transparency of information during the process to increase trust, however they also have a realistic view of the goals and the expected outcomes, positioning their intervention as a contribution to solving a major problem that needs to be taken care of by governmental interventions.

Proyecto Propio relies on governmental resources to develop their own agenda in a project-based approach, therefore adapting themselves to the public goals. The experience of Proyecto Propio showed that the subsidy programme for condominium improvements is a financial enabler but at the same time, represents a methodical barrier. The professionals discussed problems related to the limited timeframe to develop the social plan, the lack of incentives to innovate and the excessive bureaucracy. While the central government is the main financial source, the municipality is a key ally at the local level. This relationship is normally based on informal agreements, however. In this case the municipalities provided information about the community, but their contribution cannot be considered part of an actual partnership.

The organisation adopts catalyst and partner roles which are performed with the organisation's resources, without strategic partnerships to enlarge or optimise their performance. Proyecto Propio therefore implements improvement projects from design to construction, and at the same time, is a catalyst of good practices regarding condominium management. In order to do this, the organisation needs a permanent multidisciplinary team to cover both social and physical interventions.

As part of the catalyst role, the organisation recognises the capacities of community leaders, incorporating them as active participants in the process. Community leaders are key allies in approaching the residents, acting as an intermediary actor between the organisation and the community. The closeness between the organisation and the community during the intermediation is another characteristic of the intervention that seems to be effective in generating good communication channels and mutual trust. An important part of this trust is also built on the personal capital of face-to-face relationships between the professionals and the neighbours.

The identification of natural leaders also provides the necessary information about parallel organisational structures in the condominiums, which seems to be more effective and suitable for the community than the legal boundaries of the property, especially in big condominiums. The 'block' was the main organisational unit in the case analysed, which facilitated administration. Proyecto Propio used the 'block' and the 'block representative' to organise and coordinate the intervention.

One of the main contribution is the provision of a new starting point for social condominiums, not only technically but also in terms of organisational structures and the action capacity of co-owners. The main challenges are then, to maintain this new status and to capitalise on these achievements as management practices. The main pending areas are therefore the design of a maintenance plan, strategies to solve problems of misuse of the common property (informal extensions or vacant lots), and sustainable financial models to ensure proper maintenance practices in the future.

The analysis of Proyecto Propio suggests three main debates about the role of third sector organisations. The first debate is about the institutionalisation of third sector practices in contexts that lack permanent governmental support. According to the experience of Proyecto Propio, third sector organisations are in the middle, between vehicles of housing policies and social entrepreneurs. This type of organisation responds to social entrepreneurial characteristics, representing a step forward from traditional philanthropic practices, however they still rely on a subsidiary system based on projects, which does not contribute to ensuring stability over time, and moreover, restricts their capacity to innovate.

The second debate is related to the first, and involves the approach of the organisations to vulnerable areas, including social innovative values and realistic goals. On the one hand, social innovative values contribute to overcoming the paternalistic approaches of traditional aid organisations. The centre of the interventions are users, who are capable to make decisions. The organisation focuses not only on the final result of satisfying a particular need but also on the process, by empowering the community or at least, their leaders. On the other hand, since the contexts are socially complex, the organisations have to deal with social and financial constraints, embrace these complexities and therefore be realistic about the outcome expected.

Finally, the third debate is about the importance of the physical improvement in deteriorated condominiums, as a required step in activating communities. In this case, the project was used also as a tool to improve organisational and sociocultural dimensions. The physical improvement and the process to implement it can be also a means to increase homeowner responsibilities in condominium management, to facilitate future maintenance processes and to demonstrate the impact of a better internal organisation on the residents' quality of life.

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## § 6.2 Lesson-drawing

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Twelve practices of PP were selected from which to draw lessons. The practices are assessed using the matrix presented in Chapter 5, which considers a description of the practice, focus, conditions to develop the practice and drawbacks. Lessons are formulated after the assessment of each practice, . The practices and lessons are summarised in Table 6.4.

### Practice #1. Initial top-down approach to inactive communities

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#### Assessment:

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The organisation has a top-down approach with a strong component of community participation to break through the inertia in inactive communities that lack the social capital to initiate the process. In these cases, the organisation is the external initiator, deciding the territory where they will work according to the territorial and social characteristics of the area and the possibilities of collaboration with the municipality. The intervention in condominiums occurs in the private property, however, and requires the collective and voluntary participation of the community in the subsidy

system, therefore, the ultimate decision to improve the condominium is taken by the co-owners. The practice is focused on the sociocultural dimension, specifically in the capacity for action.

The main conditions for this practice are the existence of professionals with social and communication skills to blend into the neighbourhoods and engage with the communities. It also requires the presence of natural leaders within the community, who are willing to cooperate with the organisation. One of the main drawbacks is that the community might create a dependency on external organisations to initiate new projects, especially if the initial top-down approach is not combined with strong participation during the process. Furthermore, if the project is not representative of the community's needs it is more difficult to maintain the results over time.

**Lesson:**

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The external intervention of an intermediary organisation can be effective in activating passive and unorganised communities. Even though the initial approach is top-down, the process that follows is voluntary in nature, requiring an important component of participation (starting from the leaders) to keep the community engaged and avoid dependence on the initiator.

**Practice #2. Territorial approach to enhance the impact of the interventions**

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**Assessment:**

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The organisation has a territorial approach that considers an intervention on three scales: dwellings, condominiums, and public spaces, with systematic interventions in the same territory as a way to achieve more significant and permanent changes. This approach combines different subsidy programmes, contributing to steering the allocation of resources towards a territory in which the organisation has already invested in territorial insertion and has established a relationship with the community and the municipality. This approach is focused on the technical dimension, improving the quality of the condominiums but also the neighbourhood where they are located.

The main conditions are related to the organisation and the context. There should be flexibility from the organisation regarding the time required to intervene in the areas. Contextual conditions include the existence of a spatial concentration of social condominiums, the existence of governmental programmes or subsidies focused on the built environment and the existence of a municipality willing to enable the



intervention. The main drawback is related to the size of the territory and the types of simultaneous interventions that might increase the complexities of the process.

**Lesson:**

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The systematic intervention of a third sector organisation in the same territory and at different scales (neighbourhood, condominiums, and dwellings) contributes to achieving more significant and permanent changes in one territory by concentrating inversion (public or private) in the same area and by consolidating their territorial insertion and their relationships with the communities and municipality.

**Practice #3. Intervention in vulnerable contexts as a service for capable clients**

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**Assessment:**

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The organisation has developed different strategies to challenge the perception of subsidy interventions as a charity for passive receptors rather than a service for capable clients. The goal is to increase homeowner action capacity and responsibility through the process and in the results. Strategies include sharing responsibility for the project's decisions with the community, promoting a client-professional relationship with a horizontal dialogue and encouraging the participation of community leaders as supervisors of the construction process. The practice focuses on the sociocultural dimension, validating homeowners as mainly responsible for the decisions in their condominiums.

The main conditions arise from the organisation and the community. The organisation is required to incorporate this vision into their daily activities, through professionals with social and communication skills. On the community side, a minimum of participation and attendance at meetings is required. The educational gap in achieving horizontal communication between technical professionals and clients is the main drawback.

**Lesson:**

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The transference of responsibilities to communities contributes to increasing awareness regarding decisions about the built environment. This transference implies greater participation of the community during the process but also a change in the organisation's perception of the community from passive receptors to capable clients.

#### Practice #4. Strategic and selective training

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##### Assessment:

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The organisation decided to focus their main efforts on training the condominium committee members. This is because there are time and financial constraints on providing massive training, especially in big condominiums, and not all co-owners are interested in being informed about management. Proyecto Propio relies on the experience and communication capacity of the leaders to transfer this knowledge to the community and the next committee members. The action is focused on the organisational dimension, specifically human resources and organisational structures, increasing the skills of administrative committee members in housing management and strengthening the internal organisation of the condominiums.

The main conditions required to carry out this practice are the use of professionals with expertise in training and the existence of internal organisational structures in the condominium to take care of the administration. Nevertheless, it is uncertain whether the administrative committee will transfer the knowledge to the next members or to the community.

##### Lesson:

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In the context of scarce resources, selective training can be effective to focus the resources in the most experienced leaders, who are more keen to learn. The training has to include tools to ensure that the leaders will have the capacity to transfer their knowledge to the next representatives and to the rest of the community.

#### Practice #5. The organisation is a vehicle of subsidy programmes so as to enhance its financial resources and participation in public policies

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##### Assessment:

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The organisation is registered as entidad patrocinante in order to obtain resources to implement projects of condominium improvement using the PMCS subsidy. Participation in subsidy programmes is seen by the organisation as a means to increase their financial resources and implement major improvements in condominiums while participating in public policies. The strategy focuses on the technical dimension through the improvement of the physical conditions of condominiums, and focuses on the organisational dimension through the legalisation of condominiums.

Conditions come from the context, the organisation and the communities. Firstly, governmental resources that allow improvements to condominiums have to be available. Secondly, the organisation has to be registered as entidad patrocinante and have the financial capacity and human resources to carry out the projects. Thirdly, the co-owners have to agree, as a group, to apply for the subsidy with the organisation. The main drawback is that the intervention is subordinate to the conditions and priorities of the subsidy programme (i.e. limited timeframe of the intervention, rigid list of projects to select from, excessive administrative paperwork).

**Lesson:**

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The use of government funding contributes to increasing the resources of the intervention as well as the impact of the third sector organisation in a territory, however if the goals are not aligned, the use of governmental funding can become a barrier to pursuing the organisation's agenda or to developing their own methods.

**Practice #6. Double role as implementer and catalyst provides control over the whole intervention**

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**Assessment:**

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The organisation takes care of the whole intervention with their permanent staff, including the implementation of the improvements in the condominium and the social activities to catalyse the community. This has contributed to greater control over the process, deeper knowledge of the condominium problems and a close relationship between the professionals and the community. A team comprising a social worker and an architect are in charge of the intervention in each condominium. This practice is focused on the three dimensions and provides an holistic intervention, aimed at different type of management problems.

The main conditions are related to the organisation. It requires the expertise to carry out technical and social interventions, and at least a team of one architect and one social worker with a permanent presence in the condominiums. Considering the conditions of limited resources and time constraints, one of the main drawbacks is the depth of the intervention. There is a risk that they could finish the intervention without providing a permanent solution to the problems initially detected. Another drawback is the workload of the professionals who have to address multiple problems.

**Lesson:**

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If the organisation is the implementer and the catalyst of the intervention with their own staff, there is more control over the whole process and this increases the nexus between the community and the professionals, however a balance between workload and focus on the intervention is needed to avoid either shallow interventions or stressed professionals.

**Practice #7. Concentration of resources in early phases of the intervention**

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**Assessment:**

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The organisation concentrates their human resources and time in the preparation phase in order to get the community involved in the project. Since the success of the process relies on the owners' willingness to participate, the initial stages are key steps to take, especially in contexts of high levels of distrust in institutions. During the preparation phase, the organisation contact the municipality to obtain more information about the territory, and allocate extra financial resources, either implementing a 'work of trust' or sponsoring the mandatory contribution to apply for the subsidy. They also participate in neighbourhood's activities in order to increase their visibility and find allies in the community. The closeness with the community and community leaders is considered an enabler in the whole process. The practice's focus is the sociocultural dimension and the capacity for action. They promote collective action among the community in order to make improvements in the condominiums and increase the trust between the community and the organisation.

Conditions are related to the organisation, community and context. The organisation has to be willing to invest more resources in the initial steps of the process, when there is a high risk of failure, also requiring flexibility in the interventions in order to spend more time in the initial stages of the process. Professionals with social skills and experience in community and advocacy are required to be involved in the neighbourhood's dynamics. Active leaders or organisations are needed from the condominium, and the support of the municipality to identify them. The main drawbacks are the inability of small third sector organisations to invest in early phases when the risks are relatively high and the general distrust in institutions and external organisations makes the first contact with the community more difficult.

**Lesson:**  
.....

In contexts with a high distrust of institutions and inactive communities, the concentration of resources in the early phases of the process provides better conditions to carry out the intervention, especially as the participation in the project is voluntary and the project occurs in private property. The aim is to gain community trust and engage them in the process, requiring professionals willingness and the financial capacity of the organisation to invest under high risk conditions.

**Practice #8. Identification of informal organisational structures and natural leaders**  
.....**Assessment:**  
.....

At the beginning of the intervention, the organisation identifies the natural leaders and informal organisational structures at the neighbourhood and condominium level. These leaders are permanent support for the organisations, allowing them to communicate with the community and usually become members of the administrative committees. This practice is related to the organisational dimension, supporting informal and existing organisational sub-structures that can contribute to the future organisation of the condominium, and to the sociocultural dimension, encouraging leadership.

The organisation must have professionals capable of mixing and merging in the community to identify and contact the leaders. Leadership coordinating formal or informal organisations is required from the community. Municipal support is necessary in order to contact these organisations. One of the main drawbacks is related to the level and type of organisation, which might change from one condominium to another.

**Lesson:**  
.....

To recognise informal and formal organisational structures and identify the natural leaders at the beginning of the intervention makes the process more fluent and efficient. This enables communication channels between the organisation and the community *and* the formation of administrative committees.

## Practice #9. Provision of basic elements of organisational dimension to prepare the condominium for future management

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### Assessment:

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Proyecto Propio organises meetings with the community and with the administrative committee at different points of the intervention, to legalise the condominium. When the physical improvement is finished, the basic elements for the management of condominiums are created (administrative committee, administrator, condominiums regulations and maintenance fee) and understood by the committee members. The community is aware of the condominium law and the limits of their property. The practice addresses the organisational dimension in terms of resources, norms and rules and organisational structure by defining a maintenance fee and an administrator, consolidating norms and rules, and establishing an administrative committee.

The main conditions for the organisations are that they organise and develop informative sessions and special training. Active representatives of the community from the condominium are required, as well as a minimum number of participants to attend the informative meetings. Additionally, a legal framework that defines the organisational elements for a condominium is required. The main drawback is that the process does not consider a financial plan in to ensure a maintenance fund for future maintenance.

### Lesson:

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In condominiums that lack formal organisation and maintenance practices, the first intervention should ensure that the basic organisational elements are settled, meaning an administrative committee with clear roles that leads the management, condominium regulations approved by the community, a maintenance fee and a financial plan to keep a maintenance fund. The residents must be aware of the existence of these elements.

## Practice #10. Participatory design process to increase community satisfaction and future maintenance awareness

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### Assessment:

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The organisation has developed participatory design tools to collect co-owners needs and use them as input in the design. The aim is to get the community more involved in the decisions related to their built environment. After the process, the community

was satisfied with the improvement, declaring that they were able to choose the type of project that they wanted for the condominium. This practice focuses on the technical dimension, developing an improvement project that fits the main community's requirements. It also considers the sociocultural dimension, specifically the culture of maintenance. It is expected that the satisfaction is reflected in future maintenance awareness.

Conditions related to the organisation are the existence of participative methodologies and the capacity to carry them out, such as professionals from the social and architectural fields with experience in community participation who are able to deal with a more active and critical community, and the use of the appropriate tools to identify, gather and translate resident preferences into an architectural project. The community has to be receptive to new tools and methods, and to participate in the activities. The priorities and the decisions of the communities do not always match with most urgent technical needs in the condominiums, however, and the generation of awareness does not necessarily imply better maintenance practices.

**Lesson:**

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The active participation of the residents in the design of the architectural project contributes to increasing community satisfaction and responsibility for their built environment. Participation has to be encouraged by trained professionals using methodologies that adapt to a community's characteristics and capacities. Although is not a direct consequence, satisfaction can lead to better maintenance practices in the future.

**Practice #11. The physical improvement as a milestone in highly deteriorated condominiums**

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**Assessment:**

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The physical improvement of the common areas in deteriorated condominiums is the most important part of the operation phase. This improvement is positively valorised by the community, representing a milestone in the condominium. The practice is related to the technical dimension, improving the most critical problems in the condominium and preparing the building for future maintenance practices. There is also a sociocultural dimension, regarding action capacity and a culture of maintenance. Better quality standards enable a future decision-making process, and an aesthetical upgrade contributes to a positive perception of the community about their built environment.

The main condition for the organisation is the financial capacity and human resources to carry out improvement projects. In the case of the condominium, the transformation has to be noticeable, and also involve aesthetical upgrades. The main drawbacks are related to the durability of the intervention. The positive perception has to be capitalised into future good maintenance practices that retain or improve the achieved quality in the built environment. Another drawback is that the improvements do not include dismantling informal extensions in the common areas or public spaces.

**Lesson:**

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In condominiums with a high level of deterioration, physical improvement is a mandatory step, to first show to the community that it is possible to change the conditions of their built environment and then to level the physical performance of the building to a standard where maintenance practices will be effective. Information about how to maintain the condominium, and a maintenance plan, should be provided in order to ensure durability of the intervention.



#	PRACTICE	TOPIC	LESSONS
1	Initial top-down approach to inactive communities	General approach	The external intervention of an intermediary organisation can be effective in activating passive and unorganised communities. Even though the initial approach is top-down, the process that follows is voluntary in nature, requiring an important component of participation (starting from the leaders) to keep the community engaged and avoid dependence on the initiator.
2	Territorial approach to enhance the impact of the interventions	General approach	The systematic intervention of a third sector organisation in the same territory and at different scales (neighbourhood, condominiums, and dwellings) contributes to achieving more significant and permanent changes in one territory by concentrating inversion (public or private) in the same area and by consolidating their territorial insertion and their relationships with the communities and municipality.
3	Intervention in vulnerable contexts as a service for capable clients	Roles and strategies	The transference of responsibilities to communities contributes to increasing awareness regarding decisions about the built environment. This transference implies greater participation of the community during the process but also a change in the organisation's perception of the community from passive receptors to capable clients.
4	Strategic and selective training	Roles and strategies	In the context of scarce resources, selective training can be effective to focus the resources in the most experienced leaders, who are more keen to learn. The training has to include tools to ensure that the leaders will have the capacity to transfer their knowledge to the next representatives and to the rest of the community.
5	The organisation is a vehicle of subsidy programmes so as to enhance its financial resources and participation in public policies	Roles and strategies	The use of government funding contributes to increasing the resources of the intervention as well as the impact of the third sector organisation in a territory, however if the goals are not aligned, the use of governmental funding can become a barrier to pursuing the organisation's agenda or to developing their own methods.
6	Double role as implementer and catalyst provides control over the whole intervention	Roles and strategies	If the organisation is the implementer and the catalyst of the intervention with their own staff, there is more control over the whole process and this increases the nexus between the community and the professionals, however a balance between workload and focus on the intervention is needed to avoid either shallow interventions or stressed professionals.
7	Concentration of resources in early phases of the intervention	Process	In contexts with a high distrust of institutions and inactive communities, the concentration of resources in the early phases of the process provides better conditions to carry out the intervention, especially as the participation in the project is voluntary and the project occurs in private property. The aim is to gain community trust and engage them in the process, requiring professionals willingness and the financial capacity of the organisation to invest under high risk conditions.
8	Identification of informal organisational structures and natural leaders	Process	To recognise informal and formal organisational structures and identify the natural leaders at the beginning of the intervention makes the process more fluent and efficient. This enables communication channels between the organisation and the community and the formation of administrative committees.

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#	PRACTICE	TOPIC	LESSONS
9	Provision of basic elements of organisational dimension to prepare the condominium for future management	Process	In condominiums that lack formal organisation and maintenance practices, the first intervention should ensure that the basic organisational elements are settled, meaning an administrative committee with clear roles that leads the management, condominium regulations approved by the community, a maintenance fee and a financial plan to keep a maintenance fund. The residents must be aware of the existence of these elements.
10	Participatory design process to increase community satisfaction and future maintenance awareness	Process	The active participation of the residents in the design of the architectural project contributes to increasing community satisfaction and responsibility for their built environment. Participation has to be encouraged by trained professionals using methodologies that adapt to a community's characteristics and capacities. Although is not a direct consequence, satisfaction can lead to better maintenance practices in the future.
11	The physical improvement as a milestone in highly deteriorated condominiums	Results	In condominiums with a high level of deterioration, physical improvement is a mandatory step, to first show to the community that it is possible to change the conditions of their built environment and then to level the physical performance of the building to a standard where maintenance practices will be effective. Information about how to maintain the condominium, and a maintenance plan, should be provided in order to ensure durability of the intervention.

TABLE 6.4 Summary of practices and lessons.

## § 6.3 Discussion. Contribution, limitations and opportunities for third sector organisations in Chile

The lessons identified represent feasible practices that are already being developed by PP. The second step is to identify possibilities to scale-up these practices, identifying the main limitations and opportunities in the Chilean context. They will inform the selection of international case studies, exploring new approaches that contribute to these areas.

Lessons are related to the process, roles and general approach. Most are focused on how to deal with the combination of limited time and resources for the intermediation, and inactive and vulnerable communities. Lessons such as the territorial approach and selective training aim at an efficient use of resources. Lessons such as the identification of existing leaderships and organisations, the participative design process, the concentration of resources in early phases and the recognition of resident capacities aim at being effective in the activation of the community.

Three main limitations can be identified. The first is related to the durability of the intervention and the actual performance of long-term maintenance practices in the community. The initial deterioration of condominiums and the conditions of the subsidy constrain action to the most urgent problems, postponing the elements that address long-term maintenance such as the definition of a financial strategy, the design of a maintenance plan and the provision of tools for the owners to carry it out. The anchoring phase of the intervention is almost non-existent. More concrete strategies during or after the intervention are therefore needed to ensure that the momentum generated during the improvement is translated into maintenance practices in order to avoid new processes of deterioration.

The second limitation is related to the problem of informal extensions, which is not addressed by the organisation but is one of the most important sources of conflict in the condominiums (see Chapter 3). The problem is overlooked because it goes beyond the organisation's capacities, requiring not only legal skills but also expertise in conflict mediation.

The third limitation is related to the institutionalisation of these practises and dependency on governmental subsidies under a project-based scheme. The participation of the organisation as *entidad patrocinante* enables access to resources to carry out a specific intervention in one year but does not imply equal conditions in the partnership or further involvement in the public agenda and design of these policies.

The analysis of Proyecto Propio showed the benefits of integral approaches as first interventions in deteriorated condominiums, but it also showed the need for specific actions in areas that remain unsolved. One opportunity is the emergence of a niche for TS organisations in areas related to long-term maintenance, financial resources or conflict mediation, such as the provision of affordable services for condominium administration, advice and information about strategic maintenance, legal and conflict mediation between homeowners or microloan opportunities. This specialisation could also promote more partnerships and collaborations between third sector organisations with different approaches to the intervention.

In relation to the previous point, a second opportunity is the potential of partnerships with other third sector organisations working in the area to enlarge their expertise, and the partnership with the municipality to increase their participation in the local agenda. Even though the municipality was noted as a key enabler, their role in the process is undefined. Although municipalities in these areas have scarce resources, it is important to explore other forms of collaboration that promote a more active participation during the intervention, beyond the current role of facilitator of information or administrative procedures.

On balance, international case studies can contribute to the identification of other forms of intervention related to both intermediation and institutionalisation. Long-term management, financial mechanisms and conflict resolution are necessary areas for intermediation in social condominiums that have been scarcely explored in the Chilean case. The different types of partnership with the third sector, as well as collaboration with the public sector, can provide additional opportunities to carry out the roles. Long-term public-private collaborations, a different type of third sector organisation, and clear frameworks for maintenance are also relevant areas for expansion.

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## § 6.4 Conclusion

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This chapter focused on the analysis of the Proyecto Propio local case study. The following questions were formulated: *How does Proyecto Propio address condominium management problems? What specific strategies and activities are carried out for this purpose? What is the contribution of this practice to the local context?*

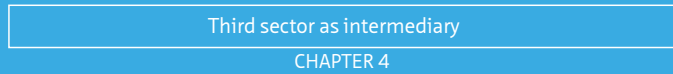
Using an analytical framework, the organisation's role, activities and results were analysed. The main findings showed the capacity of the organisation to develop a holistic approach to the intervention, simultaneously being implementers of condominium improvements and catalysts of leadership and better management practices. As implementer, their main contributions are related to the technical dimension, involving the physical and aesthetical upgrading of the common domain areas which represented an important milestone for the community. As catalyst, their main contributions were the acknowledgment of the capacities of the community and their leaders, the provision of information in order to raise awareness about maintenance practices and support to achieve internal organisation. The main pending areas are the design of a maintenance plan, strategies to solve problems of misuse of the common property (informal extensions or vacant lots), and sustainable financial models to ensure proper maintenance practices in the future.

It was possible to identify limitations and opportunities from the analysis of the organisation. Limitations are related to the durability of the intervention, considering the lack of specific action regarding long-term maintenance; the problem of informal extensions that generate internal conflicts in condominiums which are overlooked by the organisation; and in terms of institutionalisation, the dependency on governmental subsidies under a project-based scheme. Conversely, there is a niche of opportunity

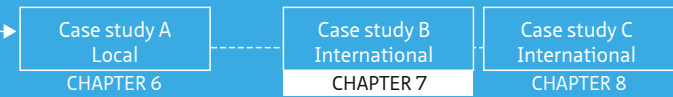
for specialisation in areas that now remain unsolved, such as long-term maintenance, financial resources or conflict mediation and the potential of establishing active collaboration with the municipality or other third sector organisations in the area.

CHAPTER 1 INTRODUCTION

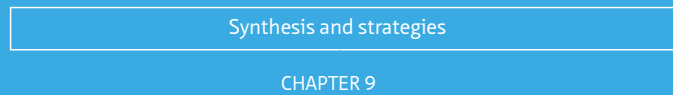
I  
CONCEPTUALISATION



II  
ANALYSIS



III  
PROPOSAL



CHAPTER 10 CONCLUSION

## 7 Foundation VVE-010: the third sector as coordinator of a municipal programme to improve housing maintenance in Rotterdam, the Netherlands

*Chapter 6 analysed a Chilean case of third sector organisation, and this chapter presents an in-depth analysis of the first international case study. The international perspective was introduced to explore different types of third sector organisations and to expand the range of approaches to the community and the built environment. Similar to the previous case, the foundation VVE-010 was selected from the database consolidated in Chapter 5. Its analysis aims to explore new approaches to the technical and organisational dimensions of condominium management and the role of the municipality in the maintenance of owner-occupied housing stock.. The chapter answers the following questions: How does VVE-010 address condominium management problems?, What are the contributions and limitations of this practice to the challenges identified in Chile?*

*Section 7.1 presents a description and analysis of the case using the analytical framework considering the initial situation, intermediation, and results. After the analysis, a selection of lessons identified from the case are discussed in Section 7.2. The discussion focuses on drawing lessons from the practices, identifying conditions to develop them and drawbacks in implementation. The lessons highlight the contribution of the organisation in providing professional advice to homeowner associations, the role of the municipality as coordinator of a long-term plan, and the identification of effective strategies and activities for technical and organisational dimensions. In Section 7.3 the lessons are assessed according to political, technical, financial and cultural feasibility, defining limitations and contributions for their implementation in Chile with regard to the institutional context, third sector organisations and condominiums. The section concludes with the formulation of lessons adapted to the Chilean context.*

## § 7.1 Case description and analysis

### § 7.1.1 Introduction

The VVe-010 case involves a foundation focused on improving maintenance practices among VvEs (homeowner associations) whose buildings show signs of deterioration. The foundation is the coordinator of a programme created by the municipality of Rotterdam in the area of Rotterdam Zuid. This analysis focuses on the role of the third sector in activating the ‘sleeping’ homeowner associations with regard to technical maintenance and management, and the role of the municipality in the management of the housing stock.

### § 7.1.2 Initial situation

#### § 7.1.2.1 Context conditions:

##### Institutionalisation

In the Netherlands, the maintenance of owner-occupied dwellings is part of the owners’ responsibilities. Studies have shown positive results regarding the quality of the dwellings, indicating that, in general, homeowners are able to maintain their properties adequately without any help (Meijer, Tambach & Visscher, 2012). Some backlogs have been identified in specific segments, however, which require more attention regarding their quality standards. These segments are pre-war single family houses in smaller municipalities, and pre-war and earlier post-war multifamily housing located in larger municipalities (Meijer et al., 2012).

An important percentage of owner-occupied dwellings in multifamily housing is the result of housing policies that have promoted the sale of social rented dwellings to the tenants. A central topic in the discussion about this policy is the maintenance after the transfer (Smeets, Dogge, Soeterboek & Tsenkova, 2009) especially because the sold apartments were already of a quality below the standard, and the new owners are low



income families (Meijer et al., 2012), who may face financial problems in providing adequate maintenance.

Municipalities have been involved in the maintenance of the owner-occupied housing since 1901, monitoring their status and protecting their quality (Meijer & Visscher, 2015). During the 1970s and 1980s funding from the government (Urban Renewal Fund) was allocated to improve the conditions of the pre-war owner-occupied housing stock with subsidy schemes. The involvement of the government in the owner-occupied sector ended in 2000 after reviewing the successful approach developed in the previous decades (Meijer et al., 2012). In the last decade, municipalities such as Rotterdam, Schiedam and Den Haag developed different strategies to improve the maintenance of the owner-occupied housing stock with a mix of loans, subsidies, and technical guidance. According to the Housing Act, municipalities have been able to intervene in the case of major maintenance problems since 2011, especially when they affect the safety or health of the occupiers or the neighbours.

The housing tenure of joint ownership (*appartementsrecht*), comparable with a form of condominium tenure, has been regulated since 1951 in the Act for Joint Ownership (*appartementenrecht*). It involves commonly owned property (common land, buildings or facilities) and individual property (apartments). The main organisational structure is the homeowners association (*Vereniging van Eigenaren*, VvE) which made up of the co-owners, and it is responsible for the management of the complex (Smeets et al., 2009). VvEs can be different sizes, with a minimum of two members.

VvEs have to register with the Chamber of Commerce (*Kamer van Koophandel* (KvK)). A VvE is responsible for the maintenance and management of the roof, façade, communal heating system, staircases, corridors, or any other common domain area and facilities. In addition to routine maintenance, VvEs have to consider long-term maintenance activities (Smeets et al., 2009). The VvEs have to appoint an administrator and to meet at least once a year to discuss maintenance strategies.

In 2006 joint homeownership included several measures to improve the management of the buildings, such as a mandatory fund for long-term maintenance, modification in the size of the quorum to take decisions, and the potential to separate the co-owned vacant spaces (parking lot, storage places) (Smeets et al., 2009). The Multi-year Maintenance Plan (*Meerjaren onderhoudsplan*, MJOP) was introduced as part of the modifications. It is a long-term plan (usually each 10-15 years) that considers all the components of the property that need to be maintained, indicating the life cycle of each one and the cost associated with its replacement or repair. The goal of the MJOP is to have clarity about future maintenance costs and to prevent additional and unplanned

payment in the case of maintenance (“Netherland VvE,”). The existence of a MJOP is not mandatory, but it is commonly used to estimate the long-term maintenance fund.

In the Netherlands, the third sector is actively involved in housing-related activities, especially in the provision and management of social rental housing. The foremost entities are Housing Associations (HAs), which are private non-profit organisations with public responsibilities, and are legally authorised to operate in the interest of housing (van Overmeeren, Gruis & Haffner, 2010). As a consequence of neoliberal policies, HAs have adopted a market-oriented approach in recent decades by combining entrepreneurial dynamics with their core social goals (Czischke et al., 2012).

### Territorial specifics: the case of Rotterdam Zuid

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In the last decade, the municipality of Rotterdam committed to improving the quality of the owner-occupied housing sector. According to the policy advisor, the municipality wants to make Rotterdam a *‘city where the people want to live, so we want to be an attractive city and it means that we want the buildings to meet the minimum standards. Because when the building is good, the streets look better, and people in the neighbourhood may feel better.’* (Policy Advisor Municipality of Rotterdam, interview, March 2016)

In 2012 the municipality and several private, profit and non-profit organisations in Rotterdam signed an agreement focused on improving the performance of the homeowner associations (VVE covenant, 2012). Each party cooperates to carry out actions towards this goal. The organisations involved included Stichting Vvertimago, SKW Certificatie BV, Stichting VVE-010, Vastgoedmanagement Nederland (VGM), Vereniging Vastgoedbelang, Stichting WE Belang, and Woonstad. The agreement emphasised two main conditions for improving the performance of the VvEs: the increased awareness of owners and buyers about the functioning of Vves and the adoption of a proper long-term maintenance plan (MJOP) by all VvEs.

The area of Rotterdam Zuid has several problems regarding the quality of the owner-occupied housing stock, and presents multiple social and spatial problems. The combination of both is why the municipality and the government have decided to intervene actively in this area in recent years. The plan for the private housing stock ‘Eigenaar Centraal’ programme 2012-2018 focuses on homeowner associations in order to address overdue maintenance. At the same time, the government has implemented The National Programme of Rotterdam Zuid (NPRZ 2018). The programme will be complete in 20 years and is focused on improving education, employment opportunities and the quality of life of the residents of Rotterdam Zuid. It seeks to transform this area into a socioeconomically stable environment.

## § 7.1.2.2 Organisation characteristics

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### Descriptive variables

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VVe-010 was initiated in 2008 as a foundation to advise homeowner associations (VVE's) on the maintenance of their properties. It was founded by the municipality of Rotterdam and the housing associations in the city, initially by Woonstad and Woonbron, later incorporating Havensteder and Vestia. The foundation works in the area of Rotterdam-Zuid, especially in the neighbourhoods of Tarwewijk, Carnisee Oud Charlois, Bloemhof, and Hillesluis.

VVe-010 is financed by the municipality and the housing associations. The work of VVE-010 is part of a long-term plan to improve the quality of the owner-occupied housing stock in Rotterdam in the context of the Eigenaar Centraal programme and the National Programme for Rotterdam Zuid (NPRZ). It seeks to strengthen management and maintenance in 13,000 dwellings (carried out by VVE-010) and to transform 10,000 dwellings that require major renovation (to merge dwellings or demolish buildings) (Rotterdam, 2015). Between 2015 and 2018 the target group was 3000 dwellings from the owner-occupied housing stock of Rotterdam Zuid.

The implementation of the programme, including the existence of the foundation, requires a total investment of €17.26 million, of which the municipality contributes €15.2 million and the housing associations contribute jointly with €2.06 million. Their support is renewed each period in a bilateral agreement with the municipality.

VVe-010 has two organisational layers. The internal organisation comprises a director, a permanent staff of five people and external staff provided by third parties that support VVE-010 in the implementation of the programme regarding the VVe activation. The internal organisation is divided into three areas:

- Information: Provides information to new buyers about being a homeowner and participation in a VVE.
- Services: Provides administration services for small VVEs in Rotterdam
- Project approach: Strengthens homeowner associations and improves the maintenance of buildings. The project approach was developed for VVEs with poor maintenance, focusing on activating the homeowners. This process is carried out by third parties, which are private or non-profit organisations hired by VVE-010 to implement the activities:
  - Private consultancy and project development organisation specialising in housing maintenance and management. Their role is to inform, organise and

encourage VVEs to carry out maintenance on their properties. They perform the work under the flag of VVe-010.

- SVn: Non-profit foundation that provides affordable loans.
- SKW: Private agency that provides quality certification in the area of construction, housing, health care and local government. They certify the performance of the VVEs regarding the management of their buildings.

VVe-010 belongs to a wider organisational structure, comprised of two boards in which the municipality, housing corporations representatives and the VVe-010 director participate. One board supervises the performance of VVe-010 and the other board develops the strategies to implement the programme and to evaluate the results. Resources are provided by the municipality (see Figure 7.1).

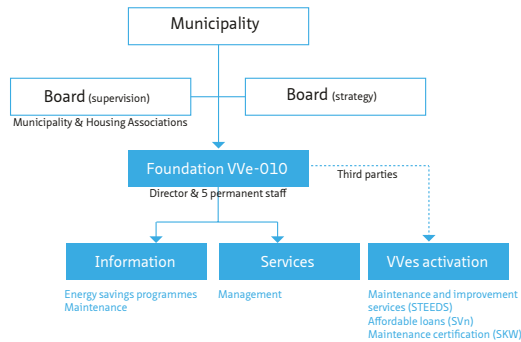


FIGURE 7.1 Organisational structure VVe-010. Source: author's elaboration based on interviews..

### Motivator variables

According to the director of VVe-010, their main goal is to activate the VVEs in order to ensure adequate maintenance of the owner-occupied housing stock. According to the municipality, the long-term goal is for owners to be able to carry out maintenance on their properties by themselves, being aware of the technical requirements and financially able to perform maintenance following the regulations. *'We are a kind of doctor who cures the patient and then there is room for more patients.'* (VVe-010 Director, interview, March 2016).

The director of STEEDS pointed out that the goal is also to allow VvEs that are facing organisational or financial problems ‘a *clean sheet from where to start again by themselves*’ from a better starting point, more than the minimum maintenance requirements.

There are other goals in addition to the activation of the VVEs, such as to inform and prepare new buyers about becoming homeowners, and encouraging investment in energy saving measures in the dwellings. The Director noted that VVE-010 is in a complex position of intermediation between homeowners and the local government. If homeowners refuse to participate in the programme, they can force their participation through fines or if necessary, in court. This means that the intermediation needs to be done carefully in order to persuade owners to understand the benefits of being in the programme rather than going through the punitive measures. The organisation’s approach to vulnerable areas is therefore top-down, as part of the programme carried out by the municipality to improve the physical conditions of the owner-occupied housing stock.

*We have a top down approach. The initiative relies on the local government so they make the programme and put the addresses [of the owners] on the list. Individual homeowners cannot decide whether they are in the programme or not. If they do not participate in the deal, the [local] government steps in and forces them (VVE-010 Director, interview, March 2016).*

The vision of the local government is a key element that defines the action of VVE-010. In the municipality of Rotterdam, one necessary element is improving the aesthetic and security conditions of the neighbourhoods, to create an attractive city to live in, and to increase investment. ‘*There is a minimum level of maintenance that each building has to accomplish. it is not very high, but it means that the building is safe for the people that walk in the streets, and for the people that live there.*’ (Policy Advisor, Municipality of Rotterdam, interview, March 2016). In this regard, the organisation’s mission and drivers are strongly influenced by the state and municipal policies.

### § 7.1.2.3 Condominium management dimensions

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VVE-010 is currently working in Rotterdam Zuid. The programme included 3,008 residents for the period of 2015-2018 . Figure 7.2 shows the neighbourhoods and the number of residents selected.

Neighbourhoods	Number of dwellings
1. Tarwewijk	959
2. Camisse	564
3. Oud Oud Charlois	123
4. Bloemhof	601
5. Hillesluis	109
6. Pendrecht	202
7. IJsselmonde	450
<b>Total Rotterdam Zuid</b>	<b>3008</b>

Source: (Rotterdam, 2015)



**FIGURE 7.2** Districts of Rotterdam selected for the programme. Source: author's elaboration based on Municipality of Rotterdam (2015).

The main technical problems (see Figure 7.3) are related to maintenance backlogs, especially in the old housing stock. The lack of proper maintenance has affected market prices and the aesthetic appearance of the neighbourhoods, which has been reported to the municipality and the Housing Associations as an important concern. Notable problems were the deterioration of wooden window frames and roofs, and structural damage to balconies.

The main organisational concerns are the number of VvEs that are not financially and organisationally active in taking care of long-term maintenance activities. According to the director of STEEDS there are two types of problems in Rotterdam Zuid. VvEs that are 'sleeping' do not have organisational structure, administrator or financial capacity, and VvEs that are 'not working' have an organisational structure, and even an administrator, but they are paralysed due to a lack of financial resources.

From the municipality's perspective, the main problem is the lack of financial capacity amongst low income owners. They can enforce maintenance activities if the owners are reluctant, but the situation is more complicated if homeowners are willing but do not have the financial means to implement the activities. This situation involves low income owners who bought their dwellings very cheaply, but cannot afford major maintenance projects and do not have a maintenance fund.

A lack of knowledge about maintenance regulations and activities is noted by the professionals as affecting their capacity to take care of buildings. Another problem is precarious social situations, in terms of unemployment and a high presence of people with mental illness. These dwellings are seen as 'starter' apartments, which reduces owners' willingness to invest in long-term maintenance. Residents with multi-cultural backgrounds, sometimes speaking different languages, was noted as making communication and self-organisation within the buildings more complex.



**FIGURE 7.3** Maintenance problems in Oud Charlois, deterioration of balconies and façade. Source: author's pictures.

INITIAL SITUATION	INDICATORS	DESCRIPTION
Context conditions	Institutionalisation	<ul style="list-style-type: none"> <li>- Municipalities are greatly involved in maintenance activities, with legal rights to enforce maintenance practices.</li> <li>- Regulatory framework of joint homeownership which includes a multi-year maintenance plan (MJOP) and a mandatory fund for long-term maintenance.</li> <li>- Third sector organisations have been historically involved in housing activities.</li> </ul>
	Territorial specifics	<ul style="list-style-type: none"> <li>- Maintenance problems are focussed on specific housing types and territories.</li> <li>- Rotterdam Zuid is one of the few areas that concentrates problems regarding the quality of the owner-occupied housing stock.</li> <li>- National Programme of Rotterdam Zuid (NPRZ 2018) to improve education, employment opportunities and the quality of life of the residents of Rotterdam Zuid.</li> <li>- Municipal programme 'Eigenaar Centraal' 2012-2018 focuses on homeowner associations to address the cause of overdue maintenance.</li> </ul>
Organisation characteristics	<b>Descriptive variables</b>	
	Legal structure	Foundation
	Profit objective	Non-profit
	Funding income	Municipality of Rotterdam and housing associations
	Organisational structure	Small staff and third party executers (SvE, , SKW) One director and four technical professionals (administration and maintenance)
	<b>Motivator variables</b>	
	Goals	<ul style="list-style-type: none"> <li>- Activate the homeowners associations (VvEs) in order to ensure adequate maintenance in the owner-occupied housing stock.</li> <li>- Provide advice and information about housing maintenance and administration to homeowners associations (VvE)</li> <li>- Coordinate the project approach contacting and hiring the third parties in charge of the implementation</li> <li>- Provide high-quality management services for small VvEs in Rotterdam Zuid.</li> <li>- Inform and prepare new buyers about being homeowners</li> <li>- Encourage the investment on energy savings measures in the owner-occupied sector</li> </ul>
Mission & drivers	State-driven	

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INITIAL SITUATION	INDICATORS	DESCRIPTION
Condominium management dimensions Rotterdam zuid area	<b>Technical dimension</b>	
	Physical conditions	Deterioration of wooden window frames and roof, and structural damaged in balconies.
	Maintenance plan	Maintenance backlogs
	<b>Organisational dimension</b>	
	Norms & rules	Lack of knowledge about maintenance regulations
	Human & financial resources	Maintenance fund is insufficient or does not exist
	Organisational structure	VvEs (homeowner associations) are sleeping or not working properly
	<b>Sociocultural dimension</b>	
	Culture of maintenance	Lack of awareness about maintenance responsibilities
	Action capacity	Complex social situation of low income owners (unemployment, debts, family problems) Communication problems between co-owners with different cultural backgrounds

TABLE 7.1 Analytical framework. Initial situation

### § 7.1.3 Intermediation

#### § 7.1.3.1 Organisation role

Organisation professionals were asked about the role of VVE-010 and the main strategies developed to intervene in condominiums. The interviewee responses were organised according to the role classification of implementer, catalyst and partner.

VVE-010 carries out a specific programme to improve the functioning of VvEs in relation to housing quality, but its actions are part of a set of programmes that provides an integral intervention in Rotterdam Zuid. The combination of programmes (Eigenaar Centraal programme and the National Programme for Rotterdam Zuid (NPRZ) aims to tackle structural problems regarding education, employment and housing, changing the dynamics of the neighbourhoods. This means that it is of long-term duration and requires cooperation between the central government, municipality, and private and non-profit sectors. In this area-based approach, the municipality, with the support of

VVE-010, selects and categorises the buildings that will be part of the maintenance programme according to their physical conditions.

VVE-010 adopts the roles of catalyst, implementer and partner in the provision of services. As catalyst they seek to promote good management practices in the VVEs that are inactive by making them aware of the regulatory framework and maintenance practices. Even though participation in this programme is mandatory, they contact the VVEs to act as an intermediary between them and the local government. The main strategy to make this process easier is to emphasise the benefits of the programme and inform homeowners about the plan. Enforcing the regulations is a second step that they try to avoid, *'we do like to do it in the good way and give them [owners] time and have a conversation with them'* (VVE-010 Director, Interview, March 2016). VVE-010 offers incentives for homeowners, to facilitate their participation in the plan, such as a maintenance plan, affordable administration for the first two years, access to a subsidy and a customised loan. In return, VVEs have to become active, ensure a maintenance fund and to provide maintenance for their buildings above the minimum standards. If the incentives are not enough and homeowners are still reluctant to follow the programme, the organisation has to take the second step and enforce the law. The municipality can add more pressure by applying fees, carrying out the maintenance and then charging the cost to the VVE, or asking homeowners to leave if they are generating conflict. The professionals pointed out the importance of treating all the participants the same way, especially in terms of potential subsidies and loans. Another strategy associated with the catalyst role is providing information to new buyers about VVEs duties to prevent new maintenance and organisational problems in the future.

The organisation is also implementer, providing technical services of housing maintenance and administration. The aim here is to facilitate VVEs in the management of their buildings, especially those that have been inactive for a long time. One of the strategies reported by the interviewees is initial technical support for homeowners through an evaluation of the physical conditions of the building and by defining a maintenance plan. VVE-010 carries out affordable services for condominium administration for those communities that cannot afford market prices. This service is temporary, usually lasting two years, until the communities are ready to hire a private administrator. This situation is more common for small VVEs that are not attractive to private offers.

As previously noted, the organisation relies on third parties to perform an important part of their activities. It is a coordinator of other third sector or private parties that participate in the process. Partnerships are created to perform the catalyst role, and the implementer role is performed by the organisation's permanent staff. According to a former director of VVE-010, external parties are hired because specialised

professionals are required for the social tasks, *'You have to have social and technical skills. People with low incomes don't have much understanding, sometime they do not speak Dutch, and in some cases they even do not speak the same language'*. It was possible to identify two type of partnerships; either hiring an organisation that performs the activities under the flag of VVE-010 (e.g. *Steeds*), or collaboration with third parties that provide external services as independent organisations (e.g. the SKV or SvN).

### § 7.1.3.2 Process

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Interviewees were asked about the main activities carried out by the organisation. These activities were grouped into three main phases: preparation, operation and anchoring, and associated with the management dimensions (see Figure 7.4).

Intervention involves a standard procedure of five steps which is coordinated by VVE-010: preparation, activation, financing, implementation and aftercare. The process lasts two years, where different parties cooperate, including the VvEs, the municipality and the external organisations hired to perform the work. According to the Director, the process is a chain where the different phases lead to activating the homeowner associations.

#### Preparation phase

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The preparation phase is used to select the properties that will be part of the plan. The selection is made by the municipality and the board members. During this phase VVE-010 prepares the projects and contacts the third parties that will be involved, such as SvN and *Steeds*.

#### Operation phase

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The organisation phase distinguishes three important steps once the preparation is done. The first is called activation and lasts one year. It consists of contacting and presenting the alternatives to the VvEs in terms of actions regarding the management of the buildings and the financial possibilities. As noted before, homeowners have to be part of the process, or else pay a fine, lose the benefits of the subsidy or, in the worst case scenario, sell their dwelling and leave the building. It is important to point out that the last situation is not common and homeowners accept the conditions of the programme in most of the cases. The main activity during activation is to contact the VvEs through a letter sent by the municipality to inform them that are selected for the programme. They then send the technical inspector (from *Steeds*) to evaluate

the building via a checklist and develop a maintenance plan for the next ten years, following the requirements of the MJOP (meerjarenonderhoudsplan). This plan is a route map that establishes short-term actions (for the first five years) that are mandatory for accomplishing the minimum standards of the Dutch Housing Act. It also establishes long-term actions (for the next ten years) for future maintenance, including financial requirements. Along with the evaluation, an external party, in this case *Steeds*, sets up meetings with the co-owners to provide information about housing management. In the first meeting the maintenance plan is presented and discussed with the homeowners. VVEs that do not have an administrator need to hire one.

Financing is another step, which considers access to financial resources as individual owners or as an owner association. There are three possibilities: the VVE applies for a subsidy of 3000 euros per owner, the owners finance themselves, or the owners access an affordable loan with SVn, who tests their financial situation regarding debt capacity and loan ceiling. The loans are customised according to each applicant's situation. One important condition is that the plan has to be financed mainly by the owners. VVEO-010 asks that homeowners take responsibility for maintenance, and so the subsidy provided by the municipality is only support, and does not cover the total amount needed.

The next step is implementation. This stage requires the active participation of the VVE, which is responsible for hiring a contractor to do the work, with VVE-010 acting mainly as adviser. The administrator (who can be VVE-010 or another agency) arranges the contractor's work. The implementation also needs to be monitored, and this is done by VVE-010. They check the quality of the work carried out by the contractor and provide advice to the VVE when required.

### Anchoring phase

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Once the intervention has been completed, there is an aftercare step. During this stage, VVE-010 checks the performance and financial capacity of the VVE through an organisation (SKW) specialised in certification labels. Yearly certification is a requisite for the VVE to keep the subsidy. The main indicator used to evaluate the VVEs is the existence of a maintenance fund.

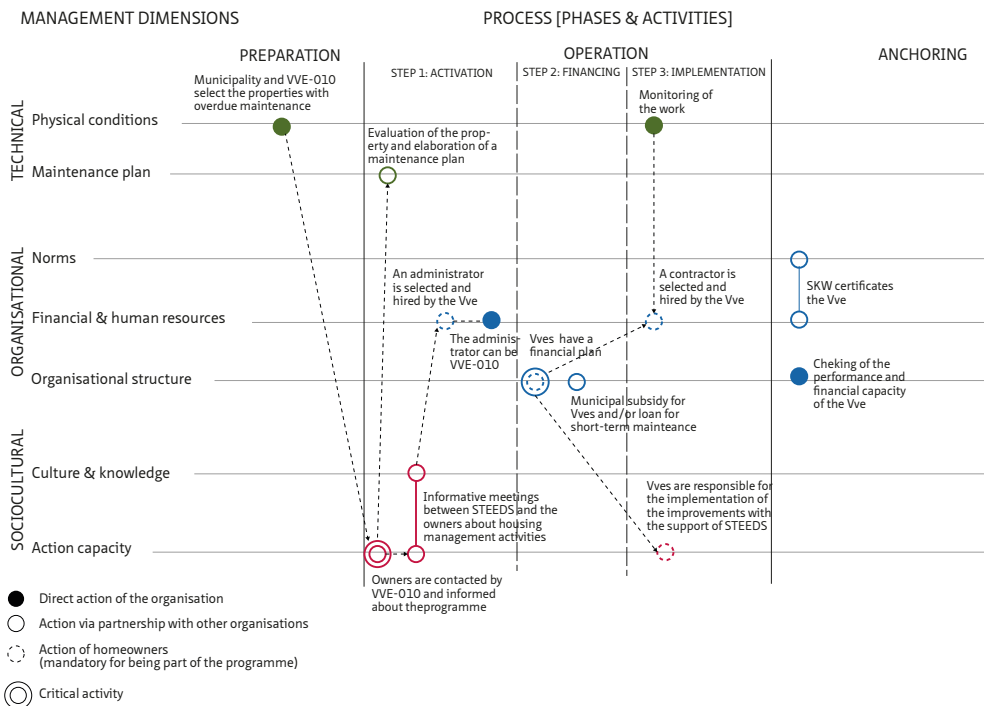


FIGURE 7.4 Process of intervention. Activities organised according to management dimensions and phases. Source: author's elaboration.

### § 7.1.3.3 Barriers and enablers

The organisation professionals were asked about the main barriers and enablers to the process. This includes barriers and enablers related to the organisation and the programme itself, and related to the context and the circumstances under which they work.

One of the barriers related to the target group is the reluctance of owners to invest in their apartments. According to the director of VVE-010, apartments in these neighbourhoods are transitory dwellings, where families tend to live for up to five years and then move to a better place. There is therefore no motivation or willingness for the owners to invest in their dwellings, even though the investment can enhance the housing value when they decide to move. Another barrier noted by the Director of

Steeds is the first contact with the owners, because the situation is complex and not all are interested in being part of the VvE or activating it. There was also a low participation in co-owner meetings, and a lack of interest associated with a lack of knowledge.

Other barriers related to the context are the presence of social problems and the low prices of the housing stock, especially during the financial crisis. Property values did not rise even after investment in maintenance. Another contextual barrier is the increasing difficulty of accessing loans. since the banks have more restrictive requirements, and also require 100% participation of co-owners when applying for the municipal loan. There is almost always one homeowner who does not want to participate.

The main enabler identified is the incorporation of different parties that provide specialised professionals with social and technical skills to activate VvEs. Another enabler, although also perceived as a barrier, is the mandatory nature of the programme, which ensure the effectiveness of the process.

	INDICATORS	DESCRIPTION	
INTERMEDIATION \ Roles & strategies	Implementer strategies	<ul style="list-style-type: none"> <li>– Provide first technical input by evaluating the building and developing a maintenance plan.</li> <li>– Ensure proper maintenance and administration practices in the first years by providing affordable services of administration for VVEs that are not ready to hire a private organisation from the market.</li> </ul>	
	Catalyst strategies	<ul style="list-style-type: none"> <li>– Show incentives to facilitate the participation of homeowners in the programme and enforce the law if the incentives are not enough.</li> <li>– Provide the same treatment for all the participants.</li> <li>– Inform future buyers about VVEs duties as preventive measure</li> </ul>	
	Partner	<ul style="list-style-type: none"> <li>– Hire specialised organisations in community management to provide a better/ effective catalyst role.</li> <li>– Two type of partnerships. Hire third party organisations that perform the activities under the flag of VVE-010 (STEEDS), or collaborate with third parties which undertake the activities as independent organisations (SvN, SKV).</li> </ul>	
INTERMEDIATION \ Process	<b>Phases</b>	<b>Activities</b>	<b>Management dimensions</b>
	Preparation phase	– Selection of the buildings according to maintenance problems	Technical – physical condition
	Operation phase	– Contact the homeowners and inform them about the programme	Sociocultural – action capacity
		– Evaluation of the property via check-list and development of a maintenance plan	Technical – maintenance plan
		– Informative meetings between Steeds and the homeowners associations.	Organisational – organisational structure, norms and rules
		– To hire an administrator (for the Vves that do not have one)	Organisational – financial and human resources
		– VVEs ask for the subsidy granted by the municipality.	Organisational – financial and human resources
		– Individual owners ask for the loan to SvN	Organisational – financial and human resources
		– VVEs hire a contractor to carry out the improvements needed	Technical – physical condition
		– VVE-010 supervises the project implementation	Technical – physical condition
Anchoring phase	– VVE-010 checks the performance and financial capacity of the VVE. SKW certifies the VVEs.	Organisational – organisational structure-financial and human resources	

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	INDICATORS	DESCRIPTION
INTERMEDIATION \ Barriers & enablers	<b>Barriers</b>	
	Organisation characteristics	- The requirement for 100% participation to apply for the municipal loan
	Context conditions	- Owners do not want to invest in their apartments - First contact with the owners, because not all the owners are interested in being part of the VvE or in activating it - Low participation of co-owners in the meetings, lack of interest and lack of knowledge - Presence of social problems such as unemployment, high presence of population with mental illness, or domestic violence at home, which are more important situations than housing maintenance. - Low financial capacity of the owners and increasingly restricted access to loans - Low prices of the housing stock decreasing maintenance impact on housing value
	<b>Enablers</b>	
	Organisation characteristics	- Third parties and specialised professionals who have social and technical skills to work on activating VVEs -The mandatory condition of the programme which ensures the effectiveness of the process.
	Contextual conditions	(-)

TABLE 7.2 Analytical framework. Intermediation

## § 7.1.4 Results

### § 7.1.4.1 Organisation performance

#### Internal assessment – Success parameters

According to the director of VVE-010, a successful result is creating a healthy and independent VvE, which is able to go to the market and hire management services. Success is also associated with the financial capacity of the VvE to create a maintenance fund and to afford long-term maintenance. The speed of the process is seen as an important element. No particular tools or mechanisms were noted as regards the measurement of success and performance evaluation.

Defining the success of the intervention is complex given the mandatory nature of the programme. This means that 100% of the projects succeed in terms of completion and financial activation of the VvE. This mandatory characteristic is perceived simultaneously as a negative and positive aspect in the implementation of the project.



According to VVE-010, enforced participation can be a negative factor as regards a neighbour's satisfaction with the process and the organisation. On the one hand, it allows all VvEs to have a new start independently of their problems. It does not offer a real solution for the most complex cases, however, where owners without financial capacity have to sell and leave the building.

Real success thus resides in the activation of the VvE in the long term. The fact that the work of VVE-010 is part of a long-term plan implies that the foundation will be present in the area for the next 20 years. This allows them to keep in contact with the VvEs where intervention is complete, and to give extra support when activation is more difficult. The director of Steeds noted that even though the majority of homeowners would perform well, there is still a percentage needing further support after the intervention is finished. Since the implementation of the programme is relatively new in Rotterdam Zuid, future surveys are expected to evaluate the results.

### External assessment – user perceptions

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Homeowners who have been part of the programme were interviewed to obtain their perception of the performance of VVE-010 and the results of the intervention. One important challenge in conducting the interviews was contact with the owners and their willingness to answer the questionnaire. Four interviews were conducted in total (the organisation contacted possible interviewees, but they either did not reply or did not want to be interviewed). After this attempt, VVE-010 provided the addresses of the households, and contact was made by the researcher and a Dutch-speaking assistant. A possible reason for the lack of willingness to participate might be the mandatory nature of the programme, which can be more complicated for some owners to deal with.

Households were asked about how they were contacted by VVE-010 and the main maintenance problems before the intervention. In three cases, the VvEs were working, and in two cases they had an administrator, which was the same company that administrates most of the buildings in the area. In these cases communication between VVE-010 and the owners was through the administration company. When they were first contacted by VVE-010, the mandatory nature of the programme was not noted as a problem. On the contrary, the subsidy was emphasised as an incentive or possibility offered by VVE-010 to improve maintenance practices.

*VVE-010 wrote us to say that we needed to act on renovating parts of our building, most importantly the façade. The organisation (VVE-010) explained to us the possibilities for getting funding for the maintenance. So, we discussed with Verhagen Concept (administrator) how to start the maintenance. Verhagen Concept is the administrator of a lot of VvEs in this street (Neighbour 3, individual interview, January 2017).*

*We were already part of a VvE, but VVE-010 sent us a letter to inform us about the potential subsidies for improving the state of the building (Neighbour 4, individual interview, December 2016).*

*In this street, everyone received an incentive to start renovating their buildings, this was already the case before I started living here (Neighbour 1, individual interview, December 2016).*

Interviewees noted a general lack of maintenance due to delayed actions, mentioning specific problems such as broken drain pipes, problems with the roof and façade deterioration; *'We have had a lot of deferred maintenance, mainly the façade. We live at the end of the block so we even have three facades to take care of'* (Neighbour 3, individual interview, January 2017). Another problem was attendance at the meetings, because not all owners participated, even in the meetings that are mandatory.

The interviewees were asked about their participation in the process. Where there was an administrator, communication with VVE-010 was made through the administrator, but they also contacted VVE-010 directly for specific doubts. They also spoke about the technical evaluation and the maintenance plan. After the evaluation of VVE-010, the list of required actions was presented to them, and they could add more actions and offer comments.

Interviewees noted positive and negative features about the performance of VVE-010. Among the positive features, VVE-010 was seen as an approachable and accessible organisation that answered their questions quickly. *'They are always reachable via several media'* (Neighbour 1, individual interview, December 2016); *'They (VVE-010 and the administrator company) seem to have quite a lot of contact and I believe that it goes well'* (Neighbour 3, individual interview, January 2017); *'They answer very quickly, most of the time within 5 minutes (...) I'm happy with the way they work, I feel free to contact them'* (Neighbour 4, individual interview, January 2017).

Communication problems between the owners, the administrator and VVE-010 were identified as negative features. Another problem was related to the evaluation which was considered incomplete.

*'We can of course adjust the list ourselves, but that requires a lot more communication and staff. Because they based the list on the ground floor houses, as a first-floor owner we needed to add a lot of extra tasks, they could have made an appointment with us to check all the floors of our buildings'* (Neighbour 1, individual interview, December 2016).

They also noted some problems with the information about, and access to the subsidy, which have delayed the process. One of the problems involved understanding the regulations for the subsidy, and another owner noted misinformation about the application dates. One of the interviewees associated the communication misunderstandings with the number of people involved in the process.

*There were some problems with the subsidy regulations. This was not communicated well. We communicated with VVE-O10 and they had contact with the municipality, I guess. The communications was not always clear, causing a delay in the renovation progress. I think this was not only because of VVE-O10, but because of the many people that were involve in the process (Neighbour 1, individual interview, December 2016).*

There is a general perception that the management of the building has improved. One of the interviewee noted that they, as VVE, are working on the list provided by VVE-O10 and trying to keep the building in proper condition and clean. Another participant noted that the management has improved and therefore the building is now in better condition. they indicated that in case of developing new project they contact the administrator to guide them. One of the difficulties in initiating new projects is to keep in regular contact with all the owners, especially those who are there only for a short period of time. Participants noted that they were not very close to their neighbours, which also affected participation in the meetings. A desire for more contact with other owners in the VvE was also indicated.

#### § 7.1.4.2 Condominium management dimensions

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The results are also measured according to the management dimensions by comparing the initial and final situations. The main technical problems were solved. After the intervention the buildings reached the minimum standards according to the *Housing Act* and had a long-term maintenance plan for the next 15 years. The VvE is responsible for carrying out the plan, but this will depend on their willingness. To facilitate this duty, homeowners have a maintenance roadmap, made by specialists, to follow in the coming years.

The organisational problems were also mainly solved. The VvEs finished the programme with the tools to continue their work independently. They had a president or a committee, an administrator, a customised maintenance plan and a maintenance fund to achieve this plan. The financial problem was solved because the resources for maintenance and improvements are part of the requirements for the VvEs participating in the programme. Co-owners that reject this condition and the options provided by the municipality, will eventually have to find other housing. The financial capacity of

the VvE is certificated by an external organisation once the process is finished. The programme does not, however, include specialised training when homeowners need to improve their skills in management or general knowledge about housing maintenance.

Problems in the sociocultural dimension were least solved, mainly because they are neither part of the scope nor the expertise of VVE-010. Even though the foundation is aware that they are working in complex neighbourhoods, the expertise of the professionals resides in their technical and communicational skills about housing management. The programme takes for granted that homeowners are financially responsible for providing maintenance, and so the financial requirements for the maintenance fund and the improvements are mandatory. The situation of low income homeowners is addressed through other social programmes in the neighbourhood that are focused on improving employment opportunities, education and quality of life. The main pending challenge to action capacity is to improving neighbour relationships and community cohesion inside VvEs, which can also contribute to increasing participation in meetings and in developing new projects.

	INDICATORS	DESCRIPTION
RESULTS / Organisation performance	Internal assessment – success parameters	<ul style="list-style-type: none"> <li>– No particular internal evaluation mechanisms noted. The programme is still new.</li> <li>– Complex measurement of success given the mandatory nature of the programme.</li> <li>– Activation of VVEs in the long term. They stay long-term in the neighbourhood to provide extra support if the activation was difficult.</li> <li>– To create a healthy and independent VvE, which is able to go to the market and hire management services</li> <li>– Financial capacity of VVE</li> <li>– To maintain the speed of the process so as to succeed on time</li> </ul>
	External assessment – user perceptions	<ul style="list-style-type: none"> <li>– The subsidy is perceived as an incentive/opportunity</li> <li>– The organisation is perceived as approachable, reachable by different media and efficient in providing answers.</li> <li>– Communication problems between owners, administrators and VVE-010.</li> <li>– Misinformation about the subsidy in terms of regulations and application deadlines created delays.</li> <li>– Minor problems during the evaluation of the property.</li> <li>– Management of the building has improved.</li> <li>– Difficulties with fluent communication with other owners.</li> </ul>
RESULTS / Condominium management dimensions Rotterdam Zuid area	<b>Technical dimension</b>	
		<ul style="list-style-type: none"> <li>– The organisation provides information to solve current technical problems as well as support to carry out the improvements in order to achieved the standards required.</li> </ul>
	Maintenance plan	<ul style="list-style-type: none"> <li>– The organisation provides a maintenance plan which is a roadmap for the next 15 years. During the programme, they have to implement short-term activities.</li> </ul>
	<b>Organisational dimension</b>	
	Norms & rules	<ul style="list-style-type: none"> <li>– VvEs have permanent access to information via different media (local office, website)</li> </ul>
	Human & financial resources	<ul style="list-style-type: none"> <li>– The programme offers financial possibilities (subsidies and loans) to support homeowners.</li> <li>– Having a maintenance fund and financial stability are included as requisites of the programme. They have to meet the standards of a minimum maintenance fund to be certificated and the financial capacity to carry out short-term maintenance activities.</li> <li>– Provision of affordable administrative services for the most complex cases</li> </ul>
Organisational structure	<ul style="list-style-type: none"> <li>– The organisation provides information and support to activate the VvEs. At the end of the process all VvEs are active, having a president, an administrator, a maintenance plan and a maintenance fund.</li> </ul>	
RESULTS / Condominium management dimensions Rotterdam Zuid area	<b>Sociocultural dimension</b>	
	Culture of maintenance	<ul style="list-style-type: none"> <li>– Homeowners who are interested have received detailed information about maintenance problems, and how to implement the long-term maintenance plan. The plan does not consider special training to improve the individual knowledge about housing maintenance, however.</li> </ul>
	Action capacity	<ul style="list-style-type: none"> <li>– There is no specialised social professionals or alternatives to deal with complex financial situations. If homeowners cannot meet the financial requirements, it is likely that they will sell and become tenants.</li> <li>– Other public programmes running in the neighbourhood address socioeconomic issues.</li> <li>– There are no particular actions addressing internal cohesion of VvEs.</li> </ul>

TABLE 7.3 Analytical framework. Results

## § 7.1.5 Summary

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The VVE-010 case study provided information about the role of the third sector as coordinator of a municipal programme in the area of Rotterdam Zuid. The main goal was to improve maintenance practices among VvEs whose buildings have signs of deterioration. The programme focuses on a specific niche, providing a solution for the problem from a technical and organisational perspective. Apart from this approach, the programme is embedded in a major area-based intervention which combines municipal and national plans to improve the quality of life and the social conditions of Rotterdam Zuid's residents.

The municipality created VVE-010 as an strategy to support the community with an intermediary that provides a neutral image, and thereby to facilitate the process and the relationship with the community. Even though the foundation is an independent organisation, it is not part of any municipal department, and the municipality has strong influence on the organisation's vision and goals.

A predominant feature of the programme is that it is mandatory for the selected residents. The enforcement of the programme in a clear top-down approach seems to be effective in addressing, one by one, the 'conflictive spots', however it is not clear whether this approach is effective in generating understanding among the co-owners. Although the resident interviews did not report complaints about this characteristic of the programme, the difficulties in finding residents willing to be interviewed might also be a consequence of the way the programme is implemented.

VVE-010 adopts a partnership role to carry out the programme, acting as the coordinator of third party for-profit and non-profit executers. The use of different types of partnerships during the implementation of the programme is two-fold; it provides expertise for different tasks, while keeping a small permanent staff, however the inclusion of a number of actors during the process also makes the coordination more complex, and especially the communication between VVE-010 and the co-owners.

Most of the services are provided by adopting a catalyst role in partnership with other entities. The organisation seeks to catalyse good maintenance practices using different strategies ranging from incentives to enforcing the law. They also adopt an implementer role, the main goal of which is to provide technical support to facilitate initial activities and accelerate the process. The main responsibility for conducting the improvements and activating the VvEs lies with the homeowners. The role of VVE-010 is to ensure that these changes happen, facilitating and supporting them in the most complicated steps.

The process is standardised, with six main steps implemented in two years. There is an anchoring phase within the process, in which the financial capacity of the VvEs for long-term maintenance is checked. The fact that the organisation stays longer in the area, and has a permanent office, enables the monitoring of the buildings and gives the opportunity for VvEs to request additional support after the process is finished. The approachability and accessibility of the organisation were highlighted by the interviewees as positive aspects of the organisation.

Four main discussion topics about the role of third sector organisations can be derived from the analysis of VVE-010. The organisation's approach to complex contexts is focussed rather than integral, however a necessary element is that this focussed approach is embedded in a major plan that combines different interventions which together address socioeconomic problems using a network of private, public and non-profit organisations. At different levels of the intervention, partnerships and collaborations are key elements to ensuring a wider intervention. The case also suggests an interesting discussion about the extent to which the management and the maintenance of the private property is (or is not) a public problem. The municipality of Rotterdam's perspective is that the management of the building is the duty of each owner, and so homeowners and new buyers have to be financially able to conduct this maintenance.

The third discussion is about incentive and enforcement methods and how to apply them in a fair way to the users, especially in contexts more vulnerable than Rotterdam and the Netherlands. VVE-010 involves both: they enforce the maintenance, but they know that the situation of the homeowners is complex, so they offer credit facilities and a subsidies. This assistance is limited, however, and the rest is part of the homeowners' responsibilities. This has meant that some people returned to being tenants. The municipality has questioned the subsidy policy: are we giving incentives to the people who do not maintain their property? What about the people who do actually maintain it? The final debate involves the role of the municipality in terms of participation in the supervision and control of housing maintenance practices, but also in terms of influence over the goals and vision of the third sector intermediary.

## § 7.2 Lesson-drawing

Lessons are drawn from nine practices of VVE-010 in this section. The practices are assessed using the matrix presented in Chapter 5: description of the practice, conditions to develop the practice, focus, drawbacks. After the assessment of each practice, lessons are formulated. Practices and lessons are summarised in Table 7.4.

### Practice #1. Municipal top-down approach to improve housing quality in priority areas

#### Assessment:

The approach to select the areas and supplies resources is top-down and it is initiated by the Municipality, focusing on priority problematic areas. The organisation is the intermediary that selects the buildings that will be part of the programme and ensures an effective allocation of resources. In this approach the municipality has exhaustive knowledge of the area and professionals' capacity to evaluate and supervise the programme. The practice is focused on the technical dimension of management, specifically the physical conditions. The buildings are selected according to technical priority.

Conditions are set out by the institutional context and the organisation. The municipality needs to have the financial capacity and human resources to be in charge of the intervention. Incentives from the central government are required to promote these practices. A formal partnership with the municipality is required from the organisation, in order to participate in the process as a third sector coordinator. As the process is led by the municipality, the third sector organisation is subordinated to the municipality's programme in this partnership. The main drawbacks are related to the role of the intermediary, which might be perceived by the community as a governmental organisation that enforces maintenance practices, and users satisfaction, given the lack of participation in the decision to be part of the programme. Another drawback is the limited availability of municipal resources to implement these types of programme which requires priority for the most deteriorated cases.

#### Lesson:

A municipal top-down approach can be effective in addressing problematic maintenance spots while providing control over the allocation of resources, selection of buildings and the evolution of the intervention through a third sector coordinator. The effectiveness resides in the capacity of the municipality to manage the process and the capacity of the third sector intermediary to remain neutral to the community and aligned to the programme's goals.



## Practice #2. The intervention is embedded in an area-based programme

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### Assessment:

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The approach the programme takes to the area involves a collaborative network of professionals, governmental institutions committed to improving the living conditions of Rotterdam Zuid under the umbrella of a national programme. This approach enables VVE-010 to specialise and releases them from other functions associated with the social vulnerability of the residents. The practice is focused on the technical dimension, concentrating resources to improve housing performance and maintenance practices.

The conditions are related to the institutional context and the organisation. In this case, governmental programmes for vulnerable groups or area-based interventions for vulnerable territories are available in the area. The third sector organisation, is required to have the capacity to coordinate actions between the central government and the municipality in order to act together in the area. The main drawbacks are related to the low autonomy of the third sector intermediary in interventions, considering that the decisions are linked to both the national and the municipal programmes; and the difficulties of aligning activities focussed on the sociocultural, organisational and technical dimensions of the problem.

### Lesson:

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The combination of different national and municipal programmes to tackle social and technical problems from an integral approach in one area divides the responsibilities of the implementation between different institutions and organisations according to their own expertise. It requires a high level of national-local coordination as well as public, private and third sector partnerships. The intervention of the third sector, is therefore a single focused contribution within a bigger plan.

## Practice #3. Partnering to increase service provision

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### Assessment:

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VVE-010 is a small organisation. Their expertise is acquired through the externalisation of the work via partnership with other organisations and professionals (STEEDS, SKV, SvN). This system allows a wider service provision, ensuring that the professionals are technically able to perform their functions. The practice focusses on improving the access of VvEs to resources, contributing to connected social capital.

Conditions are set by the institutional context and the organisation. At the contextual level, private or third sector organisations specialised in the field of housing management, and who are willing to work with low income groups are required. At the organisation level, the third sector organisation has to be able to coordinate the third party executers. The main drawback is the division of the knowledge and control of the intervention among several organisations, which might also affect relationships and communication with the users.

**Lesson:**

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Strategic partnership with other third sector or private organisations to deliver the services allows the provision of specialised work while retaining a small organisation whose main task and challenge is the coordination of these services.

**Practice #4. Housing maintenance as an owner's duty**

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**Assessment:**

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It is the responsibility of the individual homeowners and the homeowners associations to provide adequate maintenance. The organisation uses a variety of means to catalyse maintenance practices among homeowners. It considers incentives such as access to affordable loans and subsidies, but also sanctions to ensure maintenance practices. Participation in the programme is mandatory, the main investment in the property has to be made by the owners (the subsidy is complementary), and homeowners associations are also supervised after the process to check their financial capacity. The focus is the sociocultural dimension, including the culture of maintenance and the understanding of maintenance as a duty, and increasing the capacity for action using a "carrot and stick" approach.

The main institutional conditions are the existence of a legal framework that states homeowner responsibilities in housing maintenance, and the existence of a cultural valorisation of maintenance. The main conditions for the organisation are the legal rights to enforce maintenance practices and to apply the sanctions, which in this case are implemented through the municipality. The condominiums' residents, are required to have knowledge about their responsibilities. The main drawbacks are related to the level of vulnerability of owners and the satisfaction of the users. The starting point is that homeowners will have the financial capacity to adopt the programme, however there is no a clear course of action if the homeowners are willing to maintain the property, but lack financial capacity. The excessive use of "sticks" might also affect a homeowner's satisfaction with the process and discourage them from adopting good practices in the future.

**Lesson:**  
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The understanding of maintenance as a duty of individual homeowners and associations facilitates the adoption of maintenance practices among homeowner associations, and it also allows sanctions to be applied if maintenance is neglected. To make this possible, the duties must be indicated in the legal framework, the municipalities have to have the rights to enforce it, and alternatives should be provided for the most vulnerable cases.

**Practice #5. Affordable services of administration as additional support for homeowner associations with organisational shortcomings**  
.....**Assessment:**  
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VVE-010 are implementers in specific situations. One such situation is when homeowner associations are not ready to hire an administration company in the market by themselves. In this case, they provide affordable administrative services as an additional support, carried out by the permanent staff of the organisation. This practice is focused on the organisational dimension, improving the access to human resources and the implementation of norms and rules.

Conditions are set by the organisation and the condominium. The organisation is required to have professionals who specialise in administration. Condominiums with organisational shortcomings are eligible to receive this services. The main drawback is that the ability to support homeowners associations depends on the ability and the number of specialised professionals in the permanent staff.

**Lesson:**  
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The availability of the third sector organisation to implement affordable services of administration ensures that homeowner associations can have access to proper administration, even though the organisations are not able to implement it themselves or are unable to pay for the services at the market price.

## Practice #6. Permanent service of information and advice in the neighbourhood

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### Assessment:

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VVE-010 is available to solve doubts and support homeowners in the management of their properties. The information is accessible for homeowners through the office, or to any homeowner association or individual owner that needs assistance through the website. This has contributed to perceiving the organisation as approachable and effective in communicating information and solving doubts. This practice is focused on organisational (norms and rules) and sociocultural (culture) dimensions, informing homeowners about the law and the duties associated with owning a house, the function of homeowners associations and providing information about the importance of adequate maintenance practices.

The organisation and the condominiums both have requirements for this practice. The organisation must have an office in the neighbourhood, permanent staff available to answer questions and a website with information for users. Condominium residents need to be aware of the organisation and its services. One of the main drawbacks is the balance between the demand and the cost associated with the office. If the demand and the length of stay in the neighbourhood are not properly measured, it can be financially unsustainable.

### Lesson:

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The existence of an organisation's office in the neighbourhood enhances its presence in the area, providing permanent support to owners during and after the intervention. This support is also a preventive measure to ensure the sustainability of the improvement and future maintenance practices.

## Practice #7. Technical evaluation and maintenance plan as main guidelines of the process

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### Assessment:

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The first action of VVE-010 is to evaluate the physical conditions of the property and define a maintenance plan in the short-term and long-term. This plan considers the actions needed improve the physical condition of the building and to implement maintenance practices. It is a roadmap for the homeowner association which facilitates them in decision making once the organisation has finished the intervention. This practice focuses on the technical dimension, providing an evaluation of the physical

condition of the building and defining maintenance requirements. It also focuses on organisational dimensions, facilitating the technical information required to organise the financial resources to implement the maintenance plan.

The main conditions required to carry out this practice affect the organisation and the condominium. The organisation needs to have technical expertise in management. The condominium residents need to have basic knowledge about the importance of housing maintenance, and the minimal financial capacity to consider the plan as a feasible course of action. The buildings should have moderate levels of deterioration that allows the intervention to focus on housing maintenance. In terms of drawbacks, the evaluation phase and the maintenance plan do not necessarily consider participatory methods to involve homeowners in the process. If homeowners do not understand or approve the plan, it is likely that they will not use it in the future.

**Lesson:**

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The definition of a customised maintenance plan based on professional evaluation of the building ensures that all homeowner associations have a road map to continue maintenance activities in the future, facilitating the organisation and administration of the resources. If the plan is adapted to owners' socioeconomic realities, and discussed with them, it is more likely that they will adopt it in the future.

**Practice #8. The homeowner association has the main responsibility for making decisions and carrying out actions**

**Assessment:**

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The homeowners association is responsible for tasks during the operation phase. VVE-010 provides support and guidance but actions such as finding and hiring a contractor, hiring an administrator or creating the maintenance fund are the responsibility of the community. This practice aims at the organisational dimension, because the homeowner association has to be active in order to make the decisions. It also aims at the sociocultural dimension and the capacity for action, increasing homeowner responsibilities for improving, maintaining and managing their properties.

The institutional context, the organisation and the condominium all have requirements. Active organisations willing to work with low income groups are required. The organisation has to adopt a catalyst role coordinator and adviser. The condominium residents need basic knowledge about housing management and an active homeowner association capable of making decisions are required. The

performance of the activities depends on the capacity of the homeowners association, however, and in cases with low education or organisational problems the process might be slower or delayed.

**Lesson:**

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The transference of responsibilities to homeowner associations that have at least basic organisational structures, contributes to increasing their knowledge and prepares them for future management. Although the homeowner association has the main responsibility for carrying out the activities required to improve physical and maintenance conditions, the organisation adopts a position of adviser.

**Practice #9. The process ensures a legally and financially healthy homeowner association**

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**Assessment:**

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After the intervention, the homeowner association is active and financially able to take care of the future maintenance and management. A third party organisation checks and certifies the financial capacity, ensuring the presence of a maintenance fund. This contributes to giving the association a new starting point, especially in cases where there were legal problems or bad practices. This practice aims at the organisational dimension, consolidating an active homeowners association, a maintenance fund for long-term actions and providing the tools for homeowners associations to function according to the regulations.

There are conditions for the institutional context, the organisation and the condominiums. The main condition affecting the context is the existence of a framework that regulates the action of HOAs and the existence of certification programmes. The organisation has to have mechanisms to monitor the financial capacity either internally, or in coordination with other entities. The condominiums have to have residents financially able to keep a maintenance fund. The main drawbacks are related to the predominance of financial factors over social factors in evaluating the HOAs. In order to ensure the financial capacity of the homeowner association, those homeowners with major financial problems might be excluded from the condominium. Some sell and return to social housing. Similarly, The parameters for measuring the health of the association are purely financial, excluding social factors.

## Lesson:

The monitoring and certification of the financial capacity and legal status of the homeowner association after the intervention ensure better conditions for long-term management, especially for those interventions that finish with a HOA active and properly working. The certification should include social, financial and organisational parameters to define a 'healthy homeowner association'.

#	PRACTICE	TOPIC	LESSONS
B1	<b>Municipal top-down approach to improve housing quality in priority areas</b>	General approach	A municipal top-down approach can be effective in addressing problematic maintenance spots while providing control over the allocation of resources, selection of buildings and the evolution of the intervention through a third sector coordinator. The effectiveness resides in the capacity of the municipality to manage the process and the capacity of the third sector intermediary to remain neutral to the community and aligned to the programme's goals.
B2	<b>The intervention is embedded in an area-based programme</b>	General approach	The combination of different national and municipal programmes to tackle social and technical problems from an integral approach in one area divides the responsibilities of the implementation between different institutions and organisations according to their own expertise. It requires a high level of national-local coordination as well as public, private and third sector partnerships. The intervention of the third sector, is therefore a single focused contribution within a bigger plan.
B3	<b>Partnering to increase service provision</b>	Intermediation Partner role	Strategic partnership with other third sector or private organisations to deliver the services allows the provision of specialised work while retaining a small organisation whose main task and challenge is the coordination of these services.
B4	<b>Housing maintenance as an owner's duty</b>	Intermediation Catalyst role	The understanding of maintenance as a duty of individual homeowners and associations facilitates the adoption of maintenance practices among homeowner associations, and it also allows sanctions to be applied if maintenance is neglected. To make this possible, the duties must be indicated in the legal framework, the municipalities have to have the rights to enforce it, and alternatives should be provided for the most vulnerable cases.
B5	<b>Affordable services of administration as additional support for homeowner associations with organisational shortcomings</b>	Intermediation Implementer role	The availability of the third sector organisation to implement affordable services of administration ensures that homeowner associations can have access to proper administration, even though the organisations are not able to implement it themselves or are unable to pay for the services at the market price.
B6	<b>Permanent service of information and advice in the neighbourhood</b>	Intermediation Catalyst role	The existence of an organisation's office in the neighbourhood enhances its presence in the area, providing permanent support to owners during and after the intervention. This support is also a preventive measure to ensure the sustainability of the improvement and future maintenance practices.

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#	PRACTICE	TOPIC	LESSONS
B7	Technical evaluation and maintenance plan as main guidelines of the process	Intermediation Implementer role	The definition of a customised maintenance plan based on professional evaluation of the building ensures that all homeowner associations have a road map to continue maintenance activities in the future, facilitating the organisation and administration of the resources. If the plan is adapted to owners' socioeconomic realities, and discussed with them, it is more likely that they will adopt it in the future.
B8	The homeowner association has the main responsibility for making decisions and carrying out actions	Intermediation Catalyst role	The transference of responsibilities to homeowner associations that have at least basic organisational structures, contributes to increasing their knowledge and prepares them for future management. Although the homeowner association has the main responsibility for carrying out the activities required to improve physical and maintenance conditions, the organisation adopts a position of adviser.
B9	The process ensures a legally and financially healthy homeowner association	Results	The monitoring and certification of the financial capacity and legal status of the homeowner association after the intervention ensure better conditions for long-term management, especially for those interventions that finish with a HOA active and properly working. The certification should include social, financial and organisational parameters to define a 'healthy homeowner association'.

TABLE 7.4 Summary of practices and lessons.

## § 7.3 Transferability

The lessons identified are evaluated by looking at the political, technical, financial and sociocultural feasibility in Chile in relation to the institutional context, third sector organisations and condominiums (built environment and community). Table 7.5 shows the feasibility analysis per lesson. After the evaluation, minor, medium and major recommendations for practices adapted to the Chilean context are formulated, and listed in Table 7.6.



#	LESSON	FEASIBILITY ASSESSMENT			
		Political	Technical	Financial	Cultural
B1	Municipal top-down approach to improving housing quality in priority areas	<p>[INSTITUTIONAL CONTEXT]</p> <p>A long-term plan may be affected by political cycles in municipalities (Ch.2)</p> <p>Not all municipalities have the administrative capacity to lead the intervention. (Ch.2)</p> <p>[THIRD SECTOR]</p> <p>Not relevant</p> <p>[CONDOMINIUM]</p> <p>Not relevant</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>Not relevant</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>No problems detected</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>Municipalities with social housing usually have neither the human nor financial resources to lead this approach (Ch.2)</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>No problems detected</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>No problems detected</p> <p>[THIRD SECTOR]</p> <p>Third sector relationship with municipalities are usually based on collaborations not subordination (Ch.2, 6)</p> <p>[CONDOMINIUM]</p> <p>Top-down approach might be perceived as a threat by homeowners (Ch.2,3)</p>
B2	The intervention is embedded in an area-based programme	<p>[INSTITUTIONAL CONTEXT]</p> <p>Most of the housing programmes are based on demand. One example of an area-based approach is PQMB (Ch.2)</p> <p>TS tend to compete for governmental fund opportunities (Ch. 2)</p> <p>Not all municipalities have the administrative capacity to lead the intervention (Ch.2)</p> <p>[THIRD SECTOR]</p> <p>Not relevant</p> <p>[CONDOMINIUM]</p> <p>Not relevant</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>Not relevant</p> <p>[THIRD SECTOR]</p> <p>High demand versus small specialised third sector (Ch.02)</p> <p>[CONDOMINIUM]</p> <p>No problems detected</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>No problems detected</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>No problems detected</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>Tendency to work separately rather than in cross-sector partnerships (Ch.2)</p> <p>[THIRD SECTOR]</p> <p>Organisations tend to adopt a holistic approach rather than specialisation (Ch.2,6)</p> <p>[CONDOMINIUM]</p> <p>No problems detected</p>

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#	LESSON	FEASIBILITY ASSESSMENT			
		Political	Technical	Financial	Cultural
B3	Partnering to enlarge service provision	<p>[INSTITUTIONAL CONTEXT]</p> <p>There are no professional networks focused on condominium management in vulnerable areas (Ch.2)</p> <p>[THIRD SECTOR]</p> <p>Not relevant</p> <p>[CONDOMINIUM]</p> <p>Not relevant</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>Not relevant</p> <p>[THIRD SECTOR]</p> <p>There are no affordable services related to condominium management and administration (Ch.3)</p> <p>[CONDOMINIUM]</p> <p>No problems detected</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>No problems detected</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>No problems detected</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>No problems detected</p> <p>[THIRD SECTOR]</p> <p>Organisations tend to work territorially in vulnerable neighbourhoods (Ch.2)</p> <p>[CONDOMINIUM]</p> <p>Too many organisations might lead to a misunderstanding with homeowners, especially in big condominiums (Ch.3)</p>
B4	Housing maintenance as an owner's duty	<p>[INSTITUTIONAL CONTEXT]</p> <p>Municipalities and government do not have rights to enforce housing maintenance.</p> <p>No regulations about maintenance parameters (Ch.2)</p> <p>No alternatives to ownership (Ch.2)</p> <p>[THIRD SECTOR]</p> <p>Not relevant</p> <p>[CONDOMINIUM]</p> <p>Not relevant</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>Not relevant</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>Some problems in the condominium are related to poor initial quality that hamper the positive outcomes of maintenance activities (Ch.3)</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>No problems detected</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>Financial constraints to carrying out maintenance activities, especially long-term (Ch.3)</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>Poor culture of maintenance (Ch.3)</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>Maintenance is not assumed and implemented by communities (Ch.3)</p>
B5	Affordable of administration services as additional support for HOAs	<p>[INSTITUTIONAL CONTEXT]</p> <p>No problems detected</p> <p>[THIRD SECTOR]</p> <p>Not relevant</p> <p>[CONDOMINIUM]</p> <p>Not relevant</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>Not relevant</p> <p>[THIRD SECTOR]</p> <p>There are no organisations providing affordable administration services (Ch.3)</p> <p>[CONDOMINIUM]</p> <p>Improvements have priority over administration in high deteriorated condominiums (Ch.3)</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>No problems detected</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>No financial capacity to hire administration services (Ch.3)</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>Private and for-profit administrators do not work with social housing (Ch.2)</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>No problems detected</p>

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#	LESSON	FEASIBILITY ASSESSMENT			
		Political	Technical	Financial	Cultural
B6	Permanent information and advice service in the neighbourhood	[INSTITUTIONAL CONTEXT] Municipalities are usually the information hub for the community (Ch.3) [THIRD SECTOR] Not relevant [CONDOMINIUM] Not relevant	[INSTITUTIONAL CONTEXT] Not relevant [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] If the office is linked to the municipality it requires additional funding and personal (Ch.2) [THIRD SECTOR] Organisations tend to stay for short periods in neighbourhoods due to limited funding (Ch.2, 6) [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] No problems detected [CONDOMINIUM] Community has to trust an organisation to go to them for advice (Ch.3)
B7	Technical evaluation and maintenance plan as the main guidelines of the process	[INSTITUTIONAL CONTEXT] There are no regulations that define a maintenance plan [THIRD SECTOR] Not relevant [CONDOMINIUM] Not relevant	[INSTITUTIONAL CONTEXT] Not relevant [THIRD SECTOR] Current organisations in the field do not have professional experts in housing management [CONDOMINIUM] Condominiums that have not had interventions present high levels of deterioration which complicate the implementation of a maintenance plan	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] No problems detected [CONDOMINIUM] Limited financial capacity. It is not common for social condominiums to have a maintenance fund for long-term actions	[INSTITUTIONAL CONTEXT] A long-term maintenance plan is not part of the housing culture [THIRD SECTOR] [CONDOMINIUM] Maintenance is not assumed or implemented by communities
B8	HOA has the main responsibility for making decisions and carrying out actions	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Not relevant [CONDOMINIUM] Not relevant	[INSTITUTIONAL CONTEXT] Not relevant [THIRD SECTOR] Organisations do not offer advice about management services or affordable loans (Ch.2) [CONDOMINIUM] Actions more effective in condominiums with moderate levels of deterioration (Ch.3, 6)	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] No problems detected [CONDOMINIUM] This lesson is applicable for condominiums that have active organisational structures, have informed leaders and are legalised (Ch.3, 6)

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#	LESSON	FEASIBILITY ASSESSMENT			
		Political	Technical	Financial	Cultural
B9	Legally and financially healthy homeowner association	[INSTITUTIONAL CONTEXT] Need to define the parameters of a healthy HOA in regulations (Ch.3) [THIRD SECTOR] Not relevant [CONDOMINIUM] Not relevant	[INSTITUTIONAL CONTEXT] Not relevant [THIRD SECTOR] There are no organisations specialising in certifications for condominiums (Ch.3) [CONDOMINIUM] Not all the condominiums have physical conditions that allow them to pursue certification (Ch.3)	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] No problems detected [CONDOMINIUM] Not all the condominiums have consolidated a maintenance fund (Ch.3)	[INSTITUTIONAL CONTEXT] Certifications are not widely adopted in housing (Ch.3) [THIRD SECTOR] No problems detected [CONDOMINIUM] SC are not familiar with certifications (Ch.3).

TABLE 7.5 Feasibility assessment of lessons. Chapter references are included for further information.

One of the main restrictions is the lack of governmental attention on housing maintenance at a central and municipal level, especially in terms of regulations. Given the lack of legal frameworks and maintenance standards, neither central government or municipalities have the tools to identify maintenance drawbacks or the legal means to enforce maintenance practices if they are neglected. At the municipal level, the housing department is responsible for housing issues, but there are no formal subdivisions or professionals assigned to look after housing maintenance and management.

There are two main restrictions regarding financial feasibility. On the one hand, municipalities with a large amount of social housing have limited financial resources. This restricts the expansion of housing departments or municipal budget allocation in area-based approaches to housing improvements. Homeowners also face financial difficulties in sustaining a maintenance fund in the long-term, which is essential for regular maintenance practices.

The main restrictions to technical feasibility are related to the lack of specialised third sector organisations in the area of condominium management, particularly the provision of affordable services of administration, technical maintenance advice, affordable loans and certification for HOAs. Another limitation is related to the general condition of the condominiums, an important part of the stock presents high deterioration and a lack of organisational structures, requiring a first intervention to solve urgent problems before introducing long-term maintenance practices.

One important restriction involving cultural feasibility is the lack of understanding and incorporation of maintenance practices. In general, there is a poor culture of long-term maintenance in housing, which is representative of the situation in social condominiums. Another difference is related to the cross-sector collaboration and the lack of formal collaboration between third sector organisations working in the same area.

The feasibility analysis provided the input to formulate recommendations for adapted practices (see Table 7.6). Minor adaptations of the lessons are related to the use of existent resources and institutions, but adjust the emphasis regarding maintenance, municipal involvement and third sector collaboration, for instance, to introduce maintenance (technically and financially) as necessary input during and after the interventions (Lesson #4, #6 #7), to emphasise the catalyst role in increasing homeowner responsibilities (Lesson #8), to institutionalise current informal collaborations between the third sector with communities and municipalities (Lesson #3, Lesson #1), to increase the participation of municipalities with better coordination capacity in the definition of priority areas and area-based interventions (Lessons #1, #2), or to promote specialisation among third sector organisations already active in the field (Lesson #5).

#	LESSONS	ADAPTATION FOR THE CHILEAN CONTEXT
B1	Municipal top-down approach to improve housing quality in priority areas	<p><b>Minor</b></p> <ul style="list-style-type: none"> <li>– Municipalities participate in identifying problematic spots and selecting priority areas.</li> <li>– Coordination remains with the housing department of each municipality.</li> <li>– Inclusion of a private third sector partner to provide long-term cooperation despite political changes.</li> </ul> <p><b>Medium</b></p> <ul style="list-style-type: none"> <li>– Financial resources from central government (i.e. model of programme PQB)</li> </ul> <p><b>Major</b></p> <ul style="list-style-type: none"> <li>– Governmental support for poor municipalities to increase their financial capacity and coordination skills, training the professionals and creating a permanent section of housing management.</li> </ul>
B2	The intervention is embedded in an area-based programme	<p><b>Minor</b></p> <ul style="list-style-type: none"> <li>– Municipalities with better coordination capacity can steer existing government subsidies in the same area.</li> </ul> <p><b>Medium</b></p> <ul style="list-style-type: none"> <li>– Municipalities need governmental incentives to lead, coordinate and supervise the combination of public programmes in priority areas.</li> </ul> <p><b>Major</b></p> <ul style="list-style-type: none"> <li>– Government vision of area-based approach to tackle multidimensional problems that promotes and enables cross-sector collaboration</li> </ul>
B3	Partnering to increase service provision	<p><b>Minor</b></p> <ul style="list-style-type: none"> <li>– Third sector organisations can formalise their current collaborations with municipalities and communities through agreements that indicate responsibilities.</li> <li>– Organisations working in the same area can coordinate their activities.</li> </ul> <p><b>Medium</b></p> <ul style="list-style-type: none"> <li>– Government incentives to promote partnerships between third sector organisations.</li> <li>– Government incentives for the third sector to create a network specialised in housing maintenance and management</li> </ul> <p><b>Major</b></p> <ul style="list-style-type: none"> <li>– (-)</li> </ul>
B4	Housing maintenance as an owner's duty	<p><b>Minor</b></p> <ul style="list-style-type: none"> <li>– Education about maintenance, especially for the leaders and administrative committees.</li> </ul> <p><b>Medium</b></p> <ul style="list-style-type: none"> <li>– Increase awareness in municipalities about the importance of housing maintenance and management</li> </ul> <p><b>Major</b></p> <ul style="list-style-type: none"> <li>– Regulation about maintenance in current law, indicating collective and individual responsibilities and standards of adequate maintenance.</li> <li>– More rights for municipalities to control and supervise maintenance practices.</li> <li>– Permanent section of housing management in central or local governments</li> </ul>

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#	LESSONS	ADAPTATION FOR THE CHILEAN CONTEXT
B5	Affordable services of administration as additional support for HOAs	<b>Minor</b> – Niche for affordable services to be implemented by third sector organisations in condominiums that have the conditions to be maintained (after subsidy intervention)
		<b>Medium</b> – Municipal administration of the most vulnerable social condominiums. – Government incentives for third sector organisations to provide administration in complex cases.
		<b>Major</b> (–)
B6	Permanent information and advice service in the neighbourhood	<b>Minor</b> – Use of current municipal organisation and channels to provide information. – Third sector organisation focused on maintenance and management advice.
		<b>Medium</b> – Government resources to increase municipal staff, providing a permanent section or office focused on maintenance and management.
		<b>Major</b> (–)
B7	Technical evaluation and maintenance plan as main guidelines of the process	<b>Minor</b> – Maintenance plan can be implemented in condominiums recently improved by the subsidy programme.
		<b>Medium</b> – The maintenance plan can be included as required in current subsidy programmes
		<b>Major</b> – Maintenance plan in the co-ownership law as new requisite for condominium regulations. The main challenge is to keep a maintenance fund to implement the plan.
B8	The HOA is the main responsible to take the decisions and carry out the actions	<b>Minor</b> – Emphasis on the catalyst role, providing permanent support to implement the improvement, but transferring more responsibilities to the administrative committee – Community leaders proven to have knowledge and expertise.
		<b>Medium</b> (–)
		<b>Major</b> (–)
B9	Legally and financially healthy homeowner association	<b>Minor</b> – TS organisations with more emphasis on consolidating a maintenance fund during the interventions.
		<b>Medium</b> – Municipalities can check (regularly) the administration capacity of condominiums and provide support if it is needed.
		<b>Major</b> – Condominium certifications can be a mechanism for monitoring and validation for future incentives. – A legal framework is needed for implementation, as well as organisations to carry it out.

TABLE 7.6 Practices for the Chilean context according to minor, medium and major adaptations.

Medium adaptations comprise upgrading current public programmes to include governmental incentives for municipalities and third sector organisations, or to expand the responsibilities of municipalities regarding maintenance and management. Some examples are the use of governmental incentives for third sector organisations to increase their participation in condominium management (Lesson #5) and promote cross-sector collaboration (Lesson #3), to increase municipality' expertise in housing maintenance and management, introducing permanent staff in this area (Lesson #6) and to increase the coordination capacity (Lesson #2), to increase governmental area-based approach programmes (Lesson #1), or to include the maintenance plan as an additional requisite in current subsidy programmes (Lesson #7).

Finally, major adaptations are related to institutional change, such as modifications in the co-ownership law, the restructuring of municipalities, and cultural changes regarding maintenance. One major change is the introduction of maintenance as a duty, which would imply not only legal modifications (Lesson #4 and #7), but also behavioural changes at the community level (Lesson #4). Other major changes concern the re-structuring of municipal organisations, including permanent departments or divisions of housing management (Lesson #1), the provision of legal rights regarding maintenance supervision (Lesson #4), or a governmental vision of area-based approaches to tackle multidimensional problems with cross-sector collaboration (Lesson #2).

While most of the lessons, or specific elements, can be adapted to local practices with minor and medium changes, there are lessons that are more difficult to apply. The adaptation of Lessons 2 and 4, for example, is more complex. Lesson #2 depends on political willingness to increase interventions based on area-based approaches and cross-sector collaborations. Lesson #4, about housing maintenance as the owner's duty, requires a socioeconomic context of low vulnerability, a network of support in terms of maintenance and different forms of tenure for low income groups, other than ownership.



## § 7.4 Conclusion

This chapter focused on analysis of the VVE-010 international case study. The following questions were formulated: *How does VVE-010 address condominium management problems?, What are the contributions to and limitations of this practice for the challenges identified in Chile?*

The organisation's role, activities and results were analysed using an analytical framework. The main findings show the capacity of the municipality to lead a top-down programme specialised in technical and organisational management problems. The third sector organisation is the main coordinator in this approach, partnering with different organisations to expand their expertise while keeping a small staff. The foundation carries out the programme, adopting an implementer role in providing technical support and administration, and a catalyst role encouraging good maintenance practices using "carrots and sticks".

The main contributions to the Chilean context involve the technical approach to the maintenance problem, establishing long-term actions, the capacity of the municipalities to look after the quality of the built environment and the advantages of alliances between specialised third sector organisations to tackle management problems.

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## 8 Community-led programme Servicios de Dinamización Vecinal (SDV): bottom-up initiative of neighbourhood associations to improve community coexistence in Madrid, Spain

*This chapter presents the analysis of the second international experience. As noted in previous chapters, the introduction of international case studies aims to explore different types of third sector organisations and to expand the range of approaches towards the community and the built environment. The 'Servicios de Dinamización Vecinal (SDV)' case is a Spanish programme selected from the international database consolidated in Chapter 5. This case seeks to expand the lessons exploring the sociocultural and organisational dimensions of housing management and the role of civil society organisations in the management of their own neighbourhoods. The following questions are formulated: How does SDV address social problems in condominiums and neighbourhoods? What are the contributions and limitations of this practice for the challenges identified in Chile?*

*Section 8.1 presents the description and analysis of the case using the analytical framework considering initial situation, intermediation, and results. A selection of the lessons identified from the case are discussed in Section 8.2. The discussion focuses on drawing lessons, highlighting the contribution of the social organisation and its programme to conflict mediation, the model of neighbourhood associations as a vehicle to address local needs and the identification of effective strategies regarding sociocultural and organisational dimensions. In Section 8.3 the lessons are assessed according to political, technical, financial and sociocultural feasibility, defining the limitations and contributions for their implementation in Chile in the institutional context, third sector organisations and condominiums. The section concludes with the formulation of adapted practices to the Chilean context.*

## § 8.1 Case description and analysis

### § 8.1.1 Introduction

The case of Servicios de Dinamización Vecinal (*Services of Neighbourhood Activation*), referred to in the chapter as SDV, is a programme coordinated by the FRAVM (Federation of Neighbourhood Associations) focused on conflict resolution and the promotion of good coexistence between groups with diverging ethnic and backgrounds in vulnerable neighbourhoods in Madrid. This analysis is focused on the role of community-led organisations such as neighbourhood associations in the management of their own neighbourhoods.

### § 8.1.2 Initial situation

#### § 8.1.2.1 Context conditions:

##### **Institutionalisation**

In Spain, the main organisational social structure for neighbourhoods are 'Neighbourhood Associations' (AA.VV). They are non-profit organisations of citizens who decide to organise themselves into a formal institution. The Neighbourhood Associations are related to a district or a specific neighbourhood, where residents can become members by paying an annual fee. These associations have a board that works on a voluntary basis and is elected by the members. The Neighbourhood Associations work mainly at the local level, organising activities and supporting the community to raise their collective demands with the authorities.

At the regional level, the AA.VV are organised under the umbrella of the 'Regional Federation of Neighbourhood Associations of Madrid' (FRAVM). The FRAVM was established by community leaders in 1967, in the context of Franco's dictatorship, to improve the quality of their neighbourhoods and housing access for vulnerable groups (FRAVM, 2005, 2008). Since then, these two social structures have worked

together in order to address community demands at the district, local and regional levels, involving both local and regional governments. The Municipality of Madrid is the local government of the city of Madrid, and the Community of Madrid (*Comunidad de Madrid*) is the governmental organisation at the regional level, comprising 179 municipalities (including the capital city, Madrid).

The Regional Federation of Neighbourhood Associations and the Neighbourhood Associations are intermediaries on different levels. The AA.VV transfers community needs to the representation of the municipality in the district (Junta Municipal), the FRAVM transfers the needs of the AA.VV to the Municipality of Madrid or the Community of Madrid. Neighbourhood associations cooperate in the federation (FRAM) so that they are stronger when they address the authorities. In the Community of Madrid there are around of 265 AA.VV that might represent 250,000 inhabitants. These organisations are recognised by local, regional and central governments as communication channels with the communities.

### Territorial specifics

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The service focuses on neighbourhoods with special needs. These neighbourhoods face problems of housing eviction, misuse of public spaces, difficulties maintaining the buildings and illegal occupations of dwellings. The organisation distinguishes two type of neighbourhoods: (i) recently constructed areas, or regenerated neighbourhoods, which have received a high percentage of new populations, and (ii) historical neighbourhoods which were strongly affected by the crisis and are physically deteriorated. Table 8.1 lists the neighbourhoods where the service is currently active.

DISTRICTS	NEIGHBOURHOODS
Carabanchel	Comillas
	San Isidro
	Alto San Isidro
Centro	Lavapiés
	Embajadores
Ciudad Lineal	Quintana
Fuencarral - El Pardo	Poblado A y B
Latina	Lucero
Puente de Vallecas	Triángulo del Agua
Tetuan	Almenara
	Ventilla
	Bellas Vistas
Usera	San Fermin
	Almendrales
Vicalvaro	Veldebernardo
Villa de Vallecas	PAU de Vallecas
Villaverde	Los Rosales
	San Cristobal de los Angeles
	Los Angeles
	San Andres

TABLE 8.1 Neighbourhoods of Madrid where the service is currently active. Source: FRAVM (2014b)

Within recently constructed areas, cases such as PAU de Vallecas or Valdebernardo are examples of neighbourhoods that have a high percentage of relocated population, including families of different nationalities and ethnicities. The main problems in these residential areas are the misuse of public spaces, illegal occupations of buildings and coexistence conflicts due to different cultural backgrounds. In historical neighbourhoods, the neighbourhood of Lavapiés, and specifically the Tirso de Molina square, are examples of devaluated public space in the heart of the city.

### § 8.1.2.2 Organisation characteristics

#### Descriptive variables

*Servicios de Dinamización Vecinal* is a programme coordinated by the Regional Federation of Neighbourhood Associations of Madrid (FRAVM) and implemented

in the city of Madrid. SDV was born in 2004 at a request from the Neighbourhood Associations, given the high level of conflict within their neighbourhoods. The SDV operates in alliance with the Neighbourhood Associations who request the service.

As previously noted, the FRAVM is the umbrella that organises the Neighbourhood Associations at the regional level. The federation is a civil society organisation, apolitical and non-profit, which is partially funded by membership of the neighbourhood associations, along with the Community of Madrid and the Municipality of Madrid (see Figure 8.1).

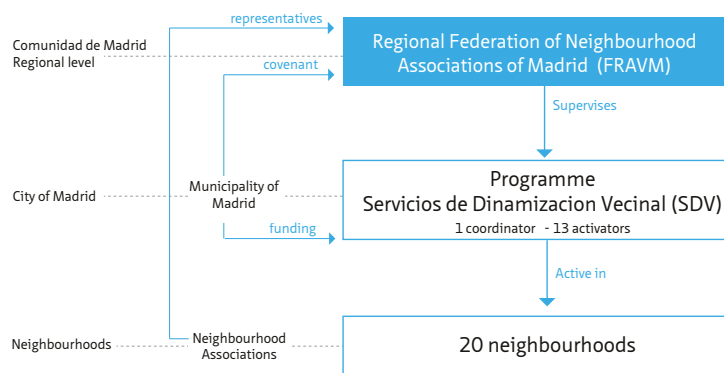


FIGURE 8.1 Organisational structure SDV. Source: author's elaboration based on interviews

At the time of the fieldwork, the programme was active in 20 neighbourhoods in Madrid. Funding is provided by the Municipality of Madrid, via an annual covenant. Every year the FRAVM and the municipality evaluate the performance of the programme and renew it for another year. The programme has been continually renewed over the last 10 years, however the annual extension of the covenant and related funding has affected the capacity to plan long-term actions. The general coordinator pointed out that they had a covenant for four years for 2008-2011, which worked better in its long-term organisation. After the economic crisis, the budget was adjusted, reducing the number of professionals and their activities. In 2016, the service had a budget of 508,000 euros, which was spent on contracts for staff and the acquisition of administrative supplies.

The FRAVM has a small paid permanent staff and a large voluntary staff that supports them at the local level. The professionals that work on the SDV are part of

the permanent staff, comprising one general coordinator, thirteen activators in the neighbourhoods and one administrative assistant. The general coordinator leads the communication between the service, the municipality, the Neighbourhood Associations and the Federation. The coordinator supervises the work of the activators, making monthly reports for the municipality and selects 'good practises' from ongoing projects for further dissemination. The coordinator also holds bimonthly meetings with a representative from the municipality and the representatives of the Neighbourhood Associations. In these meetings they discuss the design, follow-up and evaluation of the ongoing projects. The activators are professionals with expertise in social organisations or community management. They work at the neighbourhood level in partnership with the existing local neighbourhood association, analysing the neighbourhood's conditions and designing and conducting activities according to this diagnosis. The work of activator involves improving awareness among the population about good coexistence and good relationships within the neighbourhoods, promoting community participation, coordinating different stakeholders and services in the neighbourhoods and bringing the needs of the community to the attention of specific public institutions or social organisations.

### Motivator variables

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The neighbourhoods where the services are implemented were originally vulnerable areas that experienced an influx of immigrants, and of population relocated from slums during the 1990s. As a result, these neighbourhoods have a high mix of groups with different cultural and socioeconomic backgrounds which has triggered conflict among their inhabitants. The Neighbourhood Associations therefore claimed a need for professionals to deal with these conflicts. Their initial goal was to have more tools to promote good coexistence between the inhabitants and a better inclusion of minorities.

*The project was requested by the neighbourhood associations. These associations have worked for more than 40 years. They gather all the needs in their neighbourhoods. In fact, most of the neighbourhoods that nowadays exists on the periphery of Madrid emerged because of these associations (General Coordinator, SDV, November 2016).*

According to the general coordinator, the main goal of the organisation has been to prevent conflicts in the neighbourhoods and to contribute to a harmonious coexistence. From this general goal, three specific goals were derived, representing three areas of action (FRAVM, 2014a, 2014b):

- Promotion of peaceful coexistence and community participation, giving priority to the incorporation of communities in neighbourhood activities, especially minorities.



- Conflict mediation and management, providing tools for the community to deal with the conflict in their neighbourhoods.
- Information and advice, serving as a platform to connect the community with specific organisations, institutions and resources according to their needs.

The FRAVM is a community-driven organisation. They represent the community interests and the focus of the programme is on their direct demands. The service is therefore perceived by the community as closer to the neighbourhood association than the municipality.

*They (the community) see us as part of the Neighbourhood Association. At the beginning they identified us with the local government, a service that the municipality implemented in the neighbourhoods, but as we perform our work, the people noticed that we do not have business hours between eight to three, like the municipality or centres for social services, we open at hours when the neighbours are in the neighbourhood, we work until 9 pm, when people who work can come to visit us, we participate in the life of the (neighbourhood) association too, but we leave the political part to the neighbourhood association, we remain neutral (General Coordinator, SDV, November 2016).*

Activators are the responsible for the implementation of the programme, they are external professionals hired by the federation, that are neither part of the neighbourhood association nor the community. As intermediaries, they remain neutral about the decisions taken by the community and the association. The FRANM is the organisation that focuses on political social claims, requesting, pressing and negotiating with public institutions on behalf of the community (Coordinator of Urban Issues, FRAVM, November 2016).

### § 8.1.2.3 Condominium management dimensions

Considering the scope of the project and its focus on both the public space and the common areas in residential buildings, the social intervention in condominiums in Valdebernardo has been used to analyse the activities and evaluate the results. The neighbourhood was built in 1998 and has a large number of people relocated from slums, some of Romany ethnicity or Moroccan origin. The intervention is focused on public housing buildings owned by IVIMA (now called the Agency of Social Housing of Madrid), which experienced serious problems of administration, maintenance, internal conflicts between their inhabitants and conflict with other neighbours.

Some of the residents, especially those relocated from informal settlements, are unemployed and have only basic education levels. Even though the residents are tenants and the public organisation is in charge of the maintenance, they signed a contract to request an internal organisational structure, with an administrative committee and regular meetings with the community.

The main technical problems are related to overdue maintenance and the presence of broken elements in the buildings, such as windows and doors that require urgent repairs. One of the main organisational problems is the lack of internal organisation and leadership, and the high percentage of tenants who do not pay their rent.

The main sociocultural concerns are related to the misuse of common domain areas, especially the interior courtyard (e.g. parties and noise during night, the use of the green areas as a parking area for motorcycles). Other problems identified are episodes of violence and conflict between two ethnic groups, and the existence of relocated families who are not used to living in residential buildings. Problems regarding action capacity are associated with the low initiative of the community and ineffective communication channels between the tenants and the social housing agency.



FIGURE 8.2 Valdebernardo. Source: author's picture

INITIAL SITUATION	INDICATORS	DESCRIPTION
Context conditions	Institutionalisation	– Neighbourhood Associations are organised at the regional level in the FRAM (Federation of Neighbourhood Associations), with support from the local and regional government.
	Territorial specifics	– Neighbourhoods with special needs: (i) recently constructed areas or regenerated neighbourhoods, which have received a high percentage of new population; and (ii) historical neighbourhoods, which are devaluated and were strongly affected by the crisis – Active Neighbourhood Associations who requested the service
Organisation characteristics	<b>Descriptive variables</b>	
	Legal structure	Federation, civil society organisation
	Profit objective	Non-profit
	Funding income	Municipality and Neighbourhood Associations
	Organisational structure	Federation of local neighbourhood associations at the regional level The Service (SDV) required 1 general coordinator and 13 activators.
	<b>Motivator variables</b>	
	Goals	General goals: to prevent conflicts in the neighbourhoods and to contribute to a harmonious coexistence. Specific goals: – Promote peaceful coexistence and community participation – Mediate in conflict resolution, providing tools for the community to deal with the conflict in their neighbourhoods. – Provide information and advice
Mission & drivers	Community-driven	
Condominium management dimensions Valdebernardo	<b>Technical dimension</b>	
	Physical conditions	Presence of broken elements in the building (doors, windows)
	Maintenance plan	Overdue maintenance
	<b>Organisational dimension</b>	
	Norms & rules	-
	Human & financial resources	High percentage of tenants that don't pay rent
	Organisational structure	Lack of internal organisation
	<b>Sociocultural dimension</b>	
	Culture of maintenance	Misuse of common domain areas, especially the interior courtyard
	Action capacity	Low capacity to take the initiative, no communication channels between the tenants and the owners.

TABLE 8.2 Analytical framework. Initial situation

## § 8.1.3 Intermediation

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### § 8.1.3.1 Organisation role

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The SDV has three strategic areas of action: (i) promotion of peaceful coexistence and community participation, (ii) conflict mediation and management, and (iii) information and advice. These areas are defined between the coordinator of the programme, the municipality and the federation, to establish a common ground for local interventions. The coordinators define the particular strategies, projects and activities with the activators in each neighbourhood, according to local needs. The flexibility of this system, the general strategic lines and specific local actions, is perceived as a strength by the professionals of the service, because it allows them to provide a customised service. The professional from the federation who was interviewed remarked that the work with communities is based on the professional's initiatives, and that they need flexibility and wide margins for operation to develop a project. After diagnosis in the neighbourhood, specific projects are created for the strategic lines.

The organisation has the role of catalyst and partner. The professionals noted that they are not implementers. They provide tools and connect the community with different organisations and resources, but they do not intervene directly in the built environment. As catalysts, they focus on improving capacity building in the community, promoting participation in the neighbourhood activities and providing tools for conflict management. The core of the service and the ultimate goal is to activate the community, which involves active, independent and self-organising neighbourhoods. The target group for these actions is the community in general, but also the Neighbourhood Association. According to the general coordinator, they seek to strengthen the AA.VV as well, because 'if the participation of the community in the Neighbourhood Association increases, it becomes stronger and therefore, there is less need for the service, because the association already has the tools'.

In this catalyst role, one of the strategies is to make a social diagnosis of the neighbourhood (evaluation of social structures and social capital) including the input of the community, as a first action. The diagnosis is focused on the requirements of the Neighbourhood Association and the programme, such as specific conflicts, lack of community participation or educational gaps, and is used to define the projects. Another strategy is to focus their work on the coordination of activities and the facilitation of resources for the community to develop their own projects.

One requirement for the activities is that the community also participates in the organisation. They support the community in the organisation and enable access to specific resources, but the community has to be part of the process. This support can be involve facilitating the logistics to develop activities in the neighbourhood (e.g. municipal permission, get technical equipment), or providing technical advice (e.g. to organise administrative meetings in the condominiums). Other strategies are the use of a method of community mediation to solve conflicts, focusing on the sociocultural aspects of the problem and the promotion of informal spaces of community participation such as breakfasts, cultural festivals, sports-related activities and community gardening.

Most of the catalyst strategies are carried out through partnerships. They make strategic alliances with other community-led organisations, public institutions, private and third sector organisations active in the neighbourhood. According to the coordinator and the activators, the goal is to increase their human and financial resources, as well as being more efficient in using existing available resources. One of their strategies is to work in networks establishing working groups. One of the activators pointed out that 'the base of our work is not the individual, we try to work in coordination with the existing social structures and then, with social organisations, municipalities and institutions ... you have to tackle the lack of participation or the conflicts with an associative work' (Activator, SDV, November 2016). The working groups are made up of the different institutions and organisations in the neighbourhoods, such as the municipality, governmental social services, NGOs, civil society organisations, and community representatives. They meet periodically and develop different type of projects led by one of the organisations. Another strategy related to the partner role is to establish alliances with the Neighbourhood Association of the area. In addition to the collaboration, the association provides the working space for the activator, sharing its office. According to the coordinator, working with and in the Neighbourhood Association has contributed to becoming more approachable for the community, and being 'next to the street', in the heart of the neighbourhood.

### § 8.1.3.2 Process

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The social intervention in Condominiums 12 and 14 in *Valdebernardo* began in 2005 with the consolidation of the working group. The service was requested by the Neighbourhood Association due to a violent incident between Moroccan and Romany groups in one of the buildings. Once in the neighbourhood, the service took the initiative of creating a working group to deal with these conflicts. After 11 years, the working group has decided to close the projects and move to another area of intervention. Following the analytical framework, the activities developed by this group

are categorised in three main phases: preparation, operation and anchoring, and associated with the management dimensions (see Figure 8.3)

### Preparation phase

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The first actions are to position the service in the area, make a diagnosis of the neighbourhood, and contact the main social, private and governmental organisations. The diagnosis identified the need for mediation and intermediation, but also the lack of leisure activities for young groups, the need for basic social support, job insertion, educational support for children and the integration of minorities. After the identification of social organisations, the next activity is the consolidation of a working group to intervene. The purpose of this group was to unify information and to define specific intervention guidelines. The team was comprised of 16 professionals from the social services and the Cultural Mediation Services of the municipality, the activator of SDV, representatives of IRIS (the government group focused on relocation) and the non-profit organisation working on education. Once the group was consolidated, a working plan was prepared. The plan considered three main goals: improving coexistence in the buildings, encouraging community participation and empowerment, and mediating conflict.

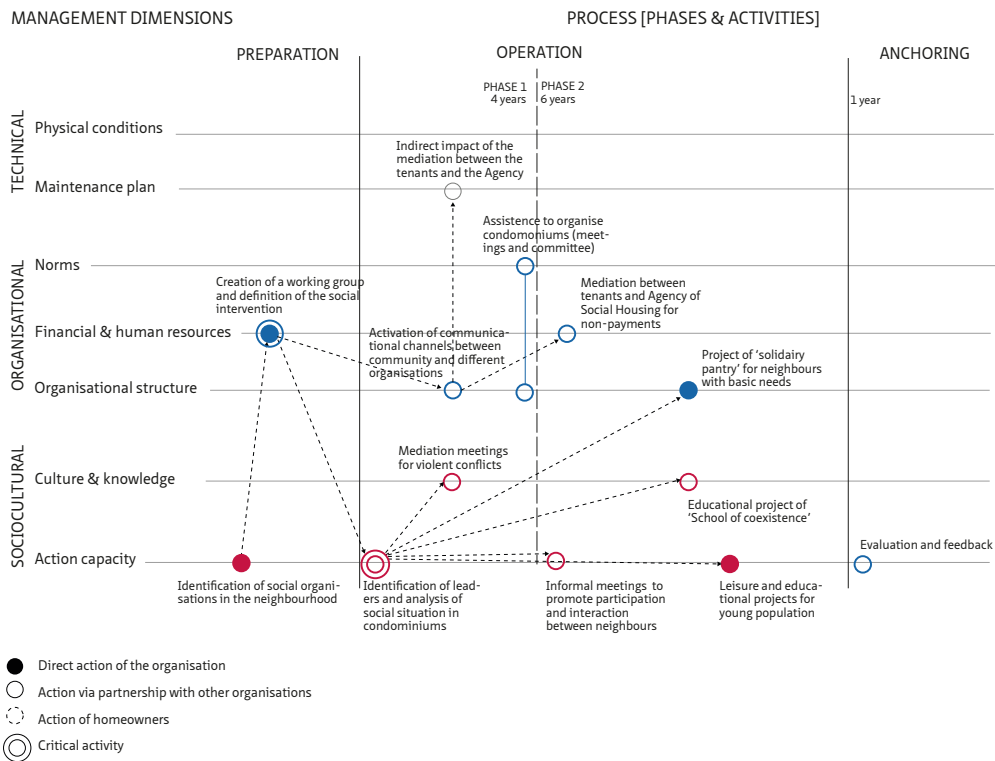
### Operation phase

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The intervention had two phases. The first, 2005-2009, was focused on community mediation in which the conflict was the centre of the intervention. The goals were to: (i) help communities to encourage their self-organisation and the success of condominium meetings, (ii) provide them with the tools and knowledge to solve their conflicts, (iii) encourage them to be involved in their problems, and (iv) intermediate between the condominiums and the public institutions, as well the community-led organisations (FRAVM, AA.VV). The main activities in this phase were the analysis of the social situation in the two buildings (visits to the condominiums to get more information about the problems and the conflicts), meetings between the two leaders of the groups in conflict to discuss solutions, training sessions for the professionals in techniques of mediation, and the activation of communication channels between the community and the different organisations.

Once the conflicts were mitigated, the second phase focused on the prevention of conflicts, through educational and participatory methods. The goals were to: (i) promote informal meetings and leisure activities among the community, (ii) promote a culture of social responsibility, active participation and mediation in conflict resolution, (iii) organise informative sessions, and (iv) continue with the mediation (on demand) and the intermediation. The main activities during this phase were the promotion of

informal meetings in the condominiums and the neighbourhood, such as intercultural breakfasts during weekends and the 'day of good coexistence' in the buildings. They also provided support and assistance to organise assemblies in condominiums, as well as mediation between tenants and the housing agency to solve specific problems (overdue payments, maintenance or legal requirements). Specific projects were developed to increase community participation, such as the 'School of Coexistence', an educational initiative to provide tools and knowledge about coexistence, social skills, and citizen participation among other things, or the 'Solidarity Pantry', created after the crisis to support neighbours with basic needs.



**FIGURE 8.3** Process of intervention in Valdebernardo. Activities organised according to management dimensions and phases. Source: author's elaboration.

## Anchoring phase

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A third phase 2015-2016 was included in the project to evaluate the results and reformulate the intervention. At the time of the fieldwork, there were no plans to leave the neighbourhood, although a new intervention in another condominium was being planned. One of the main activities during this phase was conducting a survey to evaluate the results in Building 14 and to assess current needs. The results were communicated to the community in an open meeting. The idea was to share their own perceptions, the achievements as well as the pending tasks, and also to tear down prejudices about the general perceptions of the community.

### § 8.1.3.3 Barriers and Enablers

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The organisation professionals (from different projects) were asked about the main barriers and enablers encountered during the process. They considered barriers and enablers related to the organisation and the programme itself, and to the context and the circumstances under which they work.

Barriers related to the characteristics of the target group include the racism and prejudice among the population. The design of the new neighbourhoods as a built environment was also noted as barrier. In the case of PAU de Vallecas, the activator noted that the urban layout does not contribute to a liveable neighbourhood, lacking quality public spaces and having limited space for the offices of the neighbourhood associations. One of the barriers related to context was communication with the municipality. In some administrative periods the municipality has hindered the work of the service, especially in terms of bureaucracy and a lack of willingness to negotiate with the federation. Another barrier was the management of public residential buildings. In the cases of PAU de Vallecas and Valdebernardo, the public organisations in charge of the management of the blocks neglected the maintenance of the buildings and have not established permanent communication channels with the tenants. The limited financial resources of the organisations have been noted as a barrier that has created greater workload for the existing professionals, and a need to invest more time identifying complementary resources in the neighbourhood.

The main enablers noted were the support of current local government, which has facilitated work in the public spaces, supporting them in the access to resources, services and professionals; and the presence of a young population which is more receptive towards innovative activities. The advocacy of the professionals was noted as an enabler. They adapt their working hours to the community's availability and participate in activities at the weekends. The joint work with the Neighbourhood



Associations was also identified as an important facilitator of the relationship between the programme and the community. Coordination with other organisations in the neighbourhood and the freedom and flexibility to define projects according to the local requirements were also perceived as enablers.

	INDICATORS	DESCRIPTION	
INTERMEDIATION Roles & strategies	Implementer strategies	(-)	
	Catalyst strategies	<ul style="list-style-type: none"> <li>- Social diagnosis in the neighbourhood as first action</li> <li>- Focus on coordination of activities and facilitation of resources</li> <li>- Methodology of community mediation to solve conflicts, including the different parties involved in the conflict.</li> <li>- Promote informal spaces of community participation</li> </ul>	
	Partner		
INTERMEDIATION Process	<b>Phases</b>	<b>Activities</b>	<b>Management dimensions</b>
	Preparation phase	- Identification of social organisations in the neighbourhoods.	Sociocultural – action capacity
	Operation phase	- Analysis of the social situation in the two buildings.	Sociocultural – action capacity
		- Meetings between the two leaders of the groups in conflict to discuss solutions.	Sociocultural – action capacity
		- Activation of communication channels between the community and the different organisations.	Organisational – organisational structures
		- Informal meetings in the condominiums and the neighbourhood to promote community cohesion	Sociocultural – action capacity
		- Specific thematic projects. Project of 'School of Coexistence'	Sociocultural – action capacity
		- Support and assistance to organise assemblies in the condominiums.	Organisational – norms
		- Mediation between the tenants and the housing agency to solve specific problems.	Sociocultural – action capacity
	Anchoring phase	- Survey to evaluate results	Sociocultural – action capacity
- Communication of the results of the survey to the community in an open meeting.		Sociocultural – action capacity	

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	INDICATORS	DESCRIPTION
INTERMEDIATION Barriers & enablers	<b>Barriers</b>	
	Organisation characteristics	- The limited financial resources have affected the number of professionals and the budget for the activities.
	Context conditions	- Racism and prejudice among the population. - Conditions of the built environment and poor design of public spaces in new neighbourhoods (PAU de Vallecas) - Communication problems with the municipality and bureaucracy - Poor management of public buildings
	<b>Enablers</b>	
	Organisation characteristics	- Alliance with the neighbourhood associations - Freedom and flexibility to define projects according to the local requirements - Coordination with other organisations in the neighbourhood
	Context conditions	- Support of current local government - Young population is more receptive to innovative activities

TABLE 8.3 Analytical framework. Intermediation

## § 8.1.4 Results

### § 8.1.4.1 Organisation performance

#### Internal assessment – Success parameters

The organisation professionals were asked about the main success parameters used to evaluate their work in the neighbourhood, however the service does not have standard indicators to assess performance. Professionals agreed that it is difficult to create indicators, because the results depend on the goals of each project, which are different in each neighbourhood. The general coordinator noted that 'since the programme is changed and adapted according to each context, the indicators have not been clear from the beginning'. She added that the main indicator for the organisation would be the improvement of the social relations among residents in the condominium, which is very hard to evaluate.

Both activators and coordinators noted the increase of community participation as a success parameter in terms of activities in the neighbourhood and condominiums,

but also in the neighbourhood associations. This may include when new people attend condominium meetings or when more people use the public spaces. The activator for Valdebernardo noted that an important indicator for participation is knowledge. They also noted the importance of having qualitative and quantitative parameters. In this case, a survey was applied after the programme had been active in the neighbourhood for ten years. The survey helped them gain a more positive perception of their results in the neighbourhood.

*There are people who ten years ago did not know what a neighbourhood association was or how to organise the condominiums, or the role of the representatives, and the fact that (now) they are aware of this information is a success indicator (Activator Valdebernardo SDV, interview, November 2016).*

Another success parameter is the change in resident behaviour in relation to the built environment. The activators of Lavapiés pointed out that the problems related to the use of the public space have decreased, the square is better maintained and the neighbours' perceptions of this area are more positive. Similarly, the activator for the condominiums in Valdebernardo indicated that the use of the common areas has improved; they are cleaner and there is less noise. Relationships between neighbours have improved, because violent fights have stopped and the people have better tools to deal with the conflicts.

### External assessment – user perception

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Four neighbours, members of two neighbourhood associations (PAU de Vallecas and Valdebernardo), were asked about the performance of the programme. Even though the organisations have their own goals, they have common areas of action where they join efforts. In general, there is a positive perception of both the programme and the activators.

*We are very happy with the service and with the two activators that we have had. We do this work on a voluntary basis in our spare time. Some problems occur when we are not in the neighbourhood and we cannot face them directly. The presence of Marta (the activator) here has made things easier. (Neighbour 3, interview, November 2016)*

The activators are seen as key actors and enablers in the neighbourhoods, especially as professionals with technical capacities and skills to support the associations in their work with the community and in the development of their organisation. The neighbourhood associations are aware of the added value of an external professional, especially in the area of conflict resolution.

*'I'm not a mediator and I don't know how to do it. They [activators] seem to be born mediators. This is something that you have to know and it requires work and study. I can try to talk to my neighbour, but I need more information'. (Neighbour 4, interview, November 2016)*

*'The activators are technicians and they know how to work' (Neighbour 3, interview, November 2016)*

*'We (the neighbours association) did not have much knowledge about how to steer this type of organisation. They [activators] know a lot of these things. He was a pillar in preventing the failure of this organisation' (Neighbour 1, interview, November 2016)*

The neighbours also noted the importance of the service in improving communication channels between the association and the neighbours, as well as promoting the participation of the community in activities.

*'It has been very hard and it still is, to get people to participate in the activities (...) I think that the service has been important in this area, because it has presence and it can move around the neighbourhood at times when there are more people'. (Neighbour 3, interview, November 2016)*

*'The service is a way to increase communication, especially with the difficulties of big neighbourhoods like this one'. (Neighbour 4, interview, November 2016)*

The SDV is materialised through the activator, who is the main face of the service, putting their personal imprint on the activities. The activators are valorised by their technical but also social skills, as they are seen as someone neutral, approachable and intermediary. One of the neighbours noted that *'If there is an activator in the street who knows you and who acts as intermediary, you always have someone to ask for help before a conflict gets bigger, they integrate the neighbours and support them'*. (Neighbour 2, interview, November 2016).

The interviewees noted a general improvement in coexistence in the neighbourhood, and also an increase in community participation and awareness about the work of the neighbourhood association, as well as the generation of a network among the neighbours. They reported specific actions of the service that generated positive results, highlighting their role as intermediaries informing, connecting and interceding in conflicts. *'The people have not felt alone, they know that they can call any time and there will be someone that can answer their questions'*. (Neighbour 3, interview, November 2016)

Some of the barriers identified were the dependence for financial resources on municipality decisions, and the uncertainty associated with this. It was also noted that the budget is limited, affecting human resources. The neighbours added that it would be advantageous to increase the number of activators to cover more neighbourhoods, and to extend their permanence in the neighbourhoods. Even though the service has been active for 10 years in both neighbourhoods, the interviewees said that they were not ready to dispense with it yet. Ideally, the role of the activator would be a permanent position in the neighbourhood, supporting the associations, rather than a specific project within a timeframe. This shows that the associations are satisfied with the service and appreciate its role in the neighbourhood, but also reflects the lack of withdrawal strategies by the organisation and a dependence on the service.

*The SDV not only solves conflicts, but also they try to activate the neighbourhood, to create an identity, networks, to make the people more active, but to have this working in an optimal way, we need more time. If the activator leaves us now, we couldn't manage this. It is essential that the service exists. We [the associations] cannot do this work, and I don't want that this work done by the municipality (...) ideally, it would be good to have the service indefinitely until the community feel able go on. (Neighbour 3, interview, November 2016)*

*The service could stay until there is something else that replaces it or until it evolves. Maybe it has to evolve to another type of service. (Neighbour 4, interview, November 2016)*

On balance, the interviews revealed a positive perception of the service and the activators in the neighbourhoods. The members of the neighbourhood associations saw the activators as essential professionals who were trained to improve community participation, solve conflicts in the neighbourhoods and strength their own organisation. In both cases, the service has become familiar to the residents. They recognised improvements and positive results during this time, and also pending challenges, especially regarding more community participation.

### **Survey. Neighbourhood of Valdebernardo**

A survey was conducted in the neighbourhood of Valdebernardo after ten years of the programme on the initiative of the working group led by the activator. The aim was to evaluate the performance of the working group in social interventions in the condominiums and to define future actions. The survey was conducted in November 2016 and the results were shared with the community in an open assembly in June 2016. The questionnaire included one section about participation and another about coexistence, and it was answered by the residents of Condominium 14.

The main findings show that majority of residents (70%) had participated in activities or meetings organised in the condominiums, finding them useful (84%). The main reasons they were found useful were the opportunities provided to identify and solve problems, to better know the neighbours, to learn, to improve coexistence and to respect each other, and to talk about housing requirements. A minority considered participation useless, arguing that these activities were all about discussion and questions, lacking achievements. The neighbourhood association was the most recognised among the participants, in terms of awareness of the existence of social organisations in the area.

75% of the residents reported the existence of conflicts in their condominiums, however when they were asked to measure coexistence, most of the respondents (65%) considered it either regular, normal or good. According to the report, there is a negative perception of coexistence, which turns out to be more positive when people are asked to measure it. The report also highlighted that even though there are problems, fights and the violence are mentioned in the past tense. Current problems are related to overdue maintenance, noise, a lack of integration between ethics groups, and the presence of specific conflictive groups (drugs and illegal occupations). At the same time, 64% declared that they were willing to participate solve these conflicts. Finally, 56% of the participants felt that coexistence in the condominium has improved, noting that conflicts have diminished in intensity, there is less violence, they know each other better and have observed changes in people. People who reported that there had been no changes cited maintenance problems, a few families that bring drugs problems, and the presence of free riders that benefit from the work of few residents were noted. The report concluded that while some problems related to maintenance, illegal occupation and drugs persisted, relations in general had improved. There is less tension and violence, and relationships and respect have improved across the community.

#### § 8.1.4.2 Condominium management dimensions

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The intermediation results were measured by comparing the management dimensions in the initial and final situations, using the social intervention in condominiums in Valdebernardo. The programme does not intervene in the built environment, and therefore the problems of overdue maintenance and need for repairs are not directly addressed, nevertheless, the activator has interceded between the tenants and the municipality to improve building maintenance and perform the requested repairs.

The main organisational problems are solved. The condominiums that lacked organisation have representatives and administrative committees. The buildings have leaders and organisational structures at the condominium level, but also in

smaller units. The residents are more informed about the role of the administrative committee and their responsibilities, although the representatives and the quality of the representation and organisation have changed over the years. Tenants with financial constraints have organised payment facilities as the result of mediation with the municipality provided by the service.

Most of the sociocultural problems have been either solved or partially solved. Although internal conflicts associated with the misuse of common domain areas have diminished, residents still perceive conflicts in the condominiums, however the majority consider the living conditions to be improved and are willing to participate in solutions for the remaining problems. There is greater awareness about the use of shared areas. The activities carried out by the community with the support of the programme have promoted the participation of new people in the committee, as well the emergence of individual initiatives. The community is aware of the importance of being involved and participating in activities. No new episodes of violence have been registered. Educational and informative activities have contributed to the adaptation of the families and the two ethnic groups, although interaction between them is low. Despite the mediation of the activators, the illegal occupation of dwellings remains a problem, requiring a more active role from the housing agency that manages the buildings.

RESULTS	INDICATORS	DESCRIPTION
Organisation performance	Internal assessment – success parameters	<ul style="list-style-type: none"> <li>– There are no standard indicators to assess the organisation’s performance.</li> <li>– Difficulties creating the indicators because the results change according to each project.</li> <li>– Improvement of coexistence, but it is hard to evaluate</li> <li>– Increase of community participation as a success parameter in terms of activities in the neighbourhood and condominiums, but also in the neighbourhood associations</li> <li>– Change of behaviour by the residents in relation to the built environment.</li> </ul>
	External assessment – user perception	<ul style="list-style-type: none"> <li>– General positive perception of the programme and activators</li> <li>– Activators are seen as key enablers in the neighbourhood. Valorisation of their technical and social skills.</li> <li>– The programme has improved communication between neighbours and neighbourhood associations</li> <li>– Increased community participation is a pending challenge</li> <li>– Dependence of municipal funding and limited budget are seen as barriers</li> <li>– Residents are not ready to dispense with the service in their neighbourhoods</li> <li>– Coexistence in condominiums has improved, conflicts have diminished in intensity.</li> </ul>
Condominium management dimensions Social intervention in condominiums in valdebernardo	<b>Technical dimension</b>	
	Physical conditions	– The programme does not intervene directly in the built environment
	The maintenance plan	– The programme does not intervene directly in the built environment. but the activator has interceded between the tenants and the municipality to improve maintenance practices.
	<b>Organisational dimension</b>	
	Norms & rules	– Residents have more information about the existence of the administrative committee and their duties.
	Human & financial resources	– Tenants with financial constraints have access to payment facilities.
	Organisational structure	– Condominiums have representatives and administrative committees. The quality of representation has changed according to the characteristics of the committee members.
	<b>Sociocultural dimension</b>	
Culture of maintenance	<ul style="list-style-type: none"> <li>– The misuse of common property areas has decreased, but the perception of conflict persists.</li> <li>– More awareness about collective living</li> <li>– Educational and informative activities have contributed to the adaptation of families with different cultural backgrounds.</li> <li>– Illegal occupation of buildings continues despite the mediation of the activator.</li> </ul>	
Action capacity	<ul style="list-style-type: none"> <li>– There are no more violent episodes. Both groups respect each other, but they do not interact.</li> <li>– The activities promoted the participation of new people in the committee as well as the emergence of individual initiatives.</li> <li>– The community is aware of the importance of being involved and participating in activities.</li> </ul>	

TABLE 8.4 Analytical framework. Results



## § 8.1.5 Summary

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Servicios de Dinamización Vecinal is a programme carried out by the Federation of Neighbourhood Associations to solve coexistence problems and enhance community cohesion in vulnerable neighbourhoods in Madrid. The case was used to explore the role of territorial civil society organisations in bottom-up initiatives, and to address organisational and sociocultural problems at the condominium and neighbourhood level.

The model of neighbourhood associations grouped in the Federation (FRAVM) was effective in addressing local needs using a bottom-up approach. The organisation structure is efficient in transferring the specific local needs at the city and regional level, involving local and regional authorities in the discussion, and also in the funding. In this model the neighbourhood is the unit of the intervention which defines a physical area with its own local identity and history of social struggle. The existence of neighbourhood associations at local levels, and the federation at the regional level, is part of a culture of politically claiming social rights. The FRAVM advocates specific needs through the action of the programme and seeking the involvement of public institutions. By this logic, the community is the initiator of the programme but also the receptor of the service, meaning that an organised and active part of the community created a programme to activate the passive members of the same community. The interviews with members of the neighbourhood associations boards showed that they are prepared and informed citizens with wide experience in community leadership. They are proud of their achievements but also aware of their limitations and, in some cases, overwhelmed by the workload. The work of the activators is highly valorised by the residents, especially because of their professional support for the development of the neighbourhood and the associations.

The FRAVM adopts a catalyst role to carry out the programme, which is mostly developed through partnerships. The role of the catalyst works at two levels. At the community level, they seek to catalyse good practices regarding coexistence, strengthening community cohesion. At the neighbourhood level, they seek to strengthen their leadership and coordination capacity, transferring their abilities and skills to the board and the most active members. The partner role is a strategic way to deal with the scarcity of resources and complexities of the problems, increasing their impact on neighbourhoods while using existing resources. The working group in Valdebernardo is an example of how different third sector and public actors can work together to solve specific conflicts. The organisation seems to be effective in addressing the main social problems of conflict and self-organisation in the neighbourhoods.

Three main discussion topics emerged from the analysis of SDV. The first is the importance of having guidelines to focus the intervention while keeping time and content flexible to deal with specific local needs. SDV's approach was on-demand, with a flexible agenda in which the activators are at the service of the neighbourhood and the respective association. This approach allows them to diversify their activities and adapt the main guidelines to each neighbourhood, understanding that social processes are complex and have their own timeline. This approach is effective in addressing local needs, but the combination of flexibility with short-term financial planning makes it difficult to measure the duration of the intervention. The interventions do not have clear withdrawal strategies, but are extended annually until the activators or the community feel that the programme is no longer needed.

Related to the previous point, the second topic of discussion involves the relationship between the duration of the intervention and effectiveness. In *Valdebernardo* the programme has been running for ten years. In this period, the service has faced times of high and low peaks, affecting the motivation of the activators and the engagement of the community. This situation has not yet been a problem, but it might be a difficult for the permanent staff and the effectiveness of the organisation if the intervention is extended for further years without a clear long-term purpose. A final issue presented for discussion in this case is the level of institutionalisation of territorial third sector organisations such as neighbourhood associations. The FRAVM is a consolidated community-driven organisation with the aim of improving the quality of life in neighbourhoods. This institutionalisation is reflected not only in the organisational capacity to raise local demands, but also in the influence of the municipal and regional agenda.

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## § 8.2 Lesson-drawing

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Ten SDV practices are selected from which lessons can be drawn. They are assessed using the matrix presented in Chapter 5 with the following variables: description of the practice, conditions to develop the practice, focus and drawbacks. The assessment concludes with the formulation of lessons. Both practices and lessons are summarised in Table 8.5.

## Practice #1. Bottom-up approach to address specific local needs

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### Assessment:

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The leader and initiator of the programme to activate the passive members of the same community is an organised and active part of the community. This approach proved to be effective in addressing local needs. The structure of local neighbourhood associations grouped at a regional level is efficient in transferring to, and discussing the specific local needs at, the city and regional level, involving local and regional authorities in the discussion but also in the funding. The practice is focused on the sociocultural dimension, specifically in the action capacity, increasing the participation of the group in addressing their more urgent needs.

Conditions arise from the institutional context and the community. The context must have a culture of community participation in political decisions, but also formal institutions at the neighbourhood level that institutionalise the participation, providing official communication channels and organisational structures. The neighbourhood associations have to be recognised by local and central authorities. The community include prepared and informed citizens and leaders who participate in the local neighbourhood associations. The main drawback is dependence on the willingness of public institutions. The effectiveness of the communication channels and the financial support for the programme might change depending on the political interest and priorities of local and central authorities.

### Lesson:

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The transfer of local demands to authorities and the capacity of a self-organised community to take action, are more effective if these organisations are part of the institutional system and are recognised by local and central governments and communities. This implies the existence of formal organisational structures, effective communication channels and influence on the political agenda.

## Practice #2. Neighbourhood associations as strategic allies in the area

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### Assessment:

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The neighbourhood associations provide a space in their office for the activator. The support of the neighbourhood association has facilitated the insertion of activators in the area. The activator is more approachable for the community when they are at the centre of the neighbourhood. The work with the neighbourhood association

also contributes to identifying the activator as a professional who will support the community, rather than as part of the municipality or the government. The practice is focused on the relationship between the organisation and the community. The successful insertion of the activator in the neighbourhood contributes to trust in the programme and its professionals.

There are conditions for the institutional context, the organisation and the community. Neighbourhood associations or community-led organisations are necessary at the neighbourhood level. The TS organisation requires professionals from the social area (e.g., social workers) who are willing to cooperate with the existing neighbourhood association and adapt to its conditions. Active neighbourhood associations are also needed, along with a community that understands their role. The main drawback involves the closeness between the neighbourhood association and the programme when the community has a negative perception of the current neighbourhood association, because this perception can be extended to the activator and the programme as well, and thus hamper the intervention.

**Lesson:**

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The partnership with the existing neighbourhood association sharing workspace, can contribute to the better insertion of professionals in the neighbourhood, while enhancing the closeness with the community and at the same time, generating distance from public institutions. The approachability of the activator as regards the neighbourhood associations can help to increase the trust of the community in the programme, in the same way as they trust in their association.

**Practice #3. Flexible programme of general strategic lines and specific local projects to generate a service based on demand**

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**Assessment:**

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The programme has defined three strategic areas of action to establish a common ground for local interventions. The particular strategies, projects and activities are defined by the activator and the coordinator in each neighbourhood. The design of the intervention is led by the activators, with flexible content and duration of interventions. In this scheme, the activator is a professional who has knowledge and experience working in the neighbourhood, and is able to manage the process. The practice is focused on the sociocultural dimension, aimed at increasing the interest and involvement of the community in participating in the process, since the programme addresses specific local requirements.

Conditions for this practice come from the organisation. It requires professionals working at the neighbourhood level and involved in its dynamics. These professionals have expertise in project management and community development. The organisation must also trust the capacity of the activators to define and lead the intervention. One of the main drawbacks involves the time frame of the intervention, which is more difficult to define with flexible projects. An approach based on-demand can also make it difficult to control the quality and the content of the overall process, where there are parallel and unrelated projects.

**Lesson:**

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The definition of general areas of action and specific local projects facilitates the connection of the intervention to the actual demands of the community. The organisation requires active professionals in the localities, to achieve the local approach, with the experience to detect, define and manage a diverse portfolio while keeping the control over the intervention as a whole.

**Practice #4. Catalyst role at the neighbourhood level including the neighbourhood associations strengthening different organisational structures**

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**Assessment:**

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The role of catalyst works at two levels. At the neighbourhood level it focuses on bonding social capital, promoting participation in neighbourhood activities and providing tools to deal with conflicts, however given the importance of neighbourhood associations in the area, they also focus on strengthening the formal organisations, providing support and tools in order to create independent administrative committees and neighbourhood associations once the service is withdrawn from the neighbourhoods. The practice is associated with the organisational dimensions, and specifically with strengthening community-led organisations, giving tools to the leaders for community management. It is also related to the sociocultural dimension regarding the community's capacity for action, and its culture of maintenance and conflict resolution.

The conditions are related to the organisation and the community. Professionals with social skills and expertise in community management and building capacity are required. Active organisations and leaders are required at the community level. The main drawback is that the quality of the activation and the success of having capable and independent associations is very diverse, depending among other things, on the capacities of both the professionals and the community leaders.

**Lesson:**

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The catalyst role within the community, and the organisational structures that lead the communities, can promote better practices with regard to condominium management, but also increase the leadership and the capacity of the administrative committees and neighbourhood associations. These leaders are therefore more prepared to conduct new projects and support the community once the organisation withdraws.

**Practice #5. Facilitation of resources and knowledge for the community to develop their own activities**

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**Assessment:**

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The community is the implementer and main body responsible for the activities. The programme promotes the development of new activities in neighbourhoods and condominiums, supporting the community in the coordination of, and access to, resources. The support provided by the organisation in this area involves logistics (paperwork, municipal permissions, contacts), technical advice during condominium meetings, or assistance to apply for external grants, among others. The practice is related to the organisational dimension, and specifically to enabling access to resources in order to implement activities and promote leaderships. It also involves the sociocultural dimension and the capacity for action, encouraging the community to be implementers, transforming their own ideas into actions.

The requirements for this practice relate to the community and the organisations. It requires the existence of active community members willing to take action and lead the activities. It requires organisations to include professionals with expertise in community building capacity, offering permanent and customised guidance during the preparation and implementation of the activities. The success of the activities depends on the capacity of the community to carry them out. If the community is too passive, more time and the further support of the organisation is needed.

**Lesson:**

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The transference of responsibilities to the community to implement their own activities contributes to improving their engagement and independence. In order to succeed, this transference has to be done according to the capacities of the communities involved, requiring customised support from the organisation.

## Practice #6. Activators as social professionals at the service of the community

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### Assessment:

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The activators are professionals with expertise in community management. They are the visible face of the service and their main role is to support communities to find solutions for their main social and organisational problems. The activators develop low-profile work and are valued by the community because of their technical and social skills. They are also perceived as neutral, approachable and intermediary. The practice focuses on the sociocultural dimension and specifically the capacity for action. The presence of an approachable and reliable professional in the neighbourhood has a positive effect in convincing the community to take part in activities.

Requirements for the organisations were identified. First, professionals with social advocacy and a willingness to be involved in the neighbourhood dynamics are important. Second, an organisation must be at the service of the community, without needing public recognition or to appear as the main driver of the intervention. The main drawbacks are related to the workload of the activators and the balance between advocacy and personal involvement. If the situation is not balanced, their energy and their capacity to remain neutral can be affected.

### Lesson

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The existence of a visible and recognisable professional working at the neighbourhood level contributes to a close relationship with the community, generating a bond of trust which extends to the organisation. The main challenge for these professionals is to keep a balance between the neutrality required for their role and their involvement in neighbourhood activities.

## Practice #7. Work in network and working groups as strategies to deal with scarce financial resources and to solve complex social problems

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### Assessment:

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The first action of the service in the neighbourhood is to contact the existing social, private, third sector and governmental organisations in order to gain a comprehensive knowledge of the entities working in the area and to find potential partners and establish working groups to address specific problems. The aim is to increase human and financial resources, being strategic in using the existing social capital in the area. In addition to contributing to increasing the organisation's capacities, practice focuses on

the organisational dimension. It contributes by connecting social capital, connecting the community with additional human and financial resources.

Conditions were identified from the institutional context and the organisation. Whilst vulnerable contexts need to have active organisations open to partnerships, the organisation needs to be willing to collaborate with other organisations, sharing the credit for the work. The main drawbacks are related to the availability and willingness of organisations and institutions working in vulnerable areas, considering that the establishment of working groups is a long-term action that requires the alignment of different goals.

**Lesson:**

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Working in network as a strategy to deal with scarcity and complex problems contributes to developing a more efficient use of the existing local resources and information, especially if there are clear goals. Working in a network means identifying, connecting and collaborating (at different levels) with social organisations working in the neighbourhood willing to share information or to be partners. These organisations can be either public, private or in the third sector.

**Practice #8. Identification of leaders and diagnosis of the social situation as the starting point of the intervention**

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**Assessment:**

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The activators identify the natural leaders and make a social diagnosis of the condominium at the beginning of the intervention. This analysis involves conversations with the neighbours and questionnaires. The aim is to get more information about the problems and the conflicts described by the community, to evaluate the existing social capital and to identify other underlying problems that are not part of the community demands. The diagnosis contributes to filling information gaps and promoting more projects that strengthen other aspects of the community organisation. This practice focuses on the organisational dimension, identifying leaders who are later potential members of the administrative committees.

The main conditions relate to the organisation and the community. Professionals with social skills are required in order to blend into the community and contact the leaders. This also involves the existence of methodological tools to evaluate the social situation. Natural leaders in the community are required. One of the main drawbacks in the



identification of leaders is the existence of a community divided by cultural differences and violent conflicts that makes the emergence of representative leaders more difficult.

**Lesson:**

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The diagnosis of the social situation and the identification of natural leaders at the beginning of the intervention facilitates an understanding of the problems and their causes beforehand, and involves the leaders in the intervention from the beginning.

**Practice #9. Strategic area of conflict mediation and management**

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**Assessment:**

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The programme considers a strategic area of action for conflict mediation and management. Interventions in these areas are usually performed at the beginning of the operation phase in order to decrease tension in the community and create a peaceful environment for the rest of the intervention. After gathering information about the conflict, activators contact the parties involved to discuss solutions with them. Professionals who are mediators receive special training in the area. This practice is focused on the sociocultural dimension, aiming for better coexistence within the condominiums to increase cohesion and therefore the capacity for action.

The main conditions relate to the community, the organisation and the context. The organisations require trained professionals with experience in conflict mediation. The parties involved from the community have to be willing to find a solution. If the conflict goes beyond the organisation's capacities, there should be a clear path for them to move the conflict to public institutions. The main drawbacks are related to the type and magnitude of conflicts, which can be beyond the organisation's capacities. Inadequate management of the situation can jeopardise the continuity of the intervention and the relationship between the organisation and the community.

**Lesson:**

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The inclusion of conflict mediation and management activities can contribute to a better environment for the intervention, solving specific problems that affect the cohesion and therefore the action capacity of the whole community. Trained professionals and a clear course of action to manage complex situations are necessary for a successful result.

## Practice #10. Participative evaluation of the process to tear down prejudices

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### Assessment:

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The programme applied a survey to receive feedback from the community and to evaluate the intervention. The results were presented in an open assembly to show the community their own perceptions and discuss the results. Sharing the results contributed to tearing down prejudices and negative perceptions, especially in the social interventions where behavioural changes are more subtle and occur in the long-term. This practice is focused on the sociocultural dimension in order to increase the trust the community has in the organisation, through a transparent process of feedback.

Conditions are related to the organisation's capacity to carry out and analyse the survey, as well as its willingness to discuss the results with the community. The communities need to attend the meeting and participate in the feedback process. It is more difficult to evaluate the output of the surveys in long-term interventions.

### Lesson:

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The inclusion of an evaluation phase using quantitative and qualitative tools by combining surveys with participatory feedback contributes to better closure of the project, increasing community awareness about the results of the intervention and future steps.

#	PRACTICE	TOPIC	LESSONS
C1	Bottom-up approach to address specific local needs	General approach	The transfer of local demands to authorities and the capacity of a self-organised community to take action, are more effective if these organisations are part of the institutional system and are recognised by local and central governments and communities. This implies the existence of formal organisational structures, effective communication channels and influence on the political agenda.
C2	Neighbourhood associations as strategic allies in the area	General approach	The partnership with the existing neighbourhood association sharing workspace, can contribute to the better insertion of professionals in the neighbourhood, while enhancing the closeness with the community and at the same time, generating distance from public institutions. The approachability of the activator as regards the neighbourhood associations can help to increase the trust of the community in the programme, in the same way as they trust in their association.
C3	Flexible programme of general strategic lines and specific local projects to generate a service based on demand	General approach	The definition of general areas of action and specific local projects facilitates the connection of the intervention to the actual demands of the community. The organisation requires active professionals in the localities, to achieve the local approach, with the experience to detect, define and manage a diverse portfolio while keeping the control over the intervention as a whole.
C4	Catalyst role at the neighbourhood level including the neighbourhood associations strengthening different organisational structures	Role and strategies	The catalyst role within the community, and the organisational structures that lead the communities, can promote better practices with regard to condominium management, but also increase the leadership and the capacity of the administrative committees and neighbourhood associations. These leaders are therefore more prepared to conduct new projects and support the community once the organisation withdraws.
C5	Facilitation of resources and knowledge for the community to develop their own activities	Role and strategies	The transference of responsibilities to the community to implement their own activities contributes to improving their engagement and independence. In order to succeed, this transference has to be done according to the capacities of the communities involved, requiring customised support from the organisation.
C6	Activators as social professionals at the service of the community	Role and strategies	The existence of a visible and recognisable professional working at the neighbourhood level contributes to a close relationship with the community, generating a bond of trust which extends to the organisation. The main challenge for these professionals is to keep a balance between the neutrality required for their role and their involvement in neighbourhood activities.

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#	PRACTICE	TOPIC	LESSONS
C7	Work in network and working groups as strategies to deal with scarce financial resources and to solve complex social problems	Process and activities	Working in network as a strategy to deal with scarcity and complex problems contributes to developing a more efficient use of the existing local resources and information, especially if there are clear goals. Working in a network means identifying, connecting and collaborating (at different levels) with social organisations working in the neighbourhood willing to share information or to be partners. These organisations can be either public, private or in the third sector.
C8	Identification of leaders and diagnosis of the social situation as the starting point of the intervention	Process and activities	The diagnosis of the social situation and the identification of natural leaders at the beginning of the intervention facilitates an understanding of the problems and their causes beforehand, and involves the leaders in the intervention from the beginning.
C9	Strategic area of conflict mediation and management	Process and activities	The inclusion of conflict mediation and management activities can contribute to a better environment for the intervention, solving specific problems that affect the cohesion and therefore the action capacity of the whole community. Trained professionals and a clear course of action to manage complex situations are necessary for a successful result.
C10	Participative evaluation of the process to tear down prejudices	Results	<i>The inclusion of an evaluation phase using quantitative and qualitative tools by combining surveys with participatory feedback contributes to better closure of the project, increasing community awareness about the results of the intervention and future steps.</i>

TABLE 8.5 Summary of practices and lessons.

## § 8.3 Transferability

The lessons identified are evaluated by looking at political, technical, financial and sociocultural feasibility in Chile in relation to the institutional context, third sector organisations and condominiums (built environment and community). Table 8.6 shows the feasibility analysis per lesson. Minor, medium and major recommendations for practices adapted to the Chilean context were formulated after the evaluation, and listed in Table 8.7.

#	LESSON	FEASIBILITY ASSESSMENT			
		Political	Technical	Financial	Cultural
C1	Bottom-up approach to address specific local needs	<p>[INSTITUTIONAL CONTEXT]</p> <p>The structure of neighbourhood associations exists, but their influence in the public agenda, as well as the transfer of local demands outside the area, is still weak (Ch.2)</p> <p>[THIRD SECTOR]</p> <p>Not relevant</p> <p>[CONDOMINIUM]</p> <p>Not relevant</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>Not relevant</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>No problems detected</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>No problems detected</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>No problems detected</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>Neighbourhood associations are perceived as local organisations with local influence (Ch.2)</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>Condominium representatives are not necessarily connected or coordinated with neighbourhood associations (Ch.3)</p>
C2	Neighbourhood associations as strategic allies to settle in the area	<p>[INSTITUTIONAL CONTEXT]</p> <p>No problems detected</p> <p>[THIRD SECTOR]</p> <p>Not relevant</p> <p>[CONDOMINIUM]</p> <p>Not necessary</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>Not relevant</p> <p>[THIRD SECTOR]</p> <p>No problems detected</p> <p>[CONDOMINIUM]</p> <p>No problems detected</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>No problems detected</p> <p>[THIRD SECTOR]</p> <p>Not all neighbourhood associations have permanent offices in their neighbourhoods or adequate conditions to receive an external professional (Ch.2)</p> <p>[CONDOMINIUM]</p> <p>No problems detected</p>	<p>[INSTITUTIONAL CONTEXT]</p> <p>No problems detected</p> <p>[THIRD SECTOR]</p> <p>Not all neighbourhood associations are perceived as equal partners in the area.</p> <p>[CONDOMINIUM]</p> <p>Not every condominium has a good relationship with their neighbourhood association or an active association in their area (Ch.3)</p>

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#	LESSON	FEASIBILITY ASSESSMENT			
		Political	Technical	Financial	Cultural
C3	Flexible programme of general strategic lines and specific local projects to generate a service based on demand	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Not relevant [CONDOMINIUM] Not relevant	[INSTITUTIONAL CONTEXT] Not relevant [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] Diverse social problems in vulnerable neighbourhoods make it difficult to prioritise projects (Ch.02) [THIRD SECTOR] Not all neighbourhood associations are organised to coordinate and demand specific services (Ch.3) [CONDOMINIUM] Not all neighbourhood associations are organised to coordinate and demand specific services (Ch.3)
C4	Catalyst role at the neighbourhood level including the neighbourhood associations to strengthen different organisational structures	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Not relevant [CONDOMINIUM] Not relevant	[INSTITUTIONAL CONTEXT] Not relevant [THIRD SECTOR] The capacity of the neighbourhood association varies from one neighbourhood to another (Ch.3) [CONDOMINIUM] Actions more effective in condominiums with moderate levels of deterioration (Ch.3, 6)	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] Most vulnerable neighbourhoods have deep social problems that diminish the emergence of leaderships [THIRD SECTOR] No problems detected [CONDOMINIUM] This lesson is applicable to condominium that have active organisational structures and have informed leaders (Ch.3, 6)

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#	LESSON	FEASIBILITY ASSESSMENT			
		Political	Technical	Financial	Cultural
C5	Facilitation of resources and knowledge for the community to develop their own activities	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Not relevant [CONDOMINIUM] Not relevant	[INSTITUTIONAL CONTEXT] Not relevant [THIRD SECTOR] No problems detected [CONDOMINIUM] Actions are more effective in condominiums with moderate levels of deterioration (Ch.3, 6)	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Projects developed by third sector organisations tend to be short-term actions due to scarce resources (Ch.2) [CONDOMINIUM] Limited financial capacity of owners to take the financial responsibility (Ch.2, 3)	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] No problems detected [CONDOMINIUM] This lesson is applicable to condominiums and neighbourhoods with active members (Ch.3, 6)
C6	Activators as social professionals at the service of the community	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Not relevant [CONDOMINIUM] Not relevant	[INSTITUTIONAL CONTEXT] Not relevant [THIRD SECTOR] In most vulnerable areas the existence of one activator might not be sufficient given the complexity of the social problems (Ch.2) [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Most common third sector organisations pursue a strong social agenda which has to be adapted to the requirements of the neighbourhoods (Ch.2) [CONDOMINIUM] Not all condominiums have a good relationships with their neighbourhood association or have an active association in their area (Ch.3)
C7	Work in network and working groups as strategies to deal with scarce financial resources and to solve complex social problems	[INSTITUTIONAL CONTEXT] Third sector organisations tend to compete for governmental funding opportunities (Ch.02) [THIRD SECTOR] Not relevant [CONDOMINIUM] Not relevant	[INSTITUTIONAL CONTEXT] Not relevant [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Projects developed by organisations tend to be short-term actions due to scarce resources (Ch.2) [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] Tendency to work separately rather than in cross-sector partnerships (Ch.2) [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected

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#	LESSON	FEASIBILITY ASSESSMENT			
		Political	Technical	Financial	Cultural
C8	Identification of leaders and diagnosis of the social situation as the starting point of the intervention	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Not relevant [CONDOMINIUM] Not relevant	[INSTITUTIONAL CONTEXT] Not relevant [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Scarce resources and project-based approach limit the time for extended diagnosis (Ch.02) [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected
C9	Strategic area of conflict mediation and management	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Not relevant [CONDOMINIUM] Not relevant	[INSTITUTIONAL CONTEXT] Not relevant [THIRD SECTOR] There are no organisations working in conflict management in the built environment (Ch.2, 5) Organisations do not usually have professional experts in conflict management. [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] In most vulnerable areas conflicts are also related to family violence, crime and drug micro trafficking. [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected
C10	Participative evaluation of the process to tear down prejudices	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Not relevant [CONDOMINIUM] Not relevant	[INSTITUTIONAL CONTEXT] Not relevant [THIRD SECTOR] Not all the organisations have professionals with expertise in qualitative and quantitative analysis. The monitoring and evaluation of results are not commonly part of the intervention (Ch.5, 6) [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] Scarce resources and project-based approach limit the time for evaluation (Ch.2) [CONDOMINIUM] No problems detected	[INSTITUTIONAL CONTEXT] No problems detected [THIRD SECTOR] No problems detected [CONDOMINIUM] No problems detected

TABLE 8.6 Feasibility assessment of lessons. Chapter references are included for further information.



The main restriction regarding public feasibility is related to the recognition and influence of neighbourhood associations on the public agenda. The influence of neighbourhood associations remains at the neighbourhood level, and it is difficult to transfer their demands beyond the municipality. Communal unions (unions comunales) are an organisational structure similar to FRAVM, groups of neighbourhood associations at the municipal level. Another restriction is related to the subsidiary system which encourages individual competition between third sector organisations rather than collaboration.

A restriction for neighbourhood associations is their ability to organise, demand and carry out a programme at the city level, especially in vulnerable areas. A technical limitation for other non-profit third sector organisations is that monitoring and evaluation phases are not common practices included in their interventions, nor areas related to conflict mediation and management. Another limitation is related to the technical condition of the condominiums and the use of catalyst strategies. Some condominiums require urgent improvements and therefore implementer roles are prioritised over catalyst interventions.

According to the analysis of financial feasibility, the main restriction is the unequal provisioning of neighbourhood associations, not all of which have permanent or adequate offices to offer space to external staff. Similarly, a scarcity of resources with which to carry out long-term interventions affects the capacity of non-profit organisations to include comprehensive diagnosis or evaluation phases in their interventions. This situation is especially applicable to organisations that rely on governmental subsidies with specific timelines and predetermined processes.

The analysis of sociocultural feasibility shows that one restriction is the relationship between condominiums and neighbourhood associations. The connection between condominium representatives and neighbourhood associations is not always clear and in some cases neither the condominium nor the neighbourhood organisation are active. At the local level, deeply embedded socioeconomic problems affect the capacity for leadership in the community and the capacity for action by the organisation in the prioritisation of urgent issues and scope of the intervention. Another restriction is the lack of formal cross-sector collaboration between organisations working in the same areas.

#	LESSONS	ADAPTED PRACTICES FOR THE CHILEAN CONTEXT
C1	Bottom-up approach to addressing specific local needs	<p><b>Minor</b></p> <ul style="list-style-type: none"> <li>– Strengthening neighbourhood associations as the main communication channels of local problems, including conflicts in social condominiums by using existing governmental programmes for neighbourhood associations.</li> </ul> <p><b>Medium</b></p> <ul style="list-style-type: none"> <li>– Strengthening of communication channels between neighbourhood associations, municipalities and central governments.</li> <li>– Increasing the influence of neighbourhood associations in the municipal agenda.</li> <li>– Increasing the influence of communal unions.</li> </ul> <p><b>Major</b></p> <ul style="list-style-type: none"> <li>– Including a new organisational scheme that unites representatives of neighbourhood associations at the municipal level.</li> <li>– Giving more rights to neighbourhood associations to coordinate programmes and hire professionals.</li> </ul>
C2	Neighbourhood associations as strategic allies to settle in the area	<p><b>Minor</b></p> <ul style="list-style-type: none"> <li>– Third sector organisations (foundations, social enterprises) can already establish partnerships with active neighbourhood associations validated by the community.</li> </ul> <p><b>Medium</b></p> <ul style="list-style-type: none"> <li>– Increasing municipal/governmental resources to ensure that neighbourhood associations have offices strategically located in the neighbourhoods.</li> </ul> <p><b>Major</b></p> <p>(-)</p>
C3	Flexible programme of general strategic lines and specific local projects to generate a service based on demand	<p><b>Minor</b></p> <ul style="list-style-type: none"> <li>– Existing organisations that work in the area of community development and have professionals with social expertise can adjust their interventions according to community needs and their expertise.</li> <li>– Shift to a service-oriented logic rather than predefined interventions identifying interventions at the condominium and neighbourhood levels.</li> </ul> <p><b>Medium</b></p> <p>(-)</p> <p><b>Major</b></p> <p>(-)</p>
C4	Catalyst role at the neighbourhood level including the neighbourhood associations to strength different organisational structures	<p><b>Minor</b></p> <ul style="list-style-type: none"> <li>– Use existing educational programmes for leadership to prepare and train administrative committees and neighbourhood associations.</li> </ul> <p><b>Medium</b></p> <ul style="list-style-type: none"> <li>– Incentives for third sector organisations to provide leadership formation at the neighbourhood and condominium level.</li> </ul> <p><b>Major</b></p> <p>(-)</p>

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#	LESSONS	ADAPTED PRACTICES FOR THE CHILEAN CONTEXT
C5	Facilitation of resources and knowledge to the community to develop their own activities	<b>Minor</b> – Give priority to the catalyst role as follow-up interventions in condominiums are already improved with the subsidy. – Emphasis on the catalyst role and activities that promote peaceful coexistence among the community.
		<b>Medium</b> (-)
		<b>Major</b> (-)
C6	Activators as social professionals at the service of the community	<b>Minor</b> – Existing third sector organisations working in vulnerable neighbourhoods can include representatives of the organisation based in the area. – Activators can contribute to improving coexistence in condominiums and neighbourhoods.
		<b>Medium</b> (-)
		<b>Major</b> (-)
C7	Work in network and working groups as strategies to deal with scarce financial resources and to solve complex social problems	<b>Minor</b> – Third sector organisations can formalise their current collaborations with municipalities, neighbourhood associations and communities (e.g. agreement that establishes responsibilities) – Organisations working in the same area can coordinate their activities and share information. – Formation of working groups or alliances to tackle problems that are beyond the organisation's scope (i.e. coexistence problems, drugs, maintenance fund)
		<b>Medium</b> – Governmental incentives to promote associativity and working groups under specific goals.
		<b>Major</b> (-)
C8	Identification of leaders and diagnosis of the social situation as starting point of the intervention	<b>Minor</b> – Organisations that do not rely on subsidy projects and have a long-term presence in the neighbourhood can include a comprehensive diagnosis
		<b>Medium</b> – Increase funding and the duration of governmental subsidies for the diagnosis phase
		<b>Major</b> (-)
C9	Strategic area of conflict mediation and management	<b>Minor</b> – Conflict mediation and management to solve conflicts over informal extensions and unappropriated use of common property areas. – Include workshops and activities to deal with conflict for the community.
		<b>Medium</b> – Municipal or governmental training for conflict resolution for third sector professionals as well as neighbourhood association and condominium leaders.
		<b>Major</b> (-)

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#	LESSONS	ADAPTED PRACTICES FOR THE CHILEAN CONTEXT
C10	Participative evaluation of the process to tear down prejudices	<p><b>Minor</b></p> <ul style="list-style-type: none"> <li>– Organisations that do not rely only on subsidy projects can include the evaluation in the anchoring phase</li> <li>– Analysis of results can be done by non-profit external parties (i.e. universities, research institutes)</li> </ul> <p><b>Medium</b></p> <ul style="list-style-type: none"> <li>– Increase the funding and the duration of governmental subsidies for the anchoring phase or include an anchoring phase carried out by the government</li> </ul> <p><b>Major</b></p> <p>(-)</p>

TABLE 8.7 Practices for the Chilean context according to minor, medium and major adaptations.

The feasibility analysis provided the input to formulate practices with different levels of adaptation. Minor adaptations are related to the use of current organisations and resources involving neighbourhood associations and existing non-profit third sector organisations already working in the area. Examples include the strengthening of leaderships and communication channels between condominiums, neighbourhood associations, communal unions and municipalities (lessons #1, #4); representatives of the organisation at the neighbourhood level (Lesson #6); formalising current collaborations between the third sector, municipalities, neighbourhood associations and communities (Lesson #7), and having different levels of cooperation, either information exchange or working groups, to tackle specific and complex problems (i.e., conflict, drugs, illegal occupations).

Other minor adaptations are related to the approach and emphasis of the intervention. Some examples are developing a service-oriented logic for condominium interventions (Lesson #8, Lesson #6), emphasising the catalyst role to increase the responsibility and independence of communities in carrying out their own projects (Lesson #5), and including conflict resolution and mediation as areas of intervention (Lesson #9).

Medium adaptations are related to modifications to current public programmes, including governmental incentives for cross-sector partnership and increasing financial resources and the influence of neighbourhood associations. Some examples are to promote the participation of neighbourhood associations in the municipal agenda (Lesson #1), ensure strategically located neighbourhood association offices (Lesson #2), increase the funding and duration of governmental subsidies for the preparation and anchoring phases (Lesson #8, #10), and include governmental incentives for associativity and working groups (Lesson #7).

There are similarities between the neighbourhood association systems and the professionals with expertise in community management already working in Chile, and so most of the lessons can be translated into practices that require minor adaptations. Only one major adaptation was identified regarding the creation of a new organisational scheme to provide formal spaces for the participation of neighbourhood associations at the municipal level (Lesson #1). The main differences between the two contexts are related to the institutionalisation of neighbourhood associations and their capacity to lead, create and coordinate a programme, however the experience of active neighbourhood associations coupled with the social expertise of the current third sector organisations (foundations, NGOs, and social enterprises) working in vulnerable areas, provide opportunities for the further development of bottom-up initiatives in the Chilean context.

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## § 8.4 Conclusion

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This chapter analysed the *Servicios de Dinamización Vecinal (SDV)* international case study. The chapter aimed to answer the following questions: *How does SDV address social problems in condominiums and neighbourhoods using a bottom-up approach? What specific strategies and activities are carried out for this purpose? What is the possible contribution of this practice to the challenges identified in Chapters 2 and 3, given the Chilean context?*

The analytical framework was used to describe and analyse the role, the process and the results. The main findings show the institutionalisation of neighbourhood associations as necessary community-led organisations at the neighbourhood level, as effective in addressing local demands and communicating them at the city and regional level. The organisation adopts a catalyst role to address neighbourhood demands, promoting good practices for coexistence and strengthening leaderships. The organisation adopts a partnership role to carry out these practices by working in a network that uses existing resources in the neighbourhood.

The main contributions to the Chilean context are associated with the potential of neighbourhood associations as managers of their own neighbourhoods, the role of activators as professionals working in alliance with neighbourhood associations, the development of a programme at the service of the community, and the inclusion of conflict resolution and management as a pillar of the intervention.



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# PART III Proposal



CHAPTER 1 INTRODUCTION

I  
CONCEPTUALISATION

Low-income homeownership | Condominium management  
CHAPTER 2 | CHAPTER 3

Third sector as intermediary  
CHAPTER 4

II  
ANALYSIS

Case study design and selection  
CHAPTER 5

Case study A Local | Case study B International | Case study C International  
CHAPTER 6 | CHAPTER 7 | CHAPTER 8

III  
PROPOSAL

Synthesis and strategies  
CHAPTER 9

Validation

CHAPTER 10 CONCLUSION



## 9 Strategies for condominium management: proposals for third sector organisations

*The previous chapters presented an empirical analysis of the case studies (Chapters 6, 7 and 8) which concluded with the formulation of lessons and transferability assessment for the Chilean context. The main findings from the case studies and the conceptualisation section (Chapters 2, 3, 4) are reflectively combined in this chapter. The aim is the definition of strategies for third sector organisations in the improvement of condominium management practices. The main question is: To what extent are the proposed strategies feasible and effective according to Chilean third sector stakeholders?.*

*Section 9.1 starts with a definition of a typology of management approaches by third sector organisations and a typology of initial situations which organise the strategies. This is followed by the formulation and description of seven sets of strategies, identifying strategies which aim to improve condominium management (intermediation) and strategies which aim to improve the conditions of the intermediation (institutionalisation). The typologies and the strategies are validated in Section 9.2 through group interviews and individual interviews with third sector organisations and municipalities respectively. Section 9.3 discusses and summarises the implications of the validation sessions for the strategies and the typologies presented.*

## § 9.1 Synthesis and proposal

The output of this chapter is a proposal for third sector intermediaries which considers an overview of strategies and measures, organised according to specific typologies that describe the initial situation and management approaches. The strategies are formulated from the case study analysis (Ch. 6, 7, 8) and are divided between those which are aimed at the intermediation (by improving management conditions) and those that are aimed at the institutionalisation of the third sector (by improving institutional and organisation conditions).

The strategies are organised by goals, but their application depends on two main variables related to the context and to the organisation (Figure 9.1). Firstly, the intermediation is contextual, which means that the strategies and measures are defined according to the specific condominium management problems (Ch.3) but also according to the characteristics of the local context and the municipal capacity in which the condominiums are embedded. The strategies are appropriate for specific types of initial situations that the organisation faces before the intermediation. Secondly, TS organisations intermediate according to their own capacities and drivers. This means that there are multiple ways to solve the same problem by using different roles (Ch.4) and scopes, and therefore the strategies fit within specific management approaches. The first proposal comprises the set of strategies associated with the typologies which was validated with third sector organisations and municipalities. The typologies and strategies are described in the following sections.

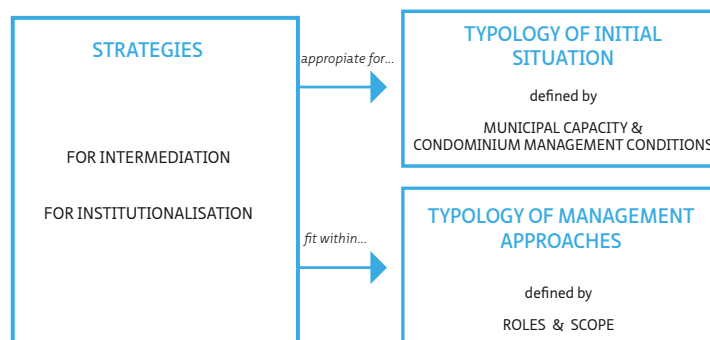


FIGURE 9.1 Strategies associated with the typology of initial situation and typology of management approaches.

## § 9.1.1 Typology of initial conditions

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The typology of initial situations describes the conditions of the context and the condominium before the intermediation to decide upon the type of intervention that the organisation will carry out. Following the analytical framework (Ch.4), these conditions are defined by the types of problems in the condominiums, but also by the context conditions. Two main variables are identified: condominium management conditions and municipal capacity.

The first variable, **condominium management condition**, is an overall evaluation of the physical, organisational and sociocultural characteristics of the condominium at the time of the intervention. Three types of condominiums are identified, critical, poor and regular. The categorisation is defined according to the management dimensions identified in Chapter 3. As the categorisation involves only condominiums that require improvements, there are common elements lacking across the different categories, such as the lack of a maintenance plan, the inability to generate a stable maintenance fund, distrust in institutions and leaders, the presence of informal extensions and common ground appropriations, and the internal conflicts associated with them. Table 9.1 shows the different categories of condominiums and the description according to management dimensions.

A condominium in critical condition has a high level of deterioration that might lead to unsafe living conditions. These condominiums do not have formal or informal organisational structures, or condominium regulations and are therefore not legalised, however they might have a few active leaders, in contrast with a passive community. There is little knowledge about co-ownership among the community and in most cases they are not aware of living in a co-property or its physical limits. Usually these condominiums have not experienced previous successful interventions or have not been part of the PMCS subsidy programme.

Condominiums in poor condition present important technical problems, requiring major improvements. Most of these condominiums are not legalised, and so they do not have regulations or formal organisational structures. Nevertheless, it is possible to identify informal organisational layers and active community leaders. The major proportion of the community tends to be passive regarding maintenance activities in contrast with a few active neighbours.

Condominiums in regular condition may have physical deterioration, but it is possible to implement maintenance practices after minor improvements. These condominiums might have already been subject to intervention by the Social Condominiums

programme, which means they are legalised as an organisation, with regulations and an administrative committee. This committee may be active or not, with different degrees of experience and knowledge about condominium administration. In some cases, misuse of the common domain areas is still one of the problems, usually due to informal extensions. The community's level of knowledge about co-ownership law and their duties regarding maintenance is unclear.

It is important to point out the importance of the process associated to the legalisation of condominiums in the CBR to overall management conditions. In Chile, most, if not all, of a condominium's legalisation is carried out under the subsidy programme, and therefore associated with an improvement project. When a condominium has been legalised, its main organisational elements are settled, the need for urgent improvements has been addressed, and it is more prepared to implement maintenance practices, independently of the level of activity in the organisational structure. Similarly, knowledge about condominium law and signs of maintenance awareness make an important difference. Two main groups will therefore be distinguished, those in critical-poor condition and those in regular condition, where the dividing line is that condominiums are legalised, have solved the need for urgent repairs and have a basic knowledge about condominium responsibilities.

CHILEAN SOCIAL CONDOMINIUMS	CONDOMINIUM MANAGEMENT CONDITIONS		
	Critical	Poor	Regular
Technical dimension	<ul style="list-style-type: none"> <li>- Need for urgent and major improvements (e.g. plagues, structural damage)</li> </ul>	<ul style="list-style-type: none"> <li>- Need for major improvements (e.g. roof, doors, common yard)</li> </ul>	<ul style="list-style-type: none"> <li>- Need for minor repairs (e.g. facade, windows, fences)</li> </ul>
Organisational dimension	<ul style="list-style-type: none"> <li>- Precarious extensions and appropriations</li> <li>- Lack of planned maintenance, only cleaning and individual activities</li> </ul>		<ul style="list-style-type: none"> <li>- Condominiums are legalised, meaning they have an administrative committee, an administrator (the condominium chairman), condominium regulations and a maintenance fee.</li> <li>- Low maintenance fee and reluctance to pay</li> <li>- Insufficient maintenance fund</li> <li>- High workload for committee members.</li> </ul>
	<ul style="list-style-type: none"> <li>- Condominiums are not legalised, meaning they lack administrative committees, administrators, regulations, maintenance fees and maintenance funds.</li> <li>- Informal agreements between neighbours.</li> </ul>	<ul style="list-style-type: none"> <li>- There are no internal organisations.</li> </ul>	
Sociocultural dimension	<ul style="list-style-type: none"> <li>- Passive community, few active leaders.</li> </ul>	<ul style="list-style-type: none"> <li>- Passive community, few active leaders and neighbours, especially at the block level.</li> </ul>	<ul style="list-style-type: none"> <li>- Communities and leaders have some degree of experience in the area (e.g. participated in a subsidy project)</li> <li>- Signs of maintenance awareness</li> <li>- Understanding of the property as a condominium</li> </ul>
	<ul style="list-style-type: none"> <li>- Bad habits regarding maintenance</li> <li>- There is no awareness of the common property</li> <li>- Reluctance to become a formal condominium</li> </ul>		
	<ul style="list-style-type: none"> <li>- Lack of participation in condominium activities</li> <li>- Individualism and distrust in institutions and leaders</li> <li>- Conflicts over the use of common property</li> </ul>		

TABLE 9.1 Categorisation of condominium management conditions according to the dimensions and problems identified in Chapter 3.

The second variable is the municipal capacity. As we saw in the case study analyses, the municipality, as the lowest level of governance, is the most relevant institutional and physical reference for the individual neighbours but also for the organisations that intervene in social condominiums. Municipal capacity is measured according to the resources available to invest in the built environment, political willingness to collaborate with third sector organisations and the local vulnerability of the commune, which altogether affect the level of support for, and response to the problems in social condominiums. Two polar conditions are identified. On the one hand, municipalities with higher capacity are more supportive and active in housing and condominium management activities (e.g. participating as *entidades patrocinantes*), with the financial capacity to allocate resources for social condominiums. They are willing to partner with third sector organisations and promote the formation of civil society organisation. On the other hand, municipalities with lower capacities are unsupportive and inactive regarding

condominium management. These communes are more vulnerable areas with large amounts of social housing. The limited municipal financial capacity restricts the allocation of human or financial resources in activities related to improving the built environment. In terms of collaboration, they are not actively promoting the development of civil society organisations or enabling social interventions in the area. The types of initial situations are represented in the matrix displayed in Figure 9.2, which combines the municipal capacity (Y axis) and the condominium's management conditions (X axis), identifying four main types of initial situations.

*I. Challenging (problem of condominium conditions).* This type of initial situation combines a condominium that tends to have poor or critical management conditions with a municipality that tends to be more supportive. The challenge is to achieve better management conditions in highly deteriorated condominiums.

*II. Favourable.* This type of initial situation combines a condominium in regular condition with a municipality that tends to be supportive. The challenge is to turn these favourable conditions into effective and long-term interventions in condominiums.

*III. Unfavourable.* This type of context is less favourable for interventions, combining poor or critical condominium conditions with unsupportive municipalities. The challenge is to reverse major process of deterioration in condominiums located in municipalities with low municipal support and higher social vulnerability.

*IV. Challenging (problem of municipal capacity).* This type of initial situation comprises condominiums with better management conditions but located in less supportive municipalities. The challenge is to carry out an intervention in the condominium with little municipal support and under more vulnerable local conditions.

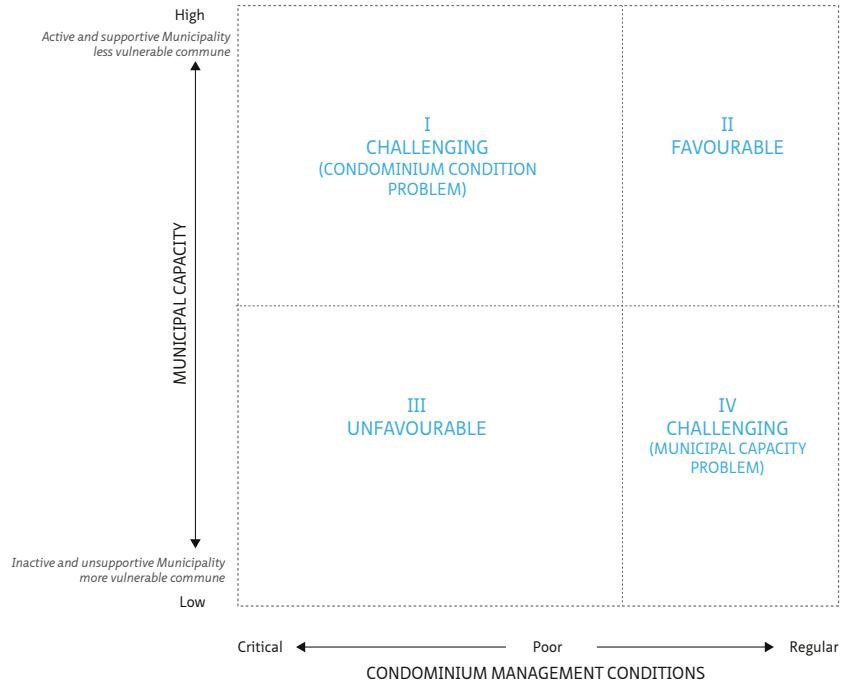


FIGURE 9.2 Matrix defining the type of initial situation based on municipal capacity and condominium management conditions. Source: author's elaboration.

## § 9.1.2 Typology of management approaches

The typology of management approaches describes the activities carried out by the organisation during the intermediation by playing different roles and using different scopes. As explained in Chapter 4, the roles adopted by the organisation define the way the intermediation is being carried out. A definition as implementer or catalyst distinguishes between the organisations that aim to improve the built environment or the community's capacities, respectively. The scope of the intervention is added in order to complement this definition.

The scope defines the type of intervention, identifying those that are more targeted and those that are more comprehensive. A targeted intervention is more oriented to solving a specific single problem by carrying out a project, and a comprehensive intervention is

more oriented to solving a combination of problems. An important component of the scope is the time in relation to the results of the solution implemented, and the impact of that solution. In a targeted intervention the result and the solution are expected to be achieved in the same timeframe as the intervention, while in a comprehensive intervention results can be expected during and after the project is implemented. Its impact also tends to go beyond the project's length and goals. By combining roles (Y axis) and scope (X axis), four main overlapping management approaches are defined and organised in the following matrix (Figure 9.3) :

*I. Building project management:* the activities which aim to improve the physical condition of the built environment under a targeted scope. The organisation usually adopts an implementer role, carrying out solutions that address specific problems which are solved before the project is finished. Some activities are the repair of damaged elements in the building or the design and construction of a project in the condominium.

*II. Building process management:* the activities which aim to improve the physical conditions of the built environment under a comprehensive scope. This means organisations that mostly adopt an implementer role, carrying out activities that will enhance maintenance process and the building performance. The impact of the intervention is therefore measured beyond the timeframe of the project. An example of an activity associated with this role is the design and implementation of a maintenance plan.

*III. Community project management:* the activities focusing on the community in order to improve condominium management practices under a targeted scope. The organisation mostly adopts a catalyst role, initiating or carrying out activities that will solve a specific organisational or sociocultural problem of the community. Examples of these activities are support for communities to register their condominiums or the provision of services for conflict mediation in particular situations.

*IV. Community process management:* the set of strategies and measures targeting the community to improve long-term practices and behaviour regarding condominium management, under a comprehensive scope. The organisation mostly adopts a catalyst role, initiating or conducting activities that will address multiple problems in order to improve the community capacities to deal with management problems in the long term. An example is educational activities for condominium management or the development of activities to improve community cohesion.





FIGURE 9.3 Matrix that defines the types of management approaches based on the roles of the organisation and the scope of the intervention. Source: author's elaboration.

### § 9.1.3 Proposal: set of strategies and measures

This section proposes and explains strategies for third sector organisations to improve condominium management practices. The strategies are formulated in response to seven goals for condominium interventions, aimed at the intermediation and institutionalisation of third sector practices. The goals for intermediation (1 to 6) focus on improving technical, organisational and sociocultural condominium management dimensions. The implementation of these goals, and their related strategies, depends on the third sector intermediary. The goal for the institutionalisation of third sector practices (7) focuses on improving the institutional conditions in which the organisation intervenes. The implementation of this goal depends on the local and central Chilean institutions, and their respective regulatory frameworks.

The management challenges identified in Chapter 3 led to the formulation of the first five goals, as a direct response to addressing them. Although the results in Chapter 3 showed the weaknesses of the institutional support in the subsidy system, Goals 6 and 7 were formulated after identifying the importance of enhancing the capacities of the TS intermediary, theoretically and empirically. They were theoretically defined in Chapter 4 (partner role and institutionalisation) and then identified as lessons after the analysis of the international case studies. The goals are:

- 1 To improve built environment conditions, levelling the physical conditions of condominiums
- 2 To activate passive communities and promote leadership
- 3 To provide training and education in condominium management
- 4 To provide services for long-term administration and maintenance
- 5 To promote better coexistence and reduce conflict
- 6 To increase organisation resources for intervention
- 7 To improve institutional capacity in relation to condominium management

Once the goals were defined, strategies were formulated by combining and selecting lessons and their respective adapted practices from the case study analyses. Table 9.2 explains the reasoning process behind the formulation of the strategies. As shown, the seven goals are matched with compatible lessons from the case studies in the second column. The third column highlights the main elements that were taken from the lessons and respective adapted practices to define the strategies. Each set of strategies is described in detail in the following section. Further elaboration of the strategies involved the inclusion of measures and the relationships of the typologies previously defined. Each strategy comprises a group of measures, fits within a specific type of management approaches (see Figure 9.3), and is appropriate for specific types of initial situations (see Figure 9.2).

#	GOALS	NECESSARY LESSONS (L) FROM CASE STUDIES	STRATEGIES (S) – KEY ELEMENTS
1	To improve built environment conditions, levelling the physical conditions of condominiums	<p>[L-A10] Participatory design process to increase community satisfaction and future maintenance awareness</p> <p>[L-A11] Physical improvement as a milestone in highly deteriorated condominiums</p>	<p>[S-1.1] Design and construction of major improvement with participative methodologies</p> <p>[S-1.2] Architectural assistance for minor improvements</p>
2	To activate passive communities and promote leaderships	<p>[L-A1] Initial top-down approach to address inactive communities</p> <p>[L-A3] Intervention in vulnerable contexts as services for capable clients</p> <p>[L-A7] Concentration of resources in the early phases of the intervention</p> <p>[L-A8] Identification of informal organisational structures and natural leaders</p> <p>[L-B6] Permanent service of information and advice in the neighbourhood</p> <p>[L-B8] The homeowner association is the main body responsible for making decisions and carrying out maintenance</p> <p>[L-C3] Flexible programme of general strategic areas and specific local projects to generate a service based on demand</p> <p>[L-C4] Catalyst role at the neighbourhood level including the neighbourhood associations to strengthen different organisational levels</p> <p>[L-C5] Facilitation of resources and knowledge so the community can develop their own activities</p> <p>[L-C6] Activators as social professionals at the service of the community</p> <p>[L-C8] Identification of leaders and diagnosis of the social situation as the starting point of the intervention</p> <p>[L-C10] Participative evaluation of the process to tear down prejudices</p>	<p>[S-2.1] Local presence in the neighbourhood, TS initiator.</p> <p>[S-2.2] Extended preparation phase</p> <p>[S-2.3] Contact with existing leaderships (condominium and neighbourhood level)</p> <p>[S-2.4] Contact with existing organisations (condominium and neighbourhood level)</p> <p>[S-2.5] Customised intervention</p> <p>[S-2.6] [S-2.7] Progressive transference of responsibilities according to community capacities</p> <p>[S-2.8] Anchoring phase of evaluation and feedback</p>
3	To provide training in condominium management	<p>[L-A4] Strategic and selective training</p> <p>[L-A9] Provision of basic organisational elements to prepare the condominium for maintenance</p> <p>[L-B4] Housing maintenance as an owner's duty</p> <p>[L-C5] Facilitation of resources and knowledge so the community can develop their own activities</p>	<p>[S-3.1] Education about maintenance</p> <p>[S-3.2] Specialised training for leaders</p> <p>[S-3.3] Advice about searching for finance</p> <p>[S-3.4] Professional training for administrators</p>

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#	GOALS	NECESSARY LESSONS (L) FROM CASE STUDIES	STRATEGIES (S) – KEY ELEMENTS
4	To provide services for long-term administration and maintenance	[L-A9] Provision of the basic organisational elements to prepare the condominium for maintenance	[S-4.1] Support for condominium legalisation [S-4.2] Customised maintenance plan (social and financial) [S-4.3] Condominium administration services [S-4.4] Enable financial opportunities. Micro loans
		[L-B5] Affordable services of administration as additional support for homeowner associations with organisational shortcomings	
		[L-B6] Permanent information and advice service in the neighbourhood	
		[L-B7] Technical evaluation and maintenance plan as main guidelines of the process	
		[L-B9] The process ensures a legally and financially healthy homeowner association	
5	To promote better coexistence and reduce conflict	[L-C9] Strategic area of conflict mediation and management	[S-5.1] Promote good practices in the use of the common property [S-5.2] Social mediation for conflict resolution [S-5.3] Legal advice
		[L-C5] Facilitation of resources and knowledge so the community can develop their own social activities	
6	To increase organisation resources for intervention	[L-A2] Local approach to increasing the impact of the intervention	[S-6.1] Local approach and multiple interventions [S-6.2] Work in network and partnerships [S-6.3] Working groups for specific problems
		[L-B2] The intervention is embedded in an area-based programme	
		[L-B3] Creating partnerships to improve service provision	
		[L-C7] Work in networks and working groups to deal with scarce financial resources and solve complex problems	
7	To improve institutional capacity in relation to condominium management	[L-A5] TS as vehicle of subsidy programme to improve its financial resources and participation in public policies	[S-7.1] Housing maintenance regulations [S-7.2] Condominium certifications [S-7.3] Modifications to subsidy programme [S-7.4] Government support to improve municipal capacities [S-7.5] Strengthening of neighbourhood associations
		[L-B1] Municipal top-down approach to improve housing quality in priority areas	
		[L-B2] The intervention is embedded in an area-based programme	
		[L-B4] Housing maintenance as an owner's duty	
		[L-C1] Bottom-up approach to address specific needs	
		[L-C2] Neighbourhood associations as strategic allies in the area	

TABLE 9.2 Definition of strategies from case study lessons

## Strategies for intermediation

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### **1. To improve built environment conditions, levelling the physical conditions of condominiums**

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This set of strategies aims to improve physical conditions in order to prepare the condominium for future maintenance practices. Table 9.3 shows the strategies, describe the measures, and indicates the respective initial situation and management approach for each one. The following strategies are proposed: (1.1) Design and construction of a major improvement project with participative processes, (1.2) Architectural services for housing improvements, repairs and extensions addressing individual and collective needs.

In this set of strategies, the predominant approach is building project management (III). For condominiums in poor and critical conditions (Initial Situation I and III), this intervention is the first major change, and is an important milestone in the condominium's life. The use of participative design tools is necessary in this upgrade, to catalyse good maintenance practices. Organised condominiums in regular condition (Initial Situation II and IV) have a strategy focused on providing access to affordable architecture services to ensure the construction of adequate improvements and housing extensions.

STRATEGIES		MEASURES	APPROPRIATE FOR INITIAL SITUATION...	FIT WITHIN MANAGEMENT APPROACH...
S-1.1	Design and construction of a major improvement project with participative processes	<ul style="list-style-type: none"> <li>- Use of participative design tools in open assemblies held in the common areas of the condominiums.</li> <li>- The methods should include: a diagnosis of the situation and the problems according to the resident's perceptions, prioritisation of projects according to the budget possibilities, selection of a final project from the design of alternatives provided by the organisation.</li> <li>- Supervision of the construction by the administrative committee or leaders.</li> </ul>	I, III	I, IV
S-1.2	Architectural services for housing improvements, repairs and extensions	- Affordable architecture services for individual co-owners or organised condominiums to conduct improvements or housing extensions. The service focuses on design support to carry out building modifications within the OGUC regulations and to use the resources efficiently. It can consider the option of DIY construction for small projects.	II, IV	I

TABLE 9.3 Strategies and measures to improve built environment conditions

## 2. To activate passive communities and promote leadership

This set of strategies aims to activate communities that are passive regarding maintenance and management activities. Eight strategies are proposed: (2.1) Local presence of the organisation in the area before and during the intervention, (2.2) Extended preparation phase to increase community engagement, (2.3) Identifying and contacting natural leaders at the condominium and neighbourhood level, (2.4) Identifying and validating existing organisational structures at the condominium level, (2.5) Providing a service for social condominiums with no predefined content, (2.6) Progressive transference of responsibilities to the community and their leaders through their major involvement in decisions about the project, (2.7) Progressive transference of responsibilities to the community and their leaders through the co-implementation of the project, (2.8) Participative evaluation in the anchoring phase.

As shown in Table 9.4, the predominant approach among these strategies is community process management, followed by community project management. The

strategies in the preparation phase, aim to increase trust between the community, the leaders and the organisation by reinforcing the presence of the organisation in the area and allocating more time and resources at the beginning of the intervention. This is necessary to get co-owners and residents involved in the process, especially in condominiums in critical and poor condition (Initial Situations I and III). The aim during intermediation is to increase the responsibility and participation of the community as regards their built environment by helping them become more involved in decisions about the project and promoting leadership. These strategies can go beyond the condominium, involving neighbour associations and community-led organisations in the neighbourhood that can contribute to condominium management practices. Strategies such as communication with the leaders and existing organisations, and the inclusion of participative mechanisms of evaluation are considered necessary for the four types of initial conditions.

STRATEGIES		MEASURES	APPROPRIATE FOR INITIAL SITUATION...	FIT WITHIN MANAGEMENT APPROACH...
S-2.1	Local presence of the organisation in the area before and during intervention	<ul style="list-style-type: none"> <li>– Representatives of the organisation in the area, acting as ‘activators’ of the community. The representatives are a team of social and technical professionals who are the visible face of the organisation in the condominium.</li> <li>– TS organisation office in the neighbourhood that gives visibility to the organisation and provides support and advice regarding maintenance, co-ownership law and management during the intervention.</li> </ul>	I, III	IV
S-2.2	Extended preparation phase to increase community engagement and organisation knowledge about the community	<ul style="list-style-type: none"> <li>– The intervention uses a preparation phase of 6 months to settle in the neighbourhood and get the community involved. This phase includes activities such as: participation in neighbourhood activities, definition of a work plan with the leaders and organisation identified, informal and formal gatherings with the community.</li> </ul>	I, III	IV
S-2.3	Identify and contact natural leaders at the condominium and neighbourhood level	<ul style="list-style-type: none"> <li>– First action of the TS organisation in the area is to contact existing leaders at the neighbourhood (local and functional community organisations) and condominium (former housing committee leaders, active residents) levels.</li> <li>– Establish permanent communication with these leaders who are the connection between the organisation and the community.</li> <li>– Promotion of leadership formation</li> </ul>	I, II, III, IV	IV
S-2.4	Identify and validate existing formal and informal organisational structures in the condominium	<ul style="list-style-type: none"> <li>– The TS organisation recognises and understands condominium dynamics in the preparation phase.</li> <li>– Use of both formal and informal organisations to activate the community regarding management practices. Existing organisations (blocks, passages) contribute to achieving better organisation during the process and the consolidation of formal structures (administrative committee). If they are effective in daily organisation, they can remain as complementary structures.</li> </ul>	I,II, III, IV	IV

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STRATEGIES		MEASURES	APPROPRIATE FOR INITIAL SITUATION...	FIT WITHIN MANAGEMENT APPROACH...
S-2.5	Provide a service for social condominiums with no predefined content	<ul style="list-style-type: none"> <li>- TS organisation provides a customised intervention for social condominiums according to their social, organisational and technical needs. Responsibility for the content of the intervention is placed with the community</li> </ul>	II, IV	IV
S-2.6	Progressive transference of responsibilities to the community and their leaders. Major involvement in the decisions about the project	<ul style="list-style-type: none"> <li>- The TS organisation shares responsibility for decisions about the project with the co-owners and the administrative committee.</li> <li>- The TS organisation informs the residents about the possibilities for condominium improvements, but the community makes the final decision about what to do with the budget. The information comprises the use of the budget, the technical limitations, maintenance costs and any future disadvantages of the project that the community chooses.</li> </ul>	I,III	IV
S-2.7	Progressive transference of responsibilities to the community and their leaders. Co- implementation of the project	<ul style="list-style-type: none"> <li>- The TS organisation, in addition to sharing responsibility for the decisions, shares responsibility for the implementation of the projects.</li> <li>- The TS organisation and the community, divide the tasks for condominium improvements according to the available expertise of the residents.</li> <li>- The TS organisation facilitates the process of social activities, but the community coordinates and carries out the activities.</li> </ul>	IV, II	IV
S-2.8	Participative evaluation of the intervention in the anchoring phase	<ul style="list-style-type: none"> <li>- The TS organisation includes an anchoring phase to close the process, reflects on the consequences for the condominium and discusses the possibility of developing new projects.</li> </ul>	I, II, III, IV	III

TABLE 9.4 Strategies and measures to activate passive communities and promote leadership

### 3. To provide training in condominium management

The set of strategies aims to provide the community and its representatives with knowledge and tools for maintenance and management. Table 9.5 shows the four strategies proposed: (3.1) Education activities about maintenance practices, (3.2) Training the members of the administrative committee for condominium management, (3.3) Providing information and advice about applying for new funding opportunities, (3.4) Developing a programme of condominium administration.

The predominant approach in these strategies is community project management, followed by community process management. These strategies aim to raise the awareness of residents about maintenance activities and their responsibilities to their condominium. For condominium representatives, they focus on specialised training in condominium administration and the provision of tools with which to continue after the intervention has finished. Depending on the capacity of the administrative committee, administrative tasks can be assumed on a voluntary basis by the same members, however the creation of administrators from the community who can be trained to administrate more than one condominium in the same neighbourhood on a professional basis, is also considered.

STRATEGIES		MEASURES	APPROPRIATE FOR INITIAL SITUATION...	FIT WITHIN MANAGEMENT APPROACH...
S-3.1	Educational activities about maintenance practices	– Introduce basic concepts of maintenance to the community and their leaders in workshop formats.	I, II, III, IV	IV
S-3.2	Train the members of the administrative committee for condominium management	– Provide specific training to their members related to financial requirements for maintenance, long-term planning, duties and rights, accountability, community management.	I, III	III
S-3.3	Provide information and advice to apply for new funding opportunities	– Support for administrative committees to seek additional resources and apply for funding opportunities.	II, IV	III
S-3.4	Develop a programme of condominium administration	– Programme at the neighbourhood level focused on training for residents to perform the role of administrators.	II, IV	III

TABLE 9.5 Strategies and measures to provide training and education in condominium management

#### 4. To provide services for long-term administration and maintenance

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These strategies aim to provide services that facilitate administration and maintenance practices in condominiums. Four strategies are identified and explained in Table 9.6, which describes the measures, and indicates the corresponding initial situations and management approaches for each one. The strategies are: (4.1) Administrative and legal support for condominium legalisation, (4.2) Design and implementation of a customised maintenance plan based on technical and socioeconomic evaluation, (4.3) Service for condominium administration, (4.4) Social bank for condominium projects. They can be developed by (one or more) specialised organisations in this area.

Most strategies have a building process approach, providing solutions for long-term processes related to the physical and organisational conditions of the condominiums. They have a service-oriented logic according to condominium demand. Most of these strategies (4.2, 4.3, and 4.4) are therefore considered suitable for initial situations in which condominiums are in regular condition (II and IV), and thus are organised to request and supervise the implementation of the services. The strategies fill a current service gap for vulnerable groups, meaning that the providers are non-profit, driven by social goals offering an affordable service.

STRATEGY		MEASURES	APPROPRIATE FOR INITIAL SITUATION...	FIT WITHIN MANAGEMENT APPROACH...
S-4.1	Administrative and legal support for condominiums legalisation	– Support the residents to organise the condominium, setting up the basic organisational elements: administrative committee, administrator, regulations, maintenance fee and maintenance fund.	I, III	II
S-4.2	Design and implementation of a customised maintenance plan based on technical and socioeconomic evaluation	– Design a customise maintenance plan according to a technical and socioeconomic evaluation. – Presentation and discussion of the maintenance plan with the co-owners to ensure its understanding and feasibility. – Advice about good maintenance practices.	II, IV	II
S-4.3	Service for condominium administration	– TS organisation services of affordable administration for condominiums that are in regular condition. – Administration can also be carried out in partnership with the municipality.	II, IV	II
S-4.4	Social bank for condominium projects	– TS service for microloans to develop collective projects in condominiums or complement governmental subsidies. The loan is provided to the condominium as an organisation.	II, IV	III

TABLE 9.6 Strategies and measures to provide services for long-term administration and maintenance

## 5. To promote better coexistence and reduce conflict

The set of practices aims to reduce the level of conflict in condominiums, providing mediation and promoting peaceful coexistence inside and between condominiums. Three strategies and their measures are explained in Table 9.7: (5.1) Activities to promote good coexistence in condominiums and neighbourhoods, (5.2) Social mediation for conflict resolution, and (5.3) Legal advice regarding the use of the common property. The initial situations and management approaches are indicated.

The approaches to these strategies are community project management and community process management. The measures address conflict derived from the misuse of the common property, providing social mediation but also legal advice about the use of the property, courses of action regarding the appropriation of common ground and informal extensions, and support to re-organise condominiums into

smaller units. Given that the misuse of common property was identified as one of the problems that persists in all types of condominiums, the strategies are considered appropriate for the four types of initial situation.

STRATEGY	MEASURES	APPROPRIATE FOR INITIAL SITUATION...	FIT WITHIN MANAGEMENT APPROACH...	
1	Activities to promote good coexistence in condominiums and neighbourhoods	<ul style="list-style-type: none"> <li>- Coordination of social and recreational activities to increase community cohesion inside condominiums and between condominiums in the same neighbourhoods. Depending on the level of internal organisation, the activities can be carried out by the TS organisation or by the residents.</li> <li>- Workshops for the community about good practices in the use of the common property.</li> </ul>	I, II, III, IV	IV
2	Social mediation for conflict resolution	<ul style="list-style-type: none"> <li>- TS services specialised in conflict mediation inside condominiums and between condominiums. Depending on the level of organisation, the service can be requested by the community or suggested by the organisation in specific areas of conflict.</li> </ul>	I, II, III, IV	III
3	Legal advice regarding the use of the common property	<ul style="list-style-type: none"> <li>- Legal advice about ownership conflicts and inheritance.</li> <li>- Provide advice, and suggest courses of action about how to proceed regarding the occupation of common property and illegal extensions.</li> <li>- Legal and administrative support to re-organise large condominiums into smaller units.</li> </ul>	I, II, III, IV	III

TABLE 9.7 Strategies and measures to promote better coexistence and reduce conflict

## 6. To enhance the organisation's resources to intervene in complex contexts

This set of strategies aims to make efficient use of the organisation's resources and the local resources available in the area of intervention. Table 9.8 describes three strategies and measures: (6.1) Local approach to increasing the impact of the interventions, (6.2) Working in networks and partnerships to make efficient use of resources, (6.3) Working groups to solve specific problems. Given that these strategies aim to increase the

impact of intermediation by enhancing the existing resources (human and financial), they are relevant to any type of initial situation and management approach.

A local approach is one of the ways for an organisation to improve the impact of interventions by making successive interventions in the same area. Different levels of partnerships with other organisations and institutions (third sector organisations, neighbourhood associations, functional community organisations, municipality) can be a means to increase expertise by combining different resources and approaches.

STRATEGY		MEASURES	APPROPRIATE FOR INITIAL SITUATION...	FIT WITHIN MANAGEMENT APPROACH...
S-6.1	Local approach to enhance the impact of the interventions	<ul style="list-style-type: none"> <li>- Systematic interventions in the same area at different scales (neighbourhood, condominiums, dwellings) as a way to achieve more significant changes in highly deteriorated contexts.</li> <li>- Long-term stay in one area (5 -10 years), having a permanent office while the organisation intervenes in different condominiums.</li> </ul>	I, II, III, IV	I, II, III, IV
S-6.2	Work in network and in partnerships to make an efficient use of the resources	<ul style="list-style-type: none"> <li>- Partnerships to increase expertise or/ and resources to face complex contexts. Different measures are identified:               <ol style="list-style-type: none"> <li>a. TS organisation contacts the municipality, defining areas of collaboration in terms of resources and professional expertise.</li> <li>b. TS organisation contacts neighbourhood associations and/or other community-led organisations as the main allies in the area.</li> <li>c. TS organisation coordinates their actions with other organisations working in the area in order to complement their interventions and avoid overlapping actions.</li> <li>d. TS organisation hires specialised organisations to perform specialised tasks during the process, increasing the service provision of the organisation.</li> </ol> </li> </ul>	I, II, III, IV	I, II, III, IV
S-6.3	Working groups to solve specific problems	<ul style="list-style-type: none"> <li>- TS organisation coordinates thematic working groups with members of other organisations working in the area, to deal with common problems that require actions from different expertise.</li> </ul>	I, II, III, IV	I, II, III, IV

TABLE 9.8 Strategies and measures to improve an organisation's resources

### **7. To improve institutional capacity in relation to condominium management**

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This set of strategies aims to improve the institutional context of neighbourhood and condominium management in terms of regulations, governmental programmes and the capacities of local institutions and organisations such as municipalities and neighbourhood associations regarding the management of their neighbourhoods. Five strategies are proposed and explained in Table 9.9: (7.1) Regulatory framework for housing maintenance, (7.2) Condominium certifications, (7.3) Modifications to the subsidy programme for condominium improvements, (7.4) Government support to improve municipal capacity regarding maintenance and management, and (7.5) Strengthening neighbourhood associations. These strategies are not associated with the initial situations or management approaches because their implementation depends on local and central institutions, and not the third sector.

STRATEGY		MEASURES
S-7.1	Regulatory framework for housing maintenance	<ul style="list-style-type: none"> <li>– Regulations for maintenance under current co-ownership law, indicating collective and individual responsibilities and parameters for adequate maintenance.</li> </ul>
S-7.2	Condominium certifications	<ul style="list-style-type: none"> <li>– System of condominium certifications to monitor homeowner associations and validate them so that they can access future incentives.</li> </ul>
S-7.3	Modifications in the subsidy programme for condominium improvements	<ul style="list-style-type: none"> <li>– Change the allocation of resources to an area-oriented approach, following the scheme of existing programmes such as PQMB.</li> <li>– Extend the timeframe of the implementation including additional resources for the preparation and anchoring phases.</li> <li>– Preparation phase of 3 months to organise condominiums, and anchoring phase of 3 months to evaluate the intervention and define future steps, considering the input from the community and the TS implementer. This phase can be led by the government (SERVIU or SEREMI)</li> <li>– Promote the participation of TS organisations, especially in the legalisation of condominiums and the implementation of the social plan.</li> <li>– Include maintenance and financial plans as a requisite in the technical and social plan respectively.</li> <li>– Include an anchoring phase in the subsidy programme which considers the evaluation of the intervention. This phase can be led by governmental professionals (SERVIU or SEREMI).</li> </ul>
S-7.4	Governmental support to improve municipal capacities regarding maintenance and management	<ul style="list-style-type: none"> <li>– Creation of a housing management division as part of current housing departments. This division can act in the following areas: <ul style="list-style-type: none"> <li>a. Permanent support for homeowners in housing maintenance</li> <li>b. Coordinating interventions in condominiums by hiring TS organisations or by steering the allocation of resources in priority areas.</li> <li>c. Identifying and monitoring housing management problems in their territories</li> <li>d. Provision of administration services for the most vulnerable condominiums.</li> </ul> </li> <li>– Training for municipal professionals in housing management.</li> </ul>
S-7.5	Strengthening neighbourhood associations	<ul style="list-style-type: none"> <li>– Municipalities enable communication channels with neighbourhood associations as well as their participation in the municipal agenda as individual and as communal unions.</li> <li>– Municipalities can strengthen neighbourhood associations as the main communication channels for local problems, including conflicts in social condominiums, by using existing governmental programmes for civil society organisations.</li> <li>– Give more rights to organised neighbourhood associations to coordinate bottom-up initiatives.</li> </ul>

TABLE 9.9 Strategies and measures to improve institutional capacity in relation to condominium management



## Synthesis of strategies

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The seven sets of strategies and measures previously detailed in Tables 9.3 to 9.9, are summarised in Table 9.10 below. The strategies in the table are organised by goal, indicating the types of initial situation for which they are appropriate, and the types of management approach where they fit in. The strategies for Goals G-1 to G-6, aimed at the intermediation, are associated with both initial situations and management approaches since their implementation depends on the third sector. The last set of strategies in this group focuses on enhancing the organisation's resources and is considered applicable and necessary for all the initial situations and the management approaches. The strategies for Goal G-7, which involves institutionalisation, does not depend on the third sector or specific initial conditions, and therefore the relationship with the typologies is not relevant.

The synthesis of strategies demonstrates the predominance of community-related approaches in the overall proposal which correlates with the findings in Chapter 3, in which the sociocultural dimension is the main trigger of problems in the other dimensions, demonstrating that the problems in the built environment are not exclusively technical. It is important to point out that an intervention involving the seven goals would include the four types of approaches, requiring strategies for the community, but also for the built environment.

	STRATEGIES	Appropriate for initial situation...				Fit within management approach...			
		I	II	III	IV	I	II	III	IV
		Challenging (condominium)	Favourable	Unfavourable	Challenging (municipal)	Building project	Building process	Community project	Community process
G-1	<b>To improve built environment conditions</b>								
S-1.1	Design and construction of a major improvement project with participative processes								
S-1.2	Architectural services for housing improvements, repairs and extensions								
G-2	<b>To activate passive communities and promote leaderships</b>								
S-2.1	Local presence of the organisation in the area before and during intervention								
S-2.2	Extended preparation phase to increase community engagement								
S-2.3	Identify and contact natural leaders at the condominium and neighbourhood level								
S-2.4	Identify and validate existing formal and informal organisational structures								
S-2.5	Provide a service for social condominiums with no predefined content								
S-2.6	Progressive transference of responsibilities. Major involvement in decisions								
S-2.7	Progressive transference of responsibilities. Co- implementation of the project								
S-2.8	Participative evaluation of the intervention in the anchoring phase								
G-3	<b>To provide training in condominium management</b>								
S-3.1	Educational activities about maintenance practices								
S-3.2	Train the members of the administrative committee for condominium management								
S-3.3	Provide information and advice about to apply for new funding opportunities								
S-3.4	Programme of condominium administration								
G-4	<b>To provide services for long-term administration and maintenance</b>								
S-4.1	Administrative and legal support for condominium legalisation								
S-4.2	Design and implementation of a customised maintenance plan								
S-4.3	Service for condominium administration								
S-4.4	Social bank for condominium projects								
G-5	<b>To promote better coexistence and reduce conflict</b>								
S-5.1	Activities to promote good coexistence in condominiums and neighbourhoods								
S-5.2	Social mediation for conflict resolution								
S-5.3	Legal advice regarding the use of common property								

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	STRATEGIES	Appropriate for initial situation...				Fit within management approach...			
		I	II	III	IV	I	II	III	IV
		Challenging (condominium)	Favourable	Unfavourable	Challenging (municipal)	Building project	Building process	Community project	Community process
G-6	<b>To increase the organisation resources</b>								
S-6.1	Local approach to increasing the impact of interventions								
S-6.2	Working in a network and in partnerships to make efficient use of resources								
S-6.3	Working groups to solve specific problems								
G-7	<b>To improve the institutional capacity</b>								
S-7.1	Regulatory framework for housing maintenance								
S-7.2	Condominium certification								
S-7.3	Modifications in the subsidy programme for condominium improvements								
S-7.4	Governmental support to improve municipal capacities regarding management								
S-7.5	Strengthen neighbourhood associations								

TABLE 9.10 Summary of strategies (Table 9.3 to Table 9.9).

## § 9.2 Validation

### § 9.2.1 Approach and methods

The typologies and the strategies presented in the previous section were validated using a two-phase approach. The first phase included a group interview with representatives of third sector organisations, the second phase consisted of individual interviews with municipality professionals.

The validation was carried out in order to discuss the effectiveness and feasibility of the strategies and the importance of the typologies that describes initial conditions and management approaches. The use of a group interview seemed to be appropriate in order to obtain feedback from different organisations simultaneously, confronting diverse visions and experiences, and also to get insights based on group interaction in a controlled discussion setting (Smithson, 2000). The input of the validation is used to propose a revised version of the typologies and strategies. The validation with stakeholders is for the purpose of:

- Ensuring that the typology of initial situations shown in Figure 9.2 (i.e. challenging by condominium, favourable, challenging by municipal capacity and unfavourable) is a relevant and appropriate definition of the initial conditions under which third sector organisations might perform.
- Ensuring that the typology of management approaches given in Figure 9.3 (i.e. building project management, building process management, community project management and community process management) is a relevant and a complete definition of current and possible management approaches adopted by third sector organisations in condominium improvement and management.
- Ensuring that the strategies associated with particular types of initial conditions and management approaches displayed in Table 9.10 are effective and feasible interventions by third sector organisations to improve management practices in social condominiums. The validation focused on the strategies for intermediation.

#### Methods

The data collection methods included face-to-face group interviews and semi-structured interviews. The instrument used for the group interview were the typologies (see Section 9.1.1 and 9.1.2), and their content was presented visually in Figure

9.2 and Figure 9.3, and explained by the researcher in order to ensure accurate understanding. After each typology, close-ended and open-ended questions were formulated to guide the discussion. The group interview was carried out in June 2017 in the '*Centro de Políticas Públicas UC*' (Centre of Public Policies UC), a research centre embedded at *Universidad Católica de Chile* (Catholic University of Chile). The activity was supported by the '*Sociedad en Acción*' (Society in Action) research project, which aims to identify and disseminate the importance of civil society organisations in Chile as a topic of public interest.

Two semi-structured interviews were conducted with municipalities using open-ended questions to go into detail about specific aspects of the relationship between and third sector organisations in the context of condominium interventions. All interviews were recorded and transcribed.

The structure of the group interview and the questionnaire for the interviews with municipalities are presented in Table 9.11.

STRUCTURE	CONTENT	QUESTIONS
<b>PHASE 1: Group interview with TS organisations</b>		
<b>1. Introduction</b>	Presentation of the session's goals and the research project in which the activity is embedded.	-
<b>2.1 Typology: Management approaches (see Figure 9.3)</b>	Explanation of types of management approaches. The variables used were scope (X) and roles (Y). Four approaches were described: (I) building project management, (ii) building process management, (iii) community project management and (iv) community process management.	Can you identify your organisation in one or more quadrants? Does the framework give an adequate definition of the approaches? Why?
<b>2.2. Typology: Initial situations (see Figure 9.2)</b>	Explanation of types of initial situations. The variables were condominium management conditions (X) and municipal capacity (Y). Four type of initial situations were described: (i) challenging due to condominium condition, (ii) favourable, (iii) challenging due to municipal capacity and (iv) unfavourable.	Does the framework gives an adequate definition of the initial conditions? Why?
<b>3. Strategies: Intermediation (see Table 9.10)</b>	Presentation of five sets of strategies and measures. Every strategy was associated with specific initial situations and management approaches. The strategies were organised thematically according to the following goals: (1) To improve built environment conditions, (2) To activate passive communities and promote leaderships, (3) To provide training in condominium management, (4) To provide services for long-term administration and maintenance, (5) To promote better coexistence and reduce conflict.	Based on your experience, to what extent are these strategies and measures effective and feasible for the types of management approaches and initial situations?
<b>4. Final remarks: Institutionalisation</b>	Additional questions to discuss the strategies related to institutionalisation in relation to the role of the municipality during the intervention and the willingness to work as a partner with other organisations.	To what extent is the municipality an enabler or a barrier to working with vulnerable territories? Do you think that partnership with other organisation(s) is a feasible/effective strategy with which to address complex contexts? (e.g. (municipality, civil society or neighbourhood associations)
<b>PHASE 2: Individual interviews with municipalities</b>		
<b>5. Interview with municipalities</b>	Explore some of the points emerging from the group discussion regarding the capacities of municipalities in disadvantaged contexts to deal with condominium management problems and their willingness to collaborate with third sector organisations.	Is there any municipal policy that promotes the participation of third sector organisations in the improvement of housing and neighbourhoods? Under which conditions is collaboration with third sector organisations effective in solving problems or helping to meet the objectives of municipalities? Could you further elaborate on the challenges that this municipality faces in creating a strong collaboration with third sector organisations to improving the management of condominiums and neighbourhoods?

TABLE 9.11 First and second phase of validation. Structure and questions.

## Selection of participants

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The validation assessed the typologies and the strategies to improve condominium management conditions, and so it was decided to interview the stakeholders for whom these strategies were designed. This meant third sector organisations, in the first place, and municipalities in the second place. The residents were not included in this validation process because their perspectives were previously incorporated in Chapters 3 and 6 regarding the discussion of management problems in their condominium before and after interventions, and the evaluation of the performance the third sector during condominium improvement, respectively.

Third sector organisations actively working in the field of condominium improvement and management in Santiago were selected for the group interview. Five organisations that met the requirements were originally contacted, and four professionals from three organisations attended the meeting. The invitation was sent to the organisation's directors, giving them the option to bring one more participant. Even though the five organisations reacted positively to the invitation, agenda conflicts and workloads at the time of the meeting affected the final attendance. In order to ensure a safe environment, the anonymity of the participants and the organisations was guaranteed. More information about the characteristics of the participants is given in Appendix C.

The municipalities selected were administratively disadvantaged areas with high levels of neighbourhood and housing deterioration. Municipality A (Lo Prado) is actively working to implement subsidies for condominium improvements, Municipality B (La Pintana) is more focused on community development and leadership. More information about the characteristics of the municipalities is in Appendix C.

### § 9.2.2 Group interview with third sector organisations

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The group interview discussion was structured in four main parts: the definition of management approaches, the definition of initial conditions, the effectiveness and feasibility of strategies for intermediation, and final remarks about institutionalisation.

#### Validation of typology for management approaches

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After presenting and explaining the types (Figure 9.3), the participants were asked two questions: Can you identify your organisation in one or more quadrants? Does

the framework give an adequate definition of the management approaches? The respondents were also asked to explain their answers.

Three organisations identified their work as part of two, three or four management approaches. In spite of the different choices, all emphasised their community approach, highlighting the importance of the catalyst role and involvement in community processes in Quadrants III (community project management) and IV (community process management). Approach I (building project management) was associated with the current work of *entidades patrocinantes* (technical assistance entities) implementing government subsidy programmes, however they pointed out their differences with respect to an average *entidad patrocinante*, explaining that they are more than ‘vehicles’ of housing policies, working beyond the requirements of the subsidy even when also performing as *entidad patrocinante*. Approach II (building process management) was less talked about, because they identified less with the activities described in the approach.

The professionals from Organisation C noted that they used all four approaches. As *entidad patrocinante* they develop Approach I for short-term results, but they also work to promote and strengthen leadership, intervening in long-term processes.

*‘We have a school of leadership that allows the leaders to learn more about co-property law, and how to perform in front of the community, to provide them with the tools to be free in the long-term processes in the future. So here, we intervene in the long-term process indirectly (...) condominiums need leadership, if there is no leader there is no maintenance, there are no new projects or grants, there are no improvements and there are no administrative committees. And therefore, there is no long-term projection or maintenance of the condominium or the social structure’ (Organisation C, group interview, June 2017)*

Organisation A, immediately discarded Approaches I and II, noting that they are completely community-driven, performing Roles III and IV. The director commented that they work mainly at the neighbourhood level, and had limited experience with condominiums that were part of a neighbourhood intervention.

*‘From our experience with condominiums, again, the focus is how to make projects with the community, projects that are authorised by them, but we focus on the process (...) we stay three years in a neighbourhood, in some way, it is about giving the tools to actually make them [the community] take the lead in the process in their neighbourhoods’ (Organisation A, group interview, June 2017)*



One of the representatives from Organisation B pointed out that their approach falls between III and IV, with more emphasis on Quadrant III, because they focus on providing tools to the community and especially the leaders. *'We have meetings with different actors to give the administrative committee tools, but, if it is required, we also go into the inner process of the community which can help with the internal organisation'*. The second participant of the same organisation added Approaches I and II as well, indicating that even though the implementation of an improvement project is not their main focus, they are necessary steps in order to develop their social role. The participant highlighted that they were the type of organisation *'which understood that the physical sustainability of the neighbourhoods is related to social strength'*.

*'When I have to focus on understanding the maintenance of social condominiums as the object, I think we are in Approach I [building project management] as a foundation for sure, because although we dislike it and it is not our purpose to implement subsidies (PPPF) - because we think it is not physically or socially sufficient - we are entidad patrocinante, and we do seek long-term management to provide the condominiums with the tools to self-manage in the future. Hence, to achieve Approach IV you have to go through III, because otherwise it is impossible, and probably if you are providing tools to improve the physical condition of the neighbourhood you will go through II, and if you want to generate tools to have social sustainability in the neighbourhood you go through III. Anyone who wants to achieve Approach IV has to pass through the others, so I feel that the boundaries are fuzzy' (Organisation B, group interview, June 2017).*

Participants noted fuzzy boundaries between the approaches in the typology. As previously indicated, they identified a sequential relationship between Approaches I, II (focused on the built environment), III and IV (focused on the community). The order was associated with the level of difficulty and the outcomes expected in the long-term, in which Approach IV, community process management, is perceived as the last and therefore the ultimate goal of an ideal condominium intervention.

*(...) 'We can classify the approaches, but they start to mix with each other...it is difficult to imagine a housing management process unrelated to the community management process (...) I cannot do it [a process] without the support of the community and for that, we have to improve their inner processes. That is why I do not know if it is possible to divide them into four' (Organisation B, group interview, June 2017)*

*'It is hard to differentiate them, I think each of these processes are concatenated, are related to each other, because one seeks to generate long-term processes, to change behaviours, which is the most difficult' (Organisation C, group interview, June 2017).*

The perception of fuzzy boundaries in the matrix seems to be the result of their own experience in adopting multiple approaches. The three organisations have approaches that tend to be comprehensive rather than focussed on one particular area of intervention. According to Organisation A, the physical project is used as a trigger for the community process, *'we think that it is not possible to work only in the social aspect or in the process. For us, the project, the works in the public space are in function of... they have the role of filling a deficit, but they are the triggers to activate the community, they go together'*. Organisation B suggested that the framework can even be understood with only two quadrants: the built environment and the community, arguing that Approaches II and III are dispensable. The participant remarked that, broadly speaking, there are two main type of organisations: those focused on social or community issues and those focused on the physical conditions or built environment.

The building process management approach triggered a discussion about its adequacy for third sector organisations. One of the interviewees noted that it was not necessary to have third sector organisations providing administration and maintenance services because these can be carried out by the community. The professional argued that the third sector is more suitable for the provision of tools rather than services, lest it evolve into a business model and stop being a social role, however other participants pointed out that the role of an administrator might be necessary, as in any other medium-class condominium. The professional noted the importance of this approach as taken by third sector organisations, especially in big condominiums, because it can give the leaders the opportunity to focus on their social role while another non-profit organisation takes care of the technical administration. They also noted the right of municipalities to assign administrators in social condominiums, which is an underused mechanism due to the lack of municipal resources.

*'We can train the neighbours, but I do not see it as negative to have an administrator who can help them (...) I feel that there is space here for social innovation, there is a need for people to help them in the management of condominiums, because they have the competences and they can encourage social development even further, because the leader can be busy with the most important thing which is the community development and not collecting maintenance expenses or learning how to manage the public spaces' (Organisation B, group interview, June 2017).*

Despite the initial doubts by one of the professionals, the existence of third sector organisations adopting a building process management approach was validated by the participants during the discussion. Although the approach is not a necessary part of their current work, it was considered relevant from the perspective of social innovation and the need to provide services that are not part of the market, or within current municipal tasks.

On balance, the participants were able to identify the differences between approaches and position themselves in the matrix based on the description provided. The main remarks were related to the boundaries of the approaches which were considered fuzzy, and the order which was perceived as hierarchical and sequential, rather than equivalent and complementary. The second approach, building process management, generated more discussion since it was less common for the participants.

### Validation of typology for initial situations

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After presenting the types of initial situations (Figure 9.2), the participants were asked the following question: Does the framework gives an adequate definition of the local conditions? Again, the respondents were asked to explain their answers (Why?)

The participants evaluated the matrix by discussing different examples for each quadrant. The examples tended to be located near the centre of the matrix, especially regarding municipal capacity. They argued that it was difficult to find municipalities who were too active or, conversely, municipalities who were totally inactive. Nevertheless, as 'good' contextual conditions, they provided the example of a municipality which would fit in Quadrant II [enabler]. *'I think the only case I have seen is the municipality of Las Condes... They have some social condominiums well built, well maintained with an administrator and a well-developed condominium committee' (Organisation B, group interview, June 2017).*

Quadrant III (challenging by municipal capacity) was noted as less feasible, especially in the situation of improved condominiums, because the improvements cannot be made without any support from the municipality: *'for me it is hard to see the number four [quadrant], a context as you described it, which was recently improved with a PPPF [subsidy for condominium improvement] without any municipal support. I mean it is hard to imagine it is possible to have a deficient context within municipal management' (Organisation B, group interview, June 2017),* however as the discussion developed, they described a situation for this quadrant, which involved a case of recently built social condominiums.

*'We, as a foundation, focus on new social condominiums, and they are in regular condition, they are good, recently built, they meet the conditions to be improved... but there is no policy that prevents them from deterioration. I say this because if we are indeed in inactive municipalities, in vulnerable contexts, and the condominium is in good condition, but stopping investment in this condominium would make it revert to the worst type of context' (Organisation B, group interview, June 2017).*

The main part of the discussion regarding the initial situation was related to the role and capacities of the municipality. The four interviewees agreed that the municipality's support is a basic step for any intervention. Partnership with the municipality was noted as a decisive factor for evaluation before entering an area, especially considering long-term models of intervention.

*'From our perspective, there is no doubt that the municipality is fundamental in these contexts, in some extreme situations we have had to leave a neighbourhood the municipality doesn't want to work with us (...) When you work in the public space it is essential that the municipality obtain the permits otherwise you cannot do anything. Its role is super necessary, there is no doubt.'* (Organisation A, group interview, June 2017)

The matrix was discussed by providing examples for each quadrant. Although some quadrants were more difficult to recognise (I, III), it was possible to discuss examples for each one. Municipal capacity was highlighted and therefore validated as a necessary contextual factor when deciding upon an intermediation.

### Validation of strategies and measures for condominium interventions

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The third part of the group interview was the evaluation of the five sets of strategies and measures presented in Table 46. Each strategy was presented in relation to a particular contextual condition (i.e. challenging due to condominium conditions, favourable, challenging due to municipal capacity and unfavourable) and a type of approach (i.e. building project management, building process management, community project management, community process management). The strategies were presented one by one in order to discuss them individually, and the participants were asked to comment on them after each presentation. The question for all the strategies was: to what extent are these strategies and measures effective and feasible for the types of management approaches and initial situations?

One of the points discussed during the evaluation was the systematisation of the strategies according to the initial conditions. It was argued that an intervention is defined by the specific characteristics of the condominium and, independently of the initial situation, it should always aim at the best condition (favourable) as the ultimate goal.

*'I think you should do a diagnosis as starting point, but you should arrive at the end, at a 'favourable' condition anyway, because if the context is vulnerable at the level of the people who live in the condominium, rather than in the overall area, then the formation of an administrative committee or reactivating an existing committee is necessary. There are few condominiums which are well constituted [legalised] (...) so, if the initial condition*

*is complex I will form (a committee), or if the condition is challenging I will strengthen the committee, I think the boundaries are very thin and you should be able to go in with a battery of themes, see what stage they are in, and continue until the end (...) If the context is complex, you stay three years, and if the context is challenging you spend two years working with them (...) I think social topics should be addressed with a diagnosis and one should, based on the diagnosis, not choose one or another (intervention), but go ahead with the whole process.' (Organisation B, group interview, June 2017).*

The participants suggested that all the areas of intervention have to be simultaneously covering by the organisation: social, organisational and physical. The argument is that all condominiums, independent of the initial situation, face similar problems. The diagnosis at the condominium level will therefore give specific guidelines for the intervention, but it won't change the need to include all the strategies in the process, guiding the condominium until it reaches optimum conditions.

The first set of two strategies discussed involved **improving built environment conditions** (Table 9.3). The discussion was focused on the strategy as a bundle, referring to the importance of carrying out this strategy alongside social processes. This would contribute to the effectiveness of the physical improvement in the long term.

*'Any intervention of physical improvement should have a good proportion of investment in social processes, not only a participative evaluation or contacting the leaders, which is necessary for a social intervention to make it [the intervention] sustainable' (Organisation B, group interview, June 2017).*

Using only physical interventions will not make a difference with respect to the current governmental programmes for improvements, as it is not solving the core problems. According to the interviewees, this strategy is necessary but cannot stand by itself. According to practical experience, any social condominium, independently of its contextual conditions, would also need social and organisational support. On balance, this strategy is considered fruitful if the physical improvement is carried out vis-à-vis strategies focused on the community.

The second set of strategies aimed to **activate passive communities and promote leaderships** and **comprised eight strategies** (Table 9.4). This set of strategies was perceived as a necessary step, especially due to the difficulties organisations have encountered in finding people who are engaged with their neighbourhoods. The three organisations are currently carrying out some of the indicated measures, such as creating a local presence or identifying and contacting community leaders and organisations. They pointed out that they contact any active group in the area that might contribute to the process, including social organisations, functional

organisations or local organisations. The most commonly contacted organisations are neighbourhood associations and sport clubs.

The discussion was focused on the potential and existing difficulties of performing this strategy, especially in the relationship between the neighbourhood associations and the condominium administrative committee. A condominium is usually part of a neighbourhood association, nevertheless, there are situations in which the condominium is big enough to be a neighbour association in itself. This means that the situation and the relationships between these two organisations might change in every case, which also affects the way the organisations relate to their leaders.

*'In every place it depends on how much they know about co-property, how many are organised (...) some know they are a condominium and therefore it is easier to organise them, others have no idea, in other condominiums the neighbour association which is bigger, contains the co-properties. It depends on the local political situation which determines how to tackle it and clearly they do not exclude each other' (Organisation C, group interview, June 2017)*

The interviewees pointed out that both organisations pursue different goals in terms of physical improvements, one looks after the condominiums and the other look after the neighbourhoods, but they noted that the interests sometimes overlap and they start to compete. They explained that some neighbourhood associations perceive the emergence of new condominium organisations and new leaderships as a threat, especially in more politically influenced territories. To see the condominium as a threat also implies seeing the organisation supporting the condominium as a rival. Organisation C explained that they have experienced this type of situation, *'it has happened to us that the president of the neighbour association sees the fact of organising leadership (in condominiums) as a threat and discredits us in front of the community'*. He added that the municipality can also be involved if the leaders of the neighbourhood associations have political connections with it.

*'Sometimes community leaders are a 'political arm' of the municipality, so they see another institution as a threat, because it does not have the same political ideology or they just consider it different, and turn the leader against this new emerging structure. The situation and the scenario change according to the area' (Organisation C, group interview, June 2017).*

The process of activation seemed to imply that there were several barriers to getting the community involved, but the professional noted that the strategy is effective in activating the community. *'Despite problems, we achieve a better result, the community is more active, the president of the neighbourhood wakes up and starts to activate other*

*sectors (...) We have had a rough time with our intervention, but the community is finally more active, it also activates the leaders and the municipality' (Organisation C, group interview, June 2017).*

The strategies for activating the community are generally evaluated as feasible and effective. Some of their measures are part of the core activities already performed by these organisations. Their experience indicates that neighbourhood associations are important channels of communication and key organisations for contact, however their willingness to cooperate and the support the work of third sector organisations cannot be taken for granted and it might depend on the specific political conditions of the context. The relationship between neighbourhood associations and condominiums can be collaborative, but can also be competitive, especially in small areas. It is necessary to take this into account in measures that consider strengthening neighbourhood associations.

**The third set of strategies involves providing training in condominium management,** and included four measures (Table 9.5). The set of strategies were considered necessary in the combinations indicated, however training activities were perceived as secondary and not urgent given the high levels of deterioration in the condominiums. In this sense, training and education activities are feasible, but they require an important amount of previous work to prepare the community, and especially its leaders. Time and trust were noted as necessary elements in the relationship between the organisation and the community.

*'A key element is trust, because the condominiums are so deteriorated that the former leaders left and the condominiums have drug dealers, tenants, illegal occupations... no leader can stay a long time trying to organise all the people if they cannot organise their own building (...) it is very complex and the intervention has to first gain trust back and that takes time (...) So the process of gaining trust is the foundation of this and it is time consuming' (Organisation C, group interview, June 2017).*

*'We made a diagnosis in the first year, and we work on the relationships and identifying the different organisations, but before that we cannot do anything, once there is trust we can establish a working plan and then we can stay one more year' (Organisation B, group interview, June 2017)*

Trust was also associated with the physical work, in which the improvement is an important milestone to reinforce the relationship. It was noted that *'even if there are programmes focused only in the management or administration of social condominiums, related to social and community management, they have to be linked to*

*physical improvements, because the people do not like to meet only to talk about their problems' (Organisation B, group interview, June 2017).*

On balance, educational and training activities are necessary and feasible if the community and their leaders are prepared to receive them, however the general situation involves condominiums with high physical deterioration and damaged social capital that would first need important work reinforcing the trust between the actors and consolidating leadership. Similarly, providing training was not seen as an effective measure per se if it does not include activities targeting the social dimension. It can also be inferred that the existence of isolated training with no further social content in the subsidy programmes has damaged the perception and effectiveness that they might otherwise have among the community.

The fourth set of strategies involved the provision of **long-term administration and maintenance which considered four strategies** (Table 9.6). Participants pointed out the importance of including strategies in this area. The discussion was focused on feasibility, and specifically on who is responsible for carrying out the strategy. There was consensus regarding increasing municipality participation in housing management, indicating that municipalities should have a greater role, especially in terms of coordination, while the state should have a financing role.

*'This [condominium administration] should be part of the municipalities, as a unit in charge of the administration. Similar to the Ministry of Education, who gives resources to the education units in the different municipalities to implement local programmes, the Ministry of Housing could transfer resources to the municipal units (...). It is a local problem but the solution, given the resources, cannot be local, it has to be the state's (Organisation B, group interview, June 2017)*

Participants noted that the municipalities and the state cannot transfer all the responsibilities to the owners, because they do not have the capacity to maintain the condominiums. The capacity of the municipalities to administrate the condominiums was also queried. The director of Organisation B noted that there is a lot room for municipal intervention related to the management of public space, which can already be done, but she was not so sure about the capacity of municipalities to provide support for condominium administration.

*'With respect to the social condominiums, there are things that the municipality can take care of (...) from illuminations, the maintenance of the common spaces and the neighbours' office, very tangible things where the municipality does not always [intervene], they ignore the problem because it is private property' (Organisation B, group interview, June 2017).*



The participants also noted the lack of knowledge about their responsibilities in some municipalities and the risk of misusing governmental resources if they were given directly to municipalities.

*'The problem is that municipalities do not know their role with respect to condominiums, they don't know the law or what do they have to do, they don't know how to support the condominium regulations, therefore if they have not assumed their role, it is difficult for them to ask for resources' (Organisation C, group interview, June 2017).*

Similarly, the role of other governmental organisations such as SEREMI for housing (Regional Secretary of Housing) was also noted as well. *'SEREMI could have a more important role in order to level the capacities of the municipalities and the condominiums, such as condominium administration and management, or training them and providing tools to avoid resource leaks' (Organisation B, group interview, June 2017).*

In addition to the possibility of municipalities directly supporting the administration of condominiums, the possibility of third sector organisations taking care of this task, either as independent organisations or hired by the municipality, was discussed. As previously noted, however, it is a new niche which is not related to the current goals of these organisations. In this sense, they declared the need for another type of support for co-owners in condominium management, and third sector organisations were seen as a possibility in providing this support, but this was not seen as a task that they can take on. A final remark about this strategy was related to the increasing number of tenants in these condominiums, which also makes the organisation of the condominiums more difficult, and especially the decision making process.

In summary, measures for long-term administration and maintenance are considered as necessary by the interviewees, especially because there is a gap in the services and subsidies in this area. As explained for one of the measures, the municipality was validated as the most suitable institution to take care of this task, through a department or unit in charge of condominium administration. The main barriers to overcome regarding the feasibility of the strategy are the municipal capacities to administrate resources and coordination between the different institutions. The municipality is seen as the main body responsible or the coordinator, and third sector organisations are noted as possible executers or intermediaries.

The last set of strategies presented was related to **promoting better coexistence and reducing conflicts and involved three strategies** (Table 9.7). Specific activities related to conflict resolution was considered necessary by the participants. The director of

Organisation A pointed out that *'it does make sense, to strengthen (the coexistence) in any type of context'*. In terms of feasibility, she added that this is an activity that can be carried out by the third sector and not the municipality, because these types of conflicts need someone external to solve them.

*'Someone external has less risk of, as you said (addressing other participant), political neutrality, and in that sense it can be easier with an external organisation rather than the municipality, because the neighbourhood associations are either friends or enemies of the municipality and I guess that it is the same at the level of the committees is the same'* (Organisation A, group interview, June 2017)

*'It has to be an external body who helps to activate and strengthen the neighbourhood associations, it is much better to have the third sector instead of the municipality, because of all the conflicts we already talked about'*. (Organisation B, group interview, June 2017)

One of the organisations noted that the process of services for conflict mediation would at some point need a technical and legal actor who can intervene when the organisation has not achieved a solution or when the professionals are too involved in the community's affairs. *'We can contribute to the mediation, but if it cannot be solved, we have to find a higher institution. I don't know if it should be the municipality, Seremi, neighbours' justice, I don't know, but someone has to do it. Well, now the last resource is the Local Police Court, but they do not understand much about community coexistence, about extensions, so there is space for something more formal'* (Organisation B, group interview, June 2017)

An important issue of conflict in condominiums are the extensions. Organisation C noted their participation in a project of collective extensions in a condominium in which they faced several problems reaching agreements among the community, and in preventing the appearance of informal and precarious constructions. Another participant added that this problem is ignored by the municipality, because it involves unpopular decisions.

*'The municipality does not interfere in that (problems about extensions), because they would go against the community, so the municipality, who is always worried about good relations with the community, does not perform this role of supervision'* (Organisation B, group interview, June 2017)

The strategies for conflict mediation and resolution are considered feasible and effective, because they might affect different layers of the condominium and management dimensions: relationships between neighbours, decision making at the

committee level and housing extensions. The interviewees agreed with the need for this type of activity, especially because it is a task partially performed by them, but without the means to conduct it properly.

### Final remarks: the municipality and the third sector

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The last part of the session consisted of two additional questions regarding the dynamics between the organisations and other stakeholders. Participants were asked about their relationship with the municipality and the extent to which it represents a barrier or an enabler during the intervention. A second question was related to their relationship with other third sector organisations and their willingness to enter partnerships in order to face the complexities of the context.

The four interviewees agreed that municipalities were key actors and needed partners to intervene in an area. The rivalry between the municipalities and the third sector was noted as one barrier. This was related to political interests pursued by municipalities, especially in times of elections and additionally related to overlapping activities when municipalities are also *entidades patrocinantes*. According to the interviewees, this problem manifests in obstacles to acquiring permits or the replication of activities already developed by third sector organisations without acknowledging their contribution.

*The municipality can be the best ally or the worst demon. They see you as a rival, they think you are a competitor because you went to an area where they couldn't get in, because as an institution one has certain political neutrality...we can go in...we can work with a UDI (extreme right wing party) municipality or with a communist municipality, and the entire range in between (...) When we enter a municipality they want either to compete, to be more protagonist or to appear as the most important part of the process, and sometimes they create obstacles.'* (Organisation B, group interview, June 2017).

Another issue noted was municipal capacity in terms of resources (human and financial) and knowledge. Organisation B pointed out that there are municipalities that are poor but have clarity about the problem, understanding that it is not only physical but also social. From their point of view, condominium maintenance is a management, legal and financial problem, and municipalities have to lead the maintenance processes of public spaces, doing more than collaborating with or supporting homeowners. Another interviewee added that in some cases the willingness exists, but there is a knowledge gap which delays and makes the process more difficult.

*I would like to add that there are also municipalities that have the willingness but they don't have the capacity. There is stuff that they don't know, they don't know the co-property law, they don't know their role, their rights, etc.... they don't know what they are, and that is serious. You can have good intentions but when you deal with professionals or people in charge who don't know what they have to do, that makes the process more complex and also makes their role deficient (Organisation C, group interview, June 2017).*

Another barrier noted was the lack of coordination between municipalities and central government in allocating the resources. This implies inefficiency and the duplication of the work. Despite the problems noted, the interviewees concluded the conversation by reinforcing the importance of the municipalities for an intervention, as the main enablers. They pointed out the need for governmental intervention to increase municipal rights and management capacities. They discussed the possibilities of having the work of third sector organisations coordinated or even hired by the municipality.

*'The municipality is necessary indeed, if I had to choose between strengthening the third sector or the municipalities, I would prefer the municipality,, because it would contribute to everyone in a better way' (Organisation B, group interview, June 2017).*

*'... and maybe it would be nice if the municipality had resources to hire us, for them to feel in some way that they have the leadership' (Organisation A, group interview, June 2017).*

They emphasised that municipalities and the government need to understand the importance of third sector organisations as allies, especially in their role of fulfilling neglected tasks that either government or municipalities have not been able to carry out.

*'Here the municipalities and the state, have problems seeing the powerful role that the organisations and foundations play (...)seeing third sector organisations as an ally in the territories when there are no resources... it is clear that the state should take care of the things that foundations are doing today, but if it (the state) does not have the money, at least it should take on the role of coordination' (Organisation B, group interview, June 2017).*

Municipalities are seen as necessary partners for intervention and as necessary enablers, however barriers for collaboration were identified, including political interest, lack of municipal capacity in terms of resources and knowledge, and lack of coordination with central government in the allocation of resources.

The second question was about the possibility of partnering with other third sector organisations active in the area. The experience of the interviewees showed that collaboration with other third sector organisations in the same area is not a common practice. All have had to coordinate their work with other organisations, but these collaborations were not sought by them actively. They agreed that there is room for improvement in this area, but they also pointed out that it is not easy because not all the organisations have a *'collaborative spirit'*. Even though they can see some benefits of partnerships, they noted several arguments about why this is not a common practice. The main argument is the scale of demand, which is great and so there are plenty of territories to work with. Given also the small number of these organisations and the scarcity of resources, they do not see it as efficient to concentrate resources in one area if they can be divided between more territories. There is a tendency to work locally, in which each organisation takes care of specific areas.

*'...and besides, our roles are well established. If within the diagnosis we see something that is absolutely necessary, I think that in that case we would say this foundation is doing this thing, let's talk to them.'* (Organisation C, group interview, June 2017).

*'For example in Maule we are working with another non-profit organisation, because they won a grant to work in the same neighbourhood that we are working in, and in that case there is no option other than to connect with them, but it is a waste of resources... I mean, when a foundation is mainly focused on the transformation of social processes, we are duplicated.'* (Organisation B, group interview, June 2017).

Despite the initial reluctance to partner, they also indicated positive experiences in which both parties had adopted different roles and the work had not been duplicated. They also noted the risk of overwhelming the community when too many organisations were working at the same time, which can lead to confusion and an excessive workload for community leaders.

Neighbourhood associations and sport clubs were noted as the most common partners and necessary contacts in the areas. Along with the municipality, neighbourhood associations are seen as key allies, especially the existing local leadership in the area of intervention.

### § 9.2.3 Interviews with municipalities

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Municipalities A and B were asked about the existence of ongoing collaborations with third sector organisations in housing improvement and management, the existence of policies to promote partnerships and the conditions that would allow further collaboration.

Neither Municipality A nor B have policies to promote joint activities or partnership with third sector organisations. One of the reasons for this is the lack of formal structures in the governmental scheme to include non-governmental actors. One of the public servants pointed out that any new actor or collaboration in the municipal structure should be part of formal (and existing) channels, and therefore the room for change is limited. The only opportunity to channel resources from the municipality to a non-public or private organisation is through a governmental programme designed for this purpose, with a law or decree regulating it. Conversely, the allocation of resources from the municipalities to civil society organisations which belong to the area (e.g. neighbourhood associations) is much easier. In this sense, municipalities tend to offer solutions to match their population's demands directly, instead of using an intermediary for the purpose.

*'For the municipality it is easier to support the community directly. It is difficult to include external actors, like intermediaries, due to the administrative system. In municipal investment there are specific procedures for how to hire some services, and therefore if an external foundation asks for support to carry out an action, it will be given only if there is some type of agreement or institutional alliance between the municipality and the organisation, according to a work plan and actions that enable the transference of resources. This is not easy, because the direct transference of resources from the municipality to a private organisation is not possible' (Municipal Advisor, Municipality B, interview, June 2017).*

Similarly, Municipality A pointed out that any new element in the public sector needs a law or decree which regulates the role of the municipality, and the human and financial resources for its implementation. *To have anything working properly in the public sector, we need a law which defines a role for the municipality, otherwise, this role would depend on the willingness of the municipality, professionals, neighbours (...) with a law there is a way to do things'* (Head of Housing department, Municipality A, interview, June 2017). In this case, the main concerns are related to the clarity of the tasks, and the workload of the professionals, because any new initiative needs a municipal counterpart.

Despite this, the interviewees noted few experiences with third sector organisations, either as implementers of subsidy programmes or specific cooperation alliances (with no municipal resources involved). In Municipality B, the contribution of third sector organisations has been positive, especially because the municipality does not have the capacity to address current demand. The interviewee emphasised that third sector organisations *'coordinate and obtain resources in different ways'*, which is a *'positive sign for the municipality with respect to the feasibility and the joint work'*. He added that in neighbourhoods with drug trafficking problems, third sector support is greatly appreciated because interventions are difficult in these areas and the state is often rejected by the communities.

Conversely, Municipality A is more sceptical with respect to third sector organisations. Their experience with subsidy implementation suggested that third sector organisations are not financially stable. The professional noted an example of a foundation which withdrew from an intervention because it did not have the capacity to carry it out. The interviewee emphasised the advantages of the municipality implementing the activities directly, especially because they have a permanent presence in the area, and the people *'can always go to the municipality if there is a problem'*. The professional was therefore more inclined to increase the municipalities capacity for condominium interventions, rather than to outsource the work. The municipality was open to having private or third sector organisations hired for specific tasks, however, if the municipality retained overall control. The professional noted the role of the municipality in condominium management activities as *'strengthening the organisations, providing tools and supervising the administration of condominiums, and the latter in the long term, because we still are here [the first ones]'*.

Despite the different expectations with regards to the third sector, both interviewees noted the need to increase the capacity of the municipalities and its efficiency in terms of coordination between units, the amount and use of financial resources and the need to improve the speed of the bureaucracy.

## § 9.2.4 Summary, discussion and implications

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The validation provided a fruitful space to discuss the activities and dynamics of third sector organisations intervening in social condominiums. The typologies and the set of strategies were evaluated in a group interview with representatives of third sector organisations currently active in condominium and neighbourhood improvements. After this interview, there were two individual interviews with municipality

professionals to gain more insight into the relationship between the third sector and municipalities. Table 48 summarises the main comments and input of the validation.

Regarding the **typology of management approaches**, organisations recognised themselves in the approaches presented, especially in building project management (I), community project management (III) and community process management (IV). The building process management approach (II) triggered a discussion about its suitability for third sector organisations. The organisations did not see themselves as service providers, but the need for this role to be performed by a third sector intermediary was pointed out during the discussion. This demonstrated a service gap in administration and management activities.

The three organisations were inclined to select multiple approaches to describe themselves, which correlated with their current approach towards the intervention. These organisations tend to address multiple problems rather than focus their action on one problem. Even though it was not the intention of the framework, the interviewees perceived the approaches as sequential and hierarchical, in which building-related approaches were seen as first steps or tools to develop community-related approaches. Another element noted was the fuzzy boundaries between the approaches. Neither observation affected the fact that they could position themselves in different quadrants, however. In this regard, fuzzy boundaries are characteristic of the approaches because they are formulated to address interrelated problems and therefore interrelated solutions.

The typology of management approaches provides an overview of existing and potential approaches, all recognisable and suitable for the third sector. Comments made by the participants were related to different valorisations of one approach over another from their own experience, but they did not question the variables of the matrix. Although the matrix did not require alteration, it is important to note that the approaches are not seen as effective individually. Implementer and catalyst roles, and therefore building and community approaches, are perceived as more effective if they are combined.

Discussion of the **typology of initial situation** revolved around the role of the municipalities as necessary support during the intermediation, but also as key factor to make the final decision about carrying out the intervention. The four quadrants were discussed with examples provided by the participants. They noted that most of the initial situations tend to be located near the centre, especially in terms of municipal capacity. Examples of polar municipal capacities were more difficult to find. The participants did not make specific comments about the condominium classifications.



On balance, the typology of initial situations was considered adequate to identify initial conditions, and no additional suggestions were made about the variables. Municipal capacity was validated as the main contextual variable for the intermediation. The matrix can be used to identify and evaluate the potential barriers and enablers that the organisation might face during the process, and to measure expectations over the final results.

Given the detailed information presented and the time constraints, the discussion of the strategies and measures remained on a more general level. This meant that the discussion tended to be focused on the general goals of the strategies as a set rather than the specific measures. The feedback was valuable to assess the feasibility of strategies that are being used by these organisations, but also to identify those strategies which are not part of current approaches but are necessary for the practitioners. Three points emerged about the effectiveness and feasibility of the strategies. The first point involved the **inter-dependency of some strategies to succeed**. Participants indicated that the strategy and measures aimed at physical conditions required the inclusion of strategies aimed at social and organisational dimensions in order to be sustainable in the long-term, independently of how well organised the condominium is at the time of the intervention. Similarly, strategies aimed at organisational elements require physical improvements to keep the community motivated.

A second point is related to **political interest and power conflicts** between the third sector and the municipality, but also between neighbourhood organisations and condominium committees. These conflicts need to be taken into consideration, especially in strategies which require the cooperation of the community and their leaders, as well as the municipality. Finally, **service opportunities** were identified in strategies for long-term maintenance and conflict resolution. The first three strategies presented different ways of implementing activities which are to some extent being addressed by these organisations, and the last two strategies introduced new areas of intervention. These strategies were found necessary and feasible, despite barriers, also implying the incorporation of various expertise.

Limitations were pointed out in the systematisation of strategies and the importance of discussing them in relation to the initial approaches and the situations. The arguments provided were correlated with their approach to the interventions, indicating that no matter their the initial conditions, all the condominiums need interventions in all areas, because they face similar problems. The diagnosis at the condominium level could offer specific guidelines for the intervention, but will not change the need for comprehensive interventions. The suggestion made by the participants that one organisation should adopt all the approaches for any type of initial situation is one

alternative showing the way third sector organisations work in Chile, but it is only one possible path and does not exclude discussion of other alternatives based on specialisation and partnerships to address a complex problem (e.g. the case studies of VVE-010 or SDV).

The research has also shown differences between the condominiums that have been improved (usually with the subsidy programme) and those that have not had interventions for 30 years. These differences are necessary input for strategies of intermediation, because they present opportunities for more effective interventions as well as third sector diversification. For instance, a condominium that was successfully legalised by a third sector organisation may already have a 'building process approach' for discussing a maintenance plan, because the basic elements are already settled.

The systematisation of strategies in relation to the typologies of initial situations and management approaches is more fruitful for some variables and strategies than others. In the typology of management approaches, the relationship between the strategies for intermediation is straightforward. Conversely, management approaches are not necessarily connected with institutionalisation goals. Strategies for intermediation are formulated in direct response to condominium conditions in the initial situation, and are less influenced by municipal capacity. Strategies for institutionalisation are more influenced by municipal conditions. For instance, more supportive municipalities would enable strategies that promote partnership and cooperation with and between third sector organisations, which would be more difficult otherwise. Similarly, in municipalities already active in condominium interventions (as *entidades patrocinantes*), it is more feasible to increase their capacities and responsibilities for condominium management.

An interesting topic that emerged during the validation was the role of the municipality and the perception that the third sector and municipalities have of each other in this type of intervention. Municipalities are key for third sector organisations, and are requested as allies in any intervention. Despite political differences or perceived rivalries, participants emphasised the need to increase municipality capacities to coordinate interventions, to increase their resources for housing management activities and their right to intervene in cases of neglected maintenance. Municipalities differed in their perception of third sector organisations, however, especially regarding their financial stability and presence in an area. They recognised their own weaknesses in terms of capacity to coordinate, their limited human and financial resources, their inefficiency and lack of reception to changes. This offers important space for cooperation with third sector organisations, but also reveals the importance of strategies for institutionalisation such as governmental intervention with regard to the autonomy and capacity of municipalities.

ELEMENTS	DISCUSSION POINTS	REMARKS/COMMENTS BY PARTICIPANTS
1. Typology: Management Approaches (see Figure 38) I Building project management II Building process management III Community project management IV Community process management	Identification of the organisation in one or more approaches  Adequacy of the typology and the definitions given for the types of management approaches	<ul style="list-style-type: none"> <li>– Participants were able to identify differences between approaches and position themselves in the matrix.</li> <li>– All the organisations identified themselves with multiple approaches.</li> <li>– The organisations identified less with Approach II (building process management)</li> <li>– Approaches I and IV were easier to recognise. They were considered the basis by which to understand the framework: the community and the built environment.</li> <li>– Fuzzy boundaries between approaches and the risk of overlapping activities</li> <li>– Approaches are seen as sequential, with a hierarchical order, starting from building-related roles to community-related approaches.</li> <li>– Approach IV (community process management) is perceived as the ultimate goal of any intervention.</li> <li>– Approach II triggered a discussion about its suitability for the third sector, however it was considered necessary as it might fill a service gap regarding administration and management.</li> </ul>
2. Typology: Initial situations (see Figure 37) I Challenging by condominium conditions II Favourable III Challenging by municipal capacity IV Unfavourable	Adequacy of the typology and the definitions given for the types of initial situations	<ul style="list-style-type: none"> <li>– Participants were able to identify the quadrants by discussing them with real examples.</li> <li>– Initial situations I and III were more difficult to recognise in practice.</li> <li>– In reality the initial situations tend to be located towards the centre of the matrix, especially regarding municipal capacities.</li> <li>– Municipal capacity was identified as a key variable when deciding upon an intervention.</li> <li>– Municipal support is required during the intervention.</li> <li>– No necessary comments or problems about condominium conditions.</li> </ul>
3. Strategies: Intermediation (Table 46)	Overall strategies and the relationship with typologies	<ul style="list-style-type: none"> <li>– The strategies need to be carried out simultaneously to succeed, especially community-related and building-related strategies.</li> <li>– The systematisation of strategies according to types of initial situation is not very fruitful for the participants, because it does not change the fact that all the interventions have to consider multiple approaches.</li> <li>– Specific problems at the condominium level have greater effect on the strategies than municipal capacity.</li> </ul>
1. To improve built environment conditions	Effectiveness and feasibility	<ul style="list-style-type: none"> <li>– Feasible</li> <li>– Effective if the physical improvement is carried out alongside strategies focused on the community.</li> <li>– Some of the measures in Strategy S-1.1 are part of the current activities of the organisations, as entidades patrocinantes.</li> </ul>
2. To activate passive communities and promote leadership	Effectiveness and feasibility	<ul style="list-style-type: none"> <li>– Feasible and effective, although their implementation entails difficulties such as the competition between leadership in neighbourhood associations and condominium administrative committees.</li> <li>– The set of strategies is considered a necessary step for any intervention in condominiums.</li> <li>– Some of the strategies and measures are, to some extent, part of the current activities of TS organisations (e.g. identify leaders, local presence).</li> <li>– Neighbourhood associations and functional organisations are useful channels</li> </ul>

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ELEMENTS	DISCUSSION POINTS	REMARKS/COMMENTS BY PARTICIPANTS
3. To provide training and education in condominium management	Effectiveness and feasibility	<ul style="list-style-type: none"> <li>- Feasible and effective if the community and their leaders are prepared to receive them.</li> <li>- It is important to reinforce trust and consolidate leadership before training.</li> </ul>
4. To provide services for long-term administration and maintenance	Effectiveness and feasibility	<ul style="list-style-type: none"> <li>- Feasible and effective, although their implementation entails challenges such as the coordination between organisations and the municipal capacity to administrate resources.</li> <li>- Identification of service gap and opportunities for third sector organisations regarding administration and maintenance.</li> <li>- Municipality was validated as the most appropriate institution to coordinate administration and management of social condominiums and third sector as intermediaries or executors.</li> </ul>
5. To promote better coexistence and reduce conflicts.	Effectiveness and feasibility	<ul style="list-style-type: none"> <li>- Feasible and effective</li> <li>- Identification of a service gap.</li> <li>- Strategies for conflicts and coexistence problems can contribute to improve relationships, decision-making and the resolution of informal housing extension</li> <li>- Informal extensions are one of the main sources of conflict.</li> <li>- Need for specialised organisations (technically and legally) to address conflict resolution.</li> </ul>
4. Final remarks : Partnerships and institutionalisation		<ul style="list-style-type: none"> <li>- Measures to increase municipality capacities are necessary for housing management.</li> <li>- The relationship between municipalities and the TS is not always collaborative.</li> <li>- Barriers for collaboration: political interest, lack of municipal capacity in terms of resources and knowledge, and lack of coordination with central government in the allocation of resources (in subsidy programmes)</li> </ul>
	Effectiveness and feasibility of partnerships and collaboration between TS	<ul style="list-style-type: none"> <li>- Low cooperation between third sector organisations. For TS organisations, the main restriction to a partnership is the risk of duplicating roles and resources, considering that they are scarce. Organisations are territorial in their work.</li> <li>- Too many organisations in one area might lead to confusion and excessive workloads for community leaders.</li> <li>- Neighbourhood associations and sport clubs are the main partners</li> </ul>
5. Interview with municipalities	Possibilities for collaboration with third sector organisations	<ul style="list-style-type: none"> <li>- Different perceptions towards the capacities of third sector organisations.</li> <li>- Rigid municipal system which does not enable partnerships with third sector organisations (associations, foundations), but does allow them with neighbourhood associations.</li> <li>- Need to increase municipal capacities, in terms of efficiency, resources and coordination between units.</li> </ul>

TABLE 9.12 Summary of key discussion points and comments for the proposal

## § 9.3 Chapter conclusion

This chapter proposed effective and feasible strategies for third sector intermediaries. A set of strategies (with their respective measures) was formulated based on the lessons of the case study analyses and validated for Chilean third sector organisations and municipalities. The result is the formulation of a revised proposal of strategies for third sector intermediaries.

The management challenges identified in Chapter 3 and the importance of enhancing the capacities of third sector intermediaries explored in Chapters 4, 7 and 8, led to seven goals for condominium intervention towards the intermediation (i.e. improving management conditions) and institutionalisation of third sector practices (i.e. improving the conditions under which the organisation intervenes). Strategies were formulated for each goal, using the lessons from the case study analyses. Strategies for intermediation were associated with a typology of management approaches (building project management, building process management, community project management, and community process management) and a typology of initial situations (challenging by condominium condition problems, favourable, unfavourable, and challenging by municipal problems).

The validation provided feedback per individual strategy, but also provided remarks regarding the effectiveness and feasibility of the strategies as a group. The main comments involved the importance of the interdependence of social and technical strategies to succeed, the existence of political interest and power conflicts between local organisations which have to be considered in the intervention, and the identification of service opportunities in strategies for long-term maintenance and conflict resolution.

CHAPTER 1 INTRODUCTION

I  
CONCEPTUALISATION

Low-income homeownership | Condominium management  
CHAPTER 2 | CHAPTER 3

Third sector as intermediary  
CHAPTER 4

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Case study design and selection  
CHAPTER 5

Case study A  
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III  
PROPOSAL

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CHAPTER 10 CONCLUSION

# 10 Conclusions

*This final chapter summarises the outcomes of the dissertation. Section 10.1 contains the answers to the research sub-questions and the main research question driving the overall project. Further reflection and discussion based on the results is presented in Section 10.2. Finally, the societal and scientific contributions of the research are given, along with the limitations of the defined scope. Recommendations for further development are drafted in order to expand the findings and potential applications within the field.*

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## § 10.1 Towards autonomous condominiums: multidimensional strategies, specialised organisations and institutionalisation

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### § 10.1.1 Answers to sub-questions

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#### What are the characteristics of the maintenance problem in Chile in the context of low income home ownership? [Chapter 02]

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The question sought to define the problem of housing maintenance in the context of low income homeownership in Santiago, Chile. Low-income home owners face financial and social constraints which are an important challenge to providing adequate maintenance. In the case of condominium tenure, individual needs are confronted with the collective good, entailing complex arrangements for collective decision-making and social relations. The fact of owning a property should lead to material progress, security and income opportunities to cope with poverty, however these benefits depend on the collective capacity of home owners to keep the property in good condition, and also on the opportunities and support generated by the context and its institutions. If these conditions are not guaranteed, low income households are at risk of experiencing unsuccessful ownership processes (i.e. new urban poverty and home-induced poverty) that may perpetuate poverty conditions.

Understanding the institutional, collective and individual challenges in relation to low income homeownership and housing maintenance, the characteristics of this problem in Chile involve the following. First, regarding the characteristics of the condominiums and their residents, **social condominiums - especially those built between 1980-2000- combine the worst initial quality and the most critical maintenance problems in the common property areas**. This situation is the result of a multi-causal problem which include construction and design deficiencies in the dwellings provided, the financial and social constraints of households, coexistence and cultural differences inside condominiums between residents with different backgrounds and deteriorated internal organisations.

Secondly, in terms of housing policies, **low income homeownership has been promoted by governments under precarious conditions and weak institutional support, contributing to unsuccessful ownership processes**. The government has guaranteed access to houses through subsidies and credit facilities, but the low quality



of this housing stock, especially social condominiums, and neighbourhoods in terms of location, design, and construction, prevented homeowners from experiencing successful ownership processes. Furthermore, there are no governmental policies or programmes focused on maintenance and management. Subsidies for condominium improvements do not provide either sustainable solutions or support for homeowners in the long-term, regarding collective management approaches.

Thirdly, all the **actors (profit and non-profit) and actions related to the improvement of social condominiums are developed in the framework of the subsidy programme and thus they are restricted by its conditions.** Whilst the availability of government resources has enabled the improvement of social condominiums, it has also defined one way to carry out these actions, establishing a clear but not necessarily efficient or effective model of intervention (e.g. maintenance approaches or strengthening social capital are not considered). The conditions of the subsidy benefit the participation of for-profit organisations that have adopted a market logic, and often neglect social goals. The subsidiary model has hindered the participation of third sector entities and municipalities, which are financially less competitive but socially more capable. In this regard, the relationship between the third sector and the government can be defined as instrumental (Delamaza, 2013; Espinoza, 2014; Pizarro, 2010), due to their role as executors of public policies in a project-based approach through public contests. This promotes competitiveness between the TS organisations, restricts their action capacity to the policy's goals and compromises their financial sustainability.

### What are the dimensions of condominium management? What are the particular challenges of these dimensions in the Chilean context? [Chapter 03]

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This question aimed to define housing management in the owner-occupied sector and identify the main management challenges faced by condominium residents in Chile. To answer this question, a theoretical approach was combined with the empirical input of stakeholders involved in condominium improvements: the residents, *entidades patrocinantes*, researchers and public servants.

The condominium is understood as common property resource, collectively managed by co-owners so as to maintain the quality of the built environment and to guarantee the value of the house as a productive asset. The management of privately-owned affordable condominiums is thus defined as a process with three main interrelated dimensions and elements: technical (related to the housing quality), organisational (related to governance and coordination of resources) and sociocultural (related to the attitude and relation between the residents). The dimensions involve internal elements that are related to the dynamics inside the condominiums and depend on

the co-owners as individuals and as a group. Contextual elements, that affect the management dimensions and are related to the institutional and legal conditions of the management are also identified. They depend on local and central policies and regulations.

The challenges in the Chilean context involve the three dimensions and are strongly interrelated. Although physical deterioration is the most urgent problem to deal with, sociocultural problems related to the knowledge and culture of maintenance, trust and individualism arose during the discussion as important triggers for organisational and technical problems. It is important to highlight five main interrelationships between dimensions: (1) culture and knowledge shortcomings regarding collective maintenance and co-ownership laws as triggers for the physical deterioration of the common property due to neglected maintenance and illegal occupations on the ground floor, (2) informal appropriations of common property on the ground floor as triggers of social conflicts between residents, (3) distrust in leaders and institutions impacting the organisation of a maintenance fund and the willingness to legalise the condominiums, (4) the extensions, as a result of cultural patterns of living, built as precarious solutions impacting the quality of the condominiums and triggering maintenance problems, and (5) the initial low-quality of the condominium in terms of size and constructed facilities, affecting the capacity of residents for action in relation to internal organisation and the mental wellbeing. The results of the analysis led to five areas of action for third sector organisations: (1) the upgrade of physical conditions of deteriorated condominiums, (2) the engagement of communities and consolidation of leadership with regards to maintenance and management, (3) the preparation of the community and their leaders to manage their properties, (4) professional support for long-term management, and (5) the promotion of better coexistence and reduction of conflict related to the use of the common property.

#### **What types of roles and interventions can be distinguished regarding the contribution of third sector organisations to the improvement of condominium management practices in deprived contexts? [Chapter 04]**

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The contribution of third sector organisations in condominium management was analysed from the perspective of social innovation (Defourny & Nyssens, 2014; Moulaert, MacCallum, Mehmood et al., 2014) and their capacity to be intermediaries at the local level, supporting deprived or excluded groups which have reached the limit of what they can achieve by themselves (Lee, 1998). In this regard, third sector organisations can be agents of social innovation in deprived territories by satisfying unmet social needs (i.e. overcoming market and state failures), by contributing to changes in social relations and by empowering vulnerable communities (i.e. increasing

their socio-political capability and access to resources). In this research, the third sector is defined as a hybrid and intermediate space, and is an umbrella definition for different types of organisations which are neither part of the commercial nor the public sector, such as social enterprises, NGOs, foundations, not-for-profit and non-profit organisations.

An analytical framework is proposed to understand how third sector practices can contribute to condominium interventions. This framework includes an organisation (which intermediates), a physical and social unit of intervention (the receptor) and a context where both are embedded. It also considers three main stages: initial situation, intermediation and results. The core of the framework is the intermediation which is described with three overlapping roles: implementers, catalysts and partners (adapted from Lewis (2002)). Implementers focus mainly on service and goods provision to improve the physical conditions of the built environment, and catalysts contribute to developmental change, focusing on improving co-owner capacities for condominium management. Partnerships focuses on improving the capacity of an organisation to carry out implementer or catalyst interventions through strategic alliances. These roles and sets of activities are used to understand how the third sector contributes to improving technical, organisational and/or sociocultural dimension of management.

Alongside the concept of intermediation, the framework includes the concept of institutionalisation. Institutionalisation describes the relationship between the organisation and the institutional framework (i.e. policies, public institutions, laws) in which the practice is embedded. This institutional context is defined as the engine of social innovation and might hinder or enable the potential to scale-up and increase the impact of socially innovative practices (Oosterlynck et al., 2013; Vicari & Tornaghi, 2014).

### **How does Proyecto Propio address condominium management problems? What are the lessons and limitations of this practice in the Chilean context? [Chapter 06]**

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f Proyecto Propio is a foundation focused on the improvement of deteriorated social condominiums in Santiago by carrying out the design and construction of condominium improvement projects for the common domain areas. The organisation focuses on the re-activation of distressed communities through a holistic approach, adopting an implementer and a catalyst role. The main contribution of the organisation as intermediary is in the development of interventions that embrace the social complexities of the context, which goes beyond the condominium, the inclusion of social innovative approaches (e.g. user involvement and participation, recognition of capacities of leaders and community) and the provision of a new starting point

for social condominiums, not only technically but also in terms of organisational structures and the action capacity of co-owners. The main pending areas are the design of a maintenance plan, strategies to solve problems of misuse of the common property (informal extensions or vacant lots), and sustainable financial models to ensure proper maintenance practices in the future.

Lessons derived from this case study focus on how to intermediate in contexts of inactive communities and limited resources. Lessons such as a systematic approach for condominium interventions and the selective training of leaders aim for efficiency in the use of resources. Lessons such as the identification and validation of existing leaderships and organisations, the participative design process, the concentration of resources in early phases and the recognition of resident capacities aim to be effective in engaging the community.

Limitations are related to the durability of the intervention considering the lack of specific action towards long-term maintenance; the problem of informal extensions that generate internal conflicts in condominiums which are overlooked by the organisation; and in terms of institutionalisation, the dependency on governmental subsidies under a project-based scheme.

Opportunities for specialisation and collaborations were identified from this case analysis, such as the existence of a niche for third sector participation in areas that remain unsolved, such as long-term maintenance, financial resources or conflict mediation, or opportunities for active collaboration with the municipality or other third sector organisations in the area. These opportunities were explored in the international case studies.

### **How does VVe-010 address condominium management problems? What are the lessons and limitations of this practice for the challenges identified in Chile? [Chapter 07]**

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VVe-010 is a foundation that provides insight into the role of the third sector as coordinator of a municipal programme in the area of Rotterdam Zuid to improve maintenance practices among VVs (homeowner associations) whose buildings show signs of deterioration. The programme focuses on a specific niche, providing a solution for the problem from a technical and organisational perspective. Apart from this approach, the programme is embedded in a major area-based intervention which combines municipal and national plans to improve the quality of life and social conditions of Rotterdam Zuid's residents. The main findings showed the capacity of the municipality for leading a top-down programme specialised in technical and

organisational management problems. In this approach the foundation is the main coordinator, partnering with different organisations to deliver specialised services. The foundation carries out the programme, adopting an implementer role to provide technical support for maintenance and administration and a catalyst role encouraging good maintenance practices using a “carrot and stick” approach. The main pending challenges are related to the balance between carrots and sticks, especially in the most complex social situations, and keeping communication clear between the organisation and the community when there are multiple organisations involved.

The main contributions for the Chilean context are the technical approach to the maintenance problem, establishing long-term actions, the capacity of the municipalities to look after the quality of the built environment and the advantages of alliances between specialised third sector organisations to tackle management problems. Most relevant lessons include the design of a customised maintenance plan based on a technical evaluation which is a roadmap for homeowners to provide future maintenance, the provision of affordable administration services as additional support for HOAs with organisational shortcomings, and the monitoring and certification of the financial capacity and legal status of the HOA after the intervention. Another lesson is that partnership with specialised organisations allows the foundation to keep a small permanent staff while enlarging its expertise.

Minor adaptations of the lessons for the Chilean context are related to the use of existing resources and institutions, but adjusting the emphasis regarding maintenance, municipal involvement and third sector collaboration, introducing the role of the TS ‘coordinator’. Medium adaptations consider upgrading existing public programmes, to include governmental incentives for municipalities and third sector organisations to partner, or increasing the responsibilities of municipalities regarding maintenance and management. Finally, major adaptations are related to institutional change, such as the restructuring of municipalities, change in the governmental vision for area-based approaches, and cultural and legal changes regarding the perception of maintenance as a duty.

### **How does SDV address social problems in condominiums and neighbourhoods? What are the lessons and limitations of this practice for the challenges identified in Chile? [Chapter 08]**

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Servicios de Dinamización Vecinal (*Services of Neighbourhood Activation*) is a programme coordinated by the Federation of Neighbourhood Associations in Madrid (FRAVM). It focuses on conflict resolution and the promotion of good coexistence in vulnerable neighbourhoods in Madrid. The case was analysed to explore the role

of local civil society organisations in bottom-up initiatives to address organisational and sociocultural problems at the condominium and neighbourhood level. The main findings show the institutionalisation of neighbourhood associations as community-led organisations at the neighbourhood level, which are effective in addressing local demands and communicating them at the city and regional level. The organisation adopts a catalyst role to address the neighbourhood requirements, promoting good practices for coexistence and strengthening leadership. The organisation adopts a partner role to carry out these practices by working in a network that uses the resources available in the neighbourhood.

The main contributions to the Chilean context concern the use of a bottom-up approach to address specific local needs in which neighbourhood associations are the managers of their own neighbourhoods, and the inclusion of conflict resolution as a pillar of the intervention. Lessons involve the flexibility of the programme to facilitate the connection of the intervention to the actual demands of the community, the role of the activators as social professionals and representatives of the organisation working in alliance with neighbourhood associations, and working in a network as a strategy to deal with scarce resources and solve complex problems. The use of conflict mediation activities ensure a better environment for the intervention.

Minor adaptations of the lessons to the Chilean context are related to the use of current organisations and resources involving neighbourhood associations and existing non-profit third sector organisations already working in the area. Another minor adaptation is the emphasis on the catalyst role. Medium adaptations are related to modifications in current public programmes, to include governmental incentives for cross-sector partnership and to increase financial resources and the influence of neighbourhood associations. Only one major adaptation was identified, regarding the creation of formal spaces of participation for neighbourhood associations at the municipal level. The main differences between the two contexts are related to the institutionalisation of neighbourhood associations and their capacity to lead, create and coordinate a programme.

### **To what extent are the proposed strategies feasible and effective according to Chilean stakeholders? [Chapter 9]**

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This question aims at proposing effective and feasible strategies for third sector intermediaries. To answer this question, a set of strategies (with their respective measures) was formulated based on the lessons of the case study analyses and validated with Chilean third sector organisations and municipalities.

The management challenges identified in Chapter 3 and the institutionalisation of third sector practices explored in Chapters 4, 7 and 8, led to seven goals for condominium intervention, aiming at intermediation (i.e. improving management conditions) and institutionalisation (i.e. improving the conditions under which the organisation intervenes). Strategies and measures were formulated for each goal by combining the lessons and practices adapted from the case study analyses. The goals and a summary of the main characteristics of the strategies are presented in Table 10.1. As shown in the table, the strategies for Goals G-1 to G-6 aim at intermediation, and their implementation depends on the third sector intermediary. Strategies for Goal G-7 aim at institutionalisation and their implementation depends on the Chilean local and central institutions.

The strategies as a group present an overview of actions that third sector intermediaries can use to improve condominium management conditions in Chile, with the aim of comprehensive interventions. These strategies don't have a predefined hierarchy. Their selection and the priorities for their application are defined by two main variables related to the context and to the organisation that carries them out. These variables are represented in two matrices that define the typologies of initial situations and management approaches. The typology of the initial situation describes the problems in condominiums according to the management conditions and the municipal capacity in relation to condominium management. Four types of initial situation were used to define general intervention guidelines to apply and prioritise the strategies: (i) challenging (condominium condition problem), (ii) favourable, (iii) unfavourable, and (iv) challenging (municipal capacity problem).

The typology of management approaches is defined by a combination of Lewi's role classification and the scope of the intervention. These approaches are overlapping and complementary ways to intermediate in social condominiums, meaning that one organisation could develop one or multiple approaches depending on its own characteristics and drivers. Four types of management approaches were defined: (i) building project management, (ii) building process management, (iii) community project management, and (iv) community process management.

The strategies are associated with the typologies. They are appropriate for the specific types of initial situations that the organisation faces before the intermediation and fit within specific management approaches.

#	GOALS	DESCRIPTION OF STRATEGIES
G-1	To improve built environment conditions, levelling the physical conditions of condominiums	<ul style="list-style-type: none"> <li>- Predominant approaches are building project management and community process management</li> <li>- Strategies are: the design and construction of a major physical improvement in condominiums in critical-poor condition, and access to architectural services to ensure the adequate construction of extensions and improvements in condominiums in regular condition.</li> </ul>
G-2	To activate passive communities and promote leadership	<ul style="list-style-type: none"> <li>- Predominant approaches are community process management followed by community project management.</li> <li>- Strategies are: the implementation of an extended activation phase to ensure better insertion in the neighbourhood, the identification of active leaders and organisations, progressive transference of responsibilities to co-owners during the project implementation, provision of a customised intervention according to technical, organisational or sociocultural needs.</li> </ul>
G-3	To provide training in condominium management	<ul style="list-style-type: none"> <li>- Predominant approaches are community project management, followed by community process management.</li> <li>- Strategies are: the inclusion of education activities to raise awareness about maintenance, training for administrative committees about management, information and advice regarding funding opportunities and training for residents to become professional administrators.</li> </ul>
G-4	To provide services for long-term administration and maintenance	<ul style="list-style-type: none"> <li>- Predominant approaches are building processes followed by community project approach.</li> <li>- Strategies are: administrative and legal support for condominium legalisation, design and implementation of a customised maintenance plan, service for condominium administration, social bank and micro loans for improvement or maintenance projects.</li> </ul>
G-5	To promote better coexistence and reduce conflict	<ul style="list-style-type: none"> <li>- Predominant approaches are community project management followed by community process.</li> <li>- Strategies are: activities to promote good coexistence in condominiums and neighbourhoods, social mediation for conflict resolution and legal advice regarding the use of the common property.</li> </ul>
G-6	To enhance the organisation's resources to intervene	<ul style="list-style-type: none"> <li>- Make efficient use of local resources to carry out the different approaches.</li> <li>- Strategies are: the development of systematic interventions in the same area to enhance the impact of the intervention, partnerships and work in network with existing organisations (coordinate, collaborate or hire), thematic working groups to solve specific problems in the same neighbourhood.</li> </ul>
G-7	To improve institutional capacity in relation to condominium management	<ul style="list-style-type: none"> <li>- Improve the institutional context in terms of regulations, governmental programmes and the capacities of local institutions.</li> <li>- Strategies are: including maintenance standards in current co-ownership law combined with condominium certifications, modifications in the subsidy programme, governmental support to improve municipal capacities regarding housing management, strengthening of neighbourhood associations.</li> </ul>

TABLE 10.1 Summary of goals and strategies for third sector organisations.

The strategies and the typologies were discussed with third sector organisations and municipalities in a validation process which evaluated the adequacy and importance



of the classification typologies, and the feasibility and effectiveness of the strategies. In addition to the individual feedback per set of strategies, additional remarks were made regarding the effectiveness and feasibility of the strategies in general: the importance of the interdependence of catalyst and implementer strategies to achieve effective results, the existence of political interests and power conflicts between local organisations that must be considered in the intervention, and the identification of service opportunities in strategies for long-term maintenance and conflict resolution. The typologies were considered adequate as descriptive frameworks providing a complete overview of initial situations and management approaches, but some limitations were identified in the systematisation of the strategies in relation to these typologies, especially because this relationship is more fruitful and straightforward for some variables and strategies than others.

## § 10.1.2 Answer for the main research question. Discussion and recommendations

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### What are feasible and effective strategies for third sector organisations to support Chilean low income homeowners in the management of social condominiums?

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The research investigated the problem of condominium maintenance faced by low income homeowners in Chile, introducing the role of third sector organisations as part of the solution. The research project identified areas of action for third sector intermediaries by analysing technical, organisational and sociocultural challenges in the management of social condominiums. After developing an analytical framework for third sector practices, the research explored local and international case studies as learning tools from which to draw lessons and formulate strategies adapted for the Chilean context. It concluded with a set of strategies derived from the lessons identified in the case study analyses, and two typologies of initial situation and management approaches to guide their application. The strategies and typologies were discussed in a validation session with Chilean stakeholders and the main results were described in Chapter 9.

Feasible and effective strategies by which third sector organisations can support low income homeowners in the management of social condominiums are multi-dimensional so as to tackle the interrelated challenges, and are developed in the capacity of third sector organisations as intermediaries, meaning that they respond to catalyst and implementer roles to address management challenges at the condominium level by contributing to enhance the community's capacities and

level the built environment conditions. A partnership role is included to address the social complexity of deprived neighbourhoods, and also to foster the specialisation of third sector organisations and collaboration between local public and private organisations. Altogether, the strategies seek to create autonomous condominiums in which homeowners have the tools and the abilities to maintain an internal organisation, and have access to professional services that allow them to provide adequate maintenance in the long term, and manage the existing but limited resources efficiently. Community-related approaches are predominant, aiming at strengthening the organisation and building capacity with respect to the use of the built environment, but also providing specific tools and services for conflict resolution and administration. In order to reverse deep deterioration processes and ensure quality in the built environment, building-related approaches are included. They are focused on providing technical support and professional services in projects of architecture and construction, but also in the design and implementation of a customised maintenance plan for long-term processes. Given the importance of the institutional context during the intermediation, strategies are included to improve the capacities of municipalities and regulations about maintenance.

### Recommendations for the strategies proposed

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This section is a further step after validation, which expands on recommendations, acknowledging the observations provided during the discussion. An integral intervention in a condominium would require action in the seven goals by adopting all four approaches, but it would also require prioritisation regarding how and when the strategies are applied. Figure 39 shows the matrix of the initial conditions in which the management approaches are positioned in each quadrant of initial situations in order to give priority to the strategies for intermediation. Given the importance of the municipal capacity as a barrier or enabler during the intermediation, the scheme also shows one of the strategies for the institutionalisation of TS practices, which focuses on improving municipal capacity for condominium management. In this matrix, the interventions move progressively from unfavourable to favourable initial conditions for both the condominium and the municipality. The following points will expand on recommendations for the priorities and possibilities of third sector participation from the perspective of the intermediation and the institutionalisation.

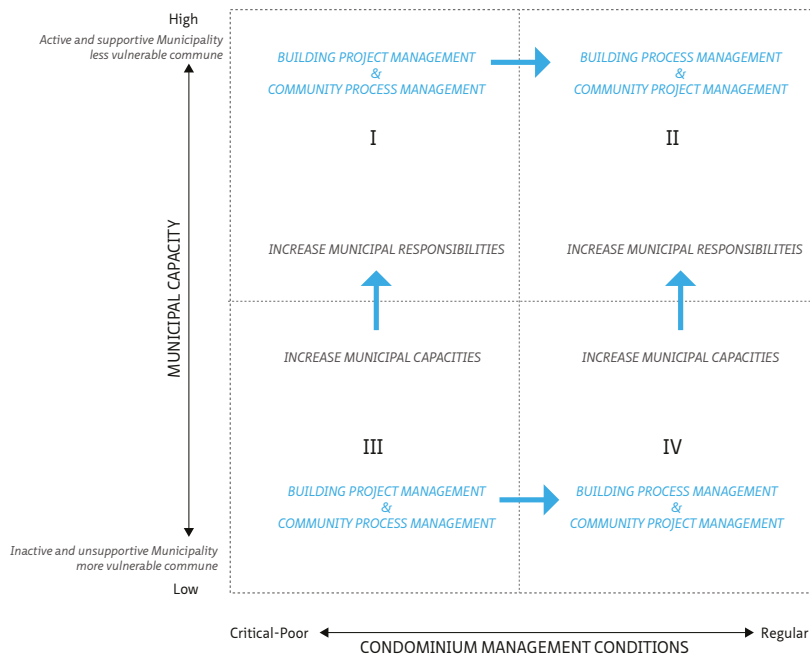


FIGURE 10.1 Priorities for approaches and their respective strategies according to types of initial conditions. Source: author's elaboration.

### Intermediation: the use of initial situations to prioritise management approaches

As previously stated, condominiums in either critical-poor or regular condition require interventions in the six goals. It is possible to prioritise some approaches and strategies according to the condominium conditions.

*Community process management and building project management approaches in condominiums in critical-poor condition.* Highly deteriorated condominiums require a first initial step to achieve conditions that enable maintenance practices. This means solving structural problems in the technical dimension but also consolidating leadership, and the main organisational structures, who will take the lead in future maintenance processes, and raise awareness among the community about maintenance practices and good coexistence. Key strategies are:

- Identifying and contacting natural leaders and organisations at the condominium and neighbourhood level [S-2.3; S-2.4]

- Extended preparation phase to increase community engagement [S-2.2]
- Design and construction of a major improvement project with participative processes [S-1.1]
- Progressive transference of responsibilities to the community [S-2.6]
- Information about maintenance activities [S-3.1]
- Activities to promote good coexistence in condominiums and neighbourhoods [S-5.1]

*Building process management and community project management approaches in condominiums in regular condition.* Condominiums that are formalised and in regular condition can be maintained. In these cases, the priority is to maintain the achieved quality and boost management practices by providing tools, access to resources and services to carry out maintenance in the long term. Key strategies are:

- Design and implementation of a customised maintenance (and financial) plan [S-4.2]
- Information and advice to apply for new funding opportunities [S-3.3] and/or social bank for condominium projects [S-4.4]
- Formation of local administrators [S-3.4] and/or affordable services for condominium administration [S-4.3]
- Legal advice regarding the use of the condominium [S-5.3]
- Social mediation for conflict resolution [S-5.2]

### **Intermediation: partnerships to face complex areas and foster collaboration and specialisation**

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Integral interventions need multiple approaches, which can be adopted by multiple organisations. Given the diverse intervention goals, finding one organisation able to provide the different approaches and respective strategies with their own resources in an effective way is unlikely. The benefits of partnerships have been extensively analysed in the case studies (i.e. efficient use of local resources, expertise and networks) and are already considered by some Chilean organisations when working together with municipalities and neighbourhood associations. Although there are still some barriers to overcome in the association of third sector organisations, an improvement of the institutional conditions can facilitate and promote these associations. Two main opportunities for cooperation and partnership are identified, in both there is one organisation who is the coordinator of the whole intervention and the visible face towards the community:

- Third sector coordination in situations with lower municipal capacity. In initially less supportive conditions the leadership relies on the TS, and the municipality is a collaborator. A third sector organisation takes leadership of the intervention, with two alternatives depending on the richness of the neighbourhood or municipality in

terms of social organisations. The TS coordinator hires other organisations to take over specific areas, or the TS coordinates its work with other organisations already intervening in the area. These organisations can be the traditional TS (associations or foundations), but also local and functional organisations such as neighbourhood associations.

- Municipal coordination in situations with higher municipal capacity. In more supportive conditions, the municipality is a strong partner with which to collaborate and divide responsibilities. *It* may have the overall vision of the intervention and coordinates the performance of different third sector organisations during the process.

### **Institutionalisation: municipal capacity, neighbourhood associations and regulatory frameworks**

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In addition to increasing municipal capacity and responsibilities for housing management, strategies aimed at institutionalisation, such as the consolidation of regulatory frameworks for maintenance standards, policies and incentives that facilitate the access of third sector organisations to resources, or the strengthening of neighbourhood associations are necessary to achieve better initial conditions which impact positively on the intermediation. For instance, if neighbourhood associations and administrative committees are coordinated, there is more likelihood that bottom-up initiatives will emerge, in which these organisations can eventually assume the coordination of the interventions in their own condominiums.

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## **§ 10.2 Concluding remarks**

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### **§ 10.2.1 Research contribution**

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#### **Societal contribution**

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This dissertation has demonstrated that third sector organisations may play an important role in improving the management of social condominiums. Third sector organisations in Chile are experiencing an important increase in both numbers and also in their composition, which leads to opportunities for diversification and

specialisation. The inclusion of social innovation values, their hybrid condition between the market, society and the state, and their capacity to cope with political and social changes, position them as a competitive alternative for providing services for deprived communities.

This research has also discussed third sector organisations beyond their role as vehicles of housing policies, exploring different approaches to intermediation in the field of condominium management. These approaches are built on a combination of implementer or catalyst roles, and targeted or comprehensive scopes. The suggested approaches and their respective strategies demonstrate opportunities to identify new areas of action, to foster cooperation between third sector organisations and promote cross-sector collaboration, especially with municipalities. Finally, the use of this research and its output can inspire third sector practitioners and local governments to introduce additional strategies that might facilitate interventions in social condominiums. Although the strategies are focused on third sector intermediaries, the final goal of this research is to impact the quality of life of condominium residents by improving management practices.

### Scientific contribution

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The dissertation contributes to filling two knowledge gaps in the Chilean and Latin American literature regarding low income homeownership and housing maintenance. Firstly, it expands and explores the concept of housing management, and specifically condominium management, in the affordable owner-occupied sector, taking a multidimensional perspective including technical, organisational and sociocultural challenges. Secondly, it adopts a problem-solving approach, by exploring the role of third sector intermediaries in the context of social innovation as part of the solution for improving management practices in social condominiums. The thesis proposes strategies for better management practices, and also expands the current potential of the third sector by identifying it as a relevant stakeholder in the field of housing management, and one that might be able to provide feasible and effective measures. The combination of the concepts of condominium management in the owner-occupied sector and third sector intermediaries, has rarely been explored in the local and regional housing debate, and is an alternative and novel approach to the maintenance problems in affordable housing stock.

Two main theoretical approaches have traditionally dominated the literature regarding Chilean social housing: the approach focused on the social struggle and activism of residents (pobladores) for the access to a house; and the institutional approach focused on housing policies and the governmental responsibility with regards the provision

of affordable and adequate housing. The use of the concepts of third sector as hybrid organisations and social innovation in deprived contexts, contributes to enrich the housing debate from a third approach between the top-down and the bottom-up debate. First, it identifies the existence of unmet needs which are not being solved by the existent stakeholders. This leads to the relevance of the intermediation while recognising communities capacities but also limitations to solve their needs. This intermediary is defined by the hybrid and adaptive capacity of the third sector to take up contemporary challenges while being driven by social goals. Second, it places the focus on the innovation in the social relations with emphasis in the process and not only in the final result. The solution, thus, is related to provide a tangible product but also to enable residents to take control over their built environment. Third, it highlights the influence of the institutional context to promote social innovation and generate structural transformations.

The use of international frameworks developed in the northern literature has also limitations for the understanding of local phenomena. In this regard, while this thesis contributes to position these concepts in the housing debate in a broader perspective, it also shows the need of building local theory regarding the characteristics and drivers of the Chilean third sector in the field of housing, and the particular characteristic of social innovative practices in the context of housing management. The in-depth analysis of the local case study contributed to shed some lights regarding specific local dynamics that affect third sector practices. Nonetheless, the development of a local theory of third sector and social innovation would contribute to a better understanding of the impact of these situations in the process and outcomes expected, such as the long-term effects of intergenerational cohabitation (*allegamiento*) in condominium management, the dynamics and tensions between formal and informal community organisations, groups and institutions in the neighbourhood; or to understand how does the instrumental relationship between the government and the third sector define the development of social innovation.

A second contribution is the development of an analytical framework with which to describe and assess the practices of third sector intermediaries. The use of this framework in the case study analyses provided in-depth information about the current roles, strategies and results of third sector intermediaries. This framework can also be useful to these organisations for self-assessment purposes. The output using the framework contributed to an understanding of the actual practices of third sector organisations in the field of condominium management in the owner-occupied sector from the perspective of the organisation and the users.

Finally, this research built on previous knowledge and methods in lesson-drawing and transferability. The combination of an analytical framework, lesson-drawing, and transferability analysis provided a systematic path with which to analyse, extract

lessons and formulate adapted practices from international experiences. This also produced three clear outputs: firstly, the analytical framework as a tool to assess the practices of intermediary organisations; secondly, a set of lessons for condominium interventions as an overview of lessons; and thirdly, a set of practices adapted for the Chilean context.

## § 10.2.2 Limitations and recommendation for further development

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There are two main limitations regarding the final results of this dissertation. The strategies were designed in response to the challenges identified in Chilean social condominiums, and therefore, the applicability of these strategies is limited to the Chilean context. The exploration of the third sector and their role in potential solutions, following a systematic research approach, may still be useful for developing strategies in contexts of similar maintenance problems in the owner-occupied sector. For instance, the approach of this research to improving housing quality and preventing further deterioration might be valuable for other Latin American countries (e.g. Brazil, Ecuador or Colombia) in which social stock was produced under similar policies and now shows signs of deterioration and neglected maintenance.

A second limitation is related to the validation process. The term 'validation' is used in this research to discuss the feasibility and effectiveness of the strategies proposed by third sector professionals, complemented by the vision of municipalities. The aim was to ground the strategies and identify possible implementation barriers. The results of this validation are strategies that have been accepted and assessed by potential implementers and are therefore more likely to be effective and feasible in real conditions, however a comprehensive validation of the strategies would have to include a practical test with third sector organisations and condominium residents. The practical validation was therefore disregarded because, in order to be effective, it would involve a long-term process to measure actual changes in the community. This process was not part of the PhD timeframe or focus.

An action-research approach would be a logical follow-up to explore the implementation possibilities and constraints of a real case. A pilot, developed in cooperation between third sector organisations, municipality, and residents, might be fruitful to measure the effect of the strategies. How are the strategies carried out by intermediaries and received by the residents in relation to the barriers identified? To what extent do the strategies generate long-term changes regarding maintenance and management by the community?



The research focused on the role of third sector organisations to improve the management of Chilean social condominiums. The research referred to the third sector via a broad definition that included associations, foundations, social enterprises and local and community-functional organisations. No significant distinction was therefore made between the type of third sector actors, however it would be interesting to understand the possibilities and the limitations of the approaches and strategies according to the distinct characteristics of each type of third sector intermediary. Most strategies in this research are focused on third sector organisations that are 'external' organisations with respect to the community. Further developments could focus on bottom-up approaches and the role that community organisations, such as neighbourhood associations, may have in the management of their own neighbourhoods and condominiums.

This thesis analysed and proposed possible solutions for an urgent and increasing problem in the Chilean context, regarding the maintenance of owner-occupied social condominiums. It is expected that, in addition to the problem-solving approach, the dissertation will contribute to the housing debate from the perspective of management. Municipalities in Santiago, encouraged by the central government, have recently proposed social rental options which have positioned different models of affordable housing provision in the public agenda and debate. Whilst this offers an opportunity for re-shaping the actual system, it also strengthens the importance of developing local understandings of housing management definitions, actors, and models, for either the social rental or affordable owner-occupied sectors.



## Appendix A Exploratory interviews

Exploratory interviews were carried out in two separate fieldworks. The first fieldwork was performed in Chile during February and March 2015 and consisted on individual interviews with key external stakeholders involved in maintenance activities. The output was used in Chapter 2 and Chapter 3. The second fieldwork was performed in Chile in January 2016 and consisted in a group interview with social condominium's residents. Information about the participants and the questionnaire in the following sections. The output was used in Chapter 3.

### Individual interviews

#	POSITION	INSTITUTION	TYPE
1	Coordinator Department of Housing Policy Design (Depto. Diseño y Desarrollo de Programas Habitacionales)	Ministry of Housing and Urbanism (MINVU)	Central Government
2	Social Coordinator of the Programme for the Improvement of Social Condominiums (PMCS)	Ministry of Housing and Urbanism (MINVU)	Central Government
3	Coordinator Programme of Protection of Family Patrimony (PPPF)	Housing and Urbanisation Services (SERVIU)	Central Government
4	Professional Programme of Protection of Family Patrimony (PPPF)	Housing and Urbanisation Services (SERVIU)	Central Government
5	Professional Programme of Neighbourhood Improvement (PQMB)	Housing and Urbanisation Services (SERVIU)	Central Government
6	Researcher and consultant with expertise in land policy and social housing policies	ProUrbana. Centro de Políticas Públicas UC	Research centre
7	Researcher and professor with expertise in civil society organisations, social condominiums and citizen participation	Pontificia Universidad Católica de Chile	Academia
8	Researcher and professor with expertise in social housing, habitability and social vulnerability	Pontificia Universidad Católica de Chile	Academia
9	Funding partner and architect with expertise implementing subsidies for housing and condominium improvements	Arcoestudio	Entidad Patrocinante-For-profit

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#	POSITION	INSTITUTION	TYPE
10	Architect with expertise implementing subsidies for housing and condominium improvements.	Arcoestudio	Entidad Patrocinante-For-profit
11	Architect with expertise in implementing subsidies for housing and condominium improvements	LRS arquitectos	Entidad Patrocinante-For-profit
12	Coordinator of habitability department in a non-profit organisation with expertise in vulnerable neighbourhoods	Fundación Junto al Barrio	Entidad Patrocinante-Non-profit
13	Executive director of a foundation with expertise in vulnerable contexts and social condominiums	Fundación Proyecto Propio	Entidad Patrocinante-Non-profit
14	Coordinator of municipal housing department	Municipalidad Lo Prado	Entidad Patrocinante-Municipality
15	Coordinator of technical division at municipal housing department	Municipalidad de Peñalolén	Entidad Patrocinante-Municipality

TABLE APP.A.1 Individual interviews conducted in February- March 2015. Information about participants Part I: Housing management challenges, chapter 3

PART I- QUESTIONNAIRE	
Q#1	What, in your opinion, are the main technical problems/issues of housing management* in Chile?
Q#2	What in your opinion, are the main organisational problems/issues of housing management* in Chile?
Q#3	What, in your opinion, are the main social/cultural problems of housing management* in Chile?
Q#4	Do you think that there are other types of problems/issues which are not considered in the previous categories? Which are they?
Q#5	If you had to order hierarchically the problems mentioned. What would be the main three problems?
Q#6	What should be, in your opinion, the course of action to improve housing maintenance in Chile? Which are the opportunities and threats?

\* The questions were formulated in Spanish using the concept of housing maintenance and administration (*mantenimiento y administración*) instead of management. In Chile housing management (*gestión de la vivienda*) is an emergent field and therefore, the concept is not commonly used by stakeholders to refer to the upkeep and administration of the housing stock.

TABLE APP.A.2 Questionnaire individual interviews conducted in February- March 2015.

PART II – QUESTIONNAIRE		Academia	Central Government	Entidades Patrocinantes
Q#7	Considering subsidies focused on existing housing stock. What are the strengths and weaknesses of the model?			
Q#8	What is your opinion about the current role of intermediaries organisations in the maintenance of the housing stock? Which are the strengths and weakness?			
Q#9	How can these organisations have a more important role in the maintenance process for low-income homeowners? Which are the opportunities and threats			
Q#10	Does the subsidy programme incorporate homeowners/ community participation in the process? How?			
Q#11	Does the subsidy programme achieve housing and neighbourhood quality as part of the results? How?			
Q#12	Does the model implement an effective management and organisational strategy? How?			
Q#13	Does (name of the organization) participate in housing maintenance/ neighbourhood renovation activities? What type of activities?			
Q#14	How does (name of organization)'s model work? Could you describe the main steps within the process and the organisational structure?			
Q#15	How do you incorporate homeowners/ community participation in the process? How do you measure it?			
Q#16	How do you achieve high quality results in housing and neighbourhood maintenance? How do you measure it?			
Q#17	What does (name of organisation) need to increase its participation in housing maintenance activities?			

TABLE APP.A.3 Questionnaire individual interviews conducted in February- March 2015.  
Part II: Characteristics of *Entidades Patrocinantes* and evaluation of subsidy programmes (PPPF and PMCS), chapter 2

## Group Interview

#	PARTICIPANT	HOUSING COMPLEX (VILLA) - CONDOMINIUM (COPROPIEDAD)	TYPE OF PSAT ENTIDAD PATROCINANTE
1	A (man)	Arturo	Municipality
2	B (woman)	Teniente Cruz-2	Private-Profit
3	C (woman)	Reconquista-3	Private-Profit
4	D (woman)	Reconquista-4	Private-Profit
5	E (woman)	Reconquista-4	Private-Profit
6	F (woman)	Reconquista-4	Private-Profit
7	G (woman)	Neptuno -3	Private-Profit
8	H (man)	Neptuno -4	Private-Profit
9	I (man)	Neptuno -1	Private-Profit

TABLE APP.A.4 Information of participants group interview conducted in January 2016

QUESTIONS	
Q#1	When we talk about housing maintenance, which activities come to your mind?
Q#2	How do you maintain your dwellings, which activities do you do regularly and occasionally?
Q#3	What were the main management problems* before the improvement of the condominium?
Q#4	What are the main management problems* now, after the improvement of the condominium?
Q#5	How was the experience with the entidad patrocinante that carried out the improvement in your condominium? How do you evaluate it?
Q#6	How did you participate in the improvement process?
Q#7	What did you learn from the improvement process?

\* The questions were formulated in Spanish using the concept of housing maintenance and administration (mantenimiento y administración) instead of management. In Chile housing management (gestión de la vivienda) is an emergent field and therefore, the concept is not commonly used by stakeholders to refer to the upkeep and administration of the housing stock.

TABLE APP.A.5 Questionnaire group interview conducted in January 2016, chapter 3

## Appendix B Case studies

The first part of this appendix contains information about the characteristics of the first selection of case studies. The second part includes the questionnaire for data collection of the three selected cases and information about the participants.

### Case study selection.

#### Phase I: Database of local and international case studies

#	LOCAL CASE	RELEVANCE				DIVERSITY	
		Intermediation	Target group	Goals & activities	Collective management	Social innovation	Participation
1	Urbanismo Social	Foundation	Vulnerable neighbourhoods	Develop housing and neighbourhood projects through the model of Preventive Social Urbanism, which foster social participative and sustainable processes in order to increase the happiness of the community. Activities: <ul style="list-style-type: none"> <li>- Design and construction of condominium improvement projects as part of a neighbourhood strategy.</li> <li>- Support for organising condominium administrations and leadership</li> <li>- Provide information about condominium tenure and maintenance practices.</li> </ul>	Yes, Condominiums and neighbourhoods	<ul style="list-style-type: none"> <li>- User involvement</li> <li>- User perspective</li> <li>- Multidimensional approach</li> </ul>	Specialised organisation

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#	LOCAL CASE	RELEVANCE					DIVERSITY
		Intermediation	Target group	Goals & activities	Collective management	Social innovation	Participation
2	Proyecto Propio	Foundation	High-deteriorated social condominiums in vulnerable neighbourhoods	<p>Enable access to knowledge and to mechanisms and processes that help a community develop its own projects.</p> <p>Activities:</p> <ul style="list-style-type: none"> <li>- Design and construction of condominium improvement projects including participatory methods.</li> <li>- Support for organising condominium administrations and leadership</li> <li>- Training for condominium administrative committees</li> <li>- Provide information about condominium tenure and maintenance practices for co-owners</li> </ul>	Yes, Condominiums	<ul style="list-style-type: none"> <li>- User involvement</li> <li>- User perspective</li> <li>-Multidimensional approach</li> </ul>	Specialised organisation
3	Habitat para la Humanidad Chile	ONG	High-deteriorated social condominiums in vulnerable neighbourhoods	<p>Promote better living conditions to families and communities in three main areas: social management, technical assistance and disaster response</p> <p>Activities:</p> <ul style="list-style-type: none"> <li>- Design and construction of condominium improvement projects.</li> <li>- Support for organising condominium administrations</li> <li>- Formation of community leaders</li> <li>- Educational programmes focusing on maintenance practices, good use of the built environment and water management, among others.</li> </ul>	Yes, Condominiums	<ul style="list-style-type: none"> <li>- User involvement</li> <li>- User perspective</li> <li>-Multidimensional approach</li> </ul>	Specialised organisation

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#	LOCAL CASE	RELEVANCE					DIVERSITY
		Intermediation	Target group	Goals & activities	Collective management	Social innovation	Participation
4	Junto al Barrio	Foundation	Vulnerable neighbourhoods	<p>Promote community empowerment, supporting citizen participation and processes of public-private collaboration at the neighbourhood level.</p> <p>Activities:</p> <ul style="list-style-type: none"> <li>- Encourage the involvement and participation of residents in local initiatives and decision making in their neighbourhood.</li> <li>- To establish an Agenda of Local Development with the community to guide the work for the three or more coming years.</li> </ul>	Yes, Condominiums and neighbourhoods	<ul style="list-style-type: none"> <li>- User involvement</li> <li>- User perspective</li> <li>- Multidimensional approach</li> </ul>	Specialised organisation
5	Open air museum San Miguel	Community-functional organisation	Vulnerable neighbourhoods	<p>Improve the quality of the public spaces and community participation in deteriorated neighbourhoods with artistic and cultural projects.</p> <p>Activities:</p> <ul style="list-style-type: none"> <li>- Murals in deteriorated social condominiums by renowned national and international artists.</li> <li>- Cultural workshops for the community.</li> <li>- Art festivals.</li> </ul>	Yes, Neighbourhoods	<ul style="list-style-type: none"> <li>- User involvement</li> <li>- User perspective</li> <li>- Cross-sector collaboration</li> </ul>	Single intervention

TABLE APP.B.1 Local case studies for initial database. The columns include the information according to the selection criteria.

#	INTERNAT. CASE	RELEVANCE				DIVERSITY		
		Intermediation	Target group	Goals & activities	Collective management	Social innovation	Participation	Geography
1	HOME: Empowering grass-root homeowners associations	NGO	Condominiums with neglected maintenance and deterioration	<p>Support residents in organising an effective administration of their apartment buildings through the establishment of 10 Technical Advisory Centres (TACs)</p> <p>Activities:</p> <ul style="list-style-type: none"> <li>- Increase the knowledge and awareness of citizens about their property rights, principles and activities of homeowners' associations (HOAs).</li> <li>- Organise and conduct seminars and trainings on topics related to HOAs.</li> <li>- Support the organization, implementation and participation of HOA meetings.</li> <li>- Individual consulting and training of local residents</li> </ul>	Yes Condominiums	<ul style="list-style-type: none"> <li>- User involvement</li> <li>- User perspective</li> <li>- Cross-sector collaboration</li> </ul>	Public programme	East Europe-Germany, Azerbaijan, Belarus, Georgia, Moldova and Ukraine
2	La Bezindalla	Cooperative	Condominiums in vulnerable areas	<p>Improve the relationships between groups, communities and neighbourhoods and contribute to social transformation and independent communities</p> <p>Activities:</p> <ul style="list-style-type: none"> <li>- Mediation services for homeowners' associations</li> <li>- Support and mediation for conflict resolution in condominiums</li> <li>- Organisational advice for community organisations</li> <li>- Participatory education processes (information about condominium management, communication skills)</li> </ul>	Yes Condominiums	<ul style="list-style-type: none"> <li>- User involvement</li> <li>- User perspective</li> </ul>	Specialised organisation	South Europe-Zaragoza, Spain

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#	INTERNAT. CASE	RELEVANCE				DIVERSITY		
		Intermediation	Target group	Goals & activities	Collective management	Social innovation	Participation	Geography
3	Oud-Mathenesse – Woonbron	housing association	Condominiums in vulnerable neighbourhoods	Experimental project to support HOAs in the maintenance and administration of their buildings as co-owners Activities: - Improve capacity building of the community and neighbourhood associations. - Promote participation in neighbourhood / condominium activities. - Provide tools for managing conflicts between neighbours.	Yes Condominiums	- User involvement - Streamlining	Single intervention	Central Europe – Rotterdam, The Netherlands
4	Servicio de Dinamización Vecinal (SDV)	Neighbourhood associations	Vulnerable neighbourhoods with social conflicts	Contribute to a positive coexistence in neighborhoods in order to establish active, independent and self-organised communities Activities: - Improve capacity building of the community and neighbourhood associations. - Promote participation in neighbourhood / condominium activities. - Provide tools for managing conflicts between neighbours.	Yes, Neighbourhoods and condominiums	- User involvement - User perspective - Cross-sector collaboration	Public programme	South Europe – Madrid, Spain
5	VVE-010	Foundation	Condominiums with neglected maintenance and inactive organisation in vulnerable neighbourhoods	Improve maintenance practices among homeowners' associations by providing administrative information and technical advice. Activities: - Technical upgrade of 41 condominiums - Improvement at the public space - Inclusion of community participation during the process	Yes, Condominiums	- User involvement - Cross-sector collaboration - Streamlining	Public programme	Central Europe- Rotterdam, The Netherlands

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#	INTERNAT. CASE	RELEVANCE				DIVERSITY		
		Intermediation	Target group	Goals & activities	Collective management	Social innovation	Participation	Geography
6	Lourdes Renove	cross-sector partnership	Condominiums with deterioration	Energy upgrading of old neighbourhoods by supporting local communities to reduce CO2 emissions Activities: - Technical upgrade of 41 condominiums - Improvement at the public space - Inclusion of community participation during the process.	Yes, Condominiums	- User involvement - Cross-sector collaboration	Single intervention	South Europe – Tudela, Spain

TABLE APP.B.2 Table 2. International case studies for initial database. The columns include the information according to the selection criteria.

## Case study Data collection

ANALYTICAL FRAMEWORK SECTION	VARIABLES	QUESTIONS	INTERVIEWEE	LEVEL
INITIAL SITUATION Management dimensions	Classification of the problems according to housing management dimensions	Considering three categories of housing management problems. What are the main technical, problems? What are the main organisational problems? What are the main sociocultural problems?	Director/ manager  Project manager and/or Social worker	Organisation  Condominium/ neighbourhood
		Before the intervention, What were the main management and maintenance problems?	Homeowners	Condominium/ neighbourhood
INITIAL SITUATION Organisation's characteristics	Descriptor variables	What is the profit objective and legal structure of the organisation?	Director/ manager	Organisation
		Does the money come from the government, private sector or residents?, in what way?		
		Could you describe the organisational structure and the governance model?		
	Motivator variables	What is the vision/role of the organisation? What are the main goals?	Director/ manager  Project manager and/or Social worker	Organisation
INTERMEDIA-TION Role and strategies	Organisation's role	How is your strategy to approach to the community? Do you catalyse, implement?, Do you include partnerships?	Director/ manager	Organisation
INTERMEDIA-TION Process	Description of the process and activities	What are the activities that the organisation carry out to achieve the goals? Can you describe the process?	Director/ manager  Project manager and/or Social worker	Organisation  Condominium/ neighbourhood
		How did you know about the organisation? Did you contact them or Did they contact you?	Homeowners	Condominium/ neighbourhood
		How did you participate in the activities developed by the organisation?		
		Are you satisfied with the level of participation in the activities? Why?		
		What did you learn during the process?		

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ANALYTICAL FRAMEWORK SECTION	VARIABLES	QUESTIONS	INTERVIEWEE	LEVEL
INTERMEDIATION Barriers and enablers	Barriers and Enablers related to the organisation, the context and the condominium	What are the main barriers and enablers that affect the process?	Director/ manager	Organisation
			Project manager and/or Social worker	Condominium/ Neighbourhood
			Homeowners	Condominium/ neighbourhood
RESULTS	Problem-solving	Were the problems solved? Could you mention some examples?	Project manager	Condominium/ Neighbourhood
		Were the solutions implemented and the goals achieved within the time and cost expected?	Project manager	Condominium/ Neighbourhood
		Were the main problems solved after the organisations' intervention? Can you mention some examples?	Homeowners	Condominium/ Neighbourhood
	Success parameters	What are the successful factors for the organisation?	Director/ manager	Organisation
			Project manager	Condominium/ Neighbourhood
		Could you describe a particular case that represents a successful result?	Director/ manager	Organisation
	User's satisfaction	How do you evaluate the (name of the project) ? Why? Do you think that the management of the complex have improved? Why? Have the community/ homeowners' associations developed new projects?	Project manager	Condominium/ Neighbourhood
			Homeowners	Condominium/ Neighbourhood

TABLE APP.B.3 Questionnaire for organisation's professionals and homeowners

#	PARTICIPANT'S DESCRIPTION	CASE STUDY
1	Executive director. Funding partner	Proyecto Propio
2	Social director. Funding partner	Proyecto Propio
3	Architect in charge of technical projects in condominiums' improvements	Proyecto Propio
4	Social worker in charge of social process in condominiums' improvements	Proyecto Propio
5	Neighbour 1 - Chairman of administrative committee - Neighbourhood Vicente Huidobro	Proyecto Propio
6	Neighbour 2 - Chairman of administrative committee - Neighbourhood Valle de la Luna	Proyecto Propio
7	Neighbour 3 - Chairman of administrative committee - Neighbourhood Valle de la Luna	Proyecto Propio
8	Neighbour 4 - Homeowner - Neighbourhood Valle de la Luna	Proyecto Propio
9	Neighbour 5 - Homeowner - Neighbourhood Valle de la Luna	Proyecto Propio
10	Director	VVE-010
11	Former director	VVE-010
12	Municipality of Rotterdam. Policy advisor	VVE-010
13	Director STEEDS	VVE-010
14	Neighbour 1 - Homeowner	VVE-010
15	Neighbour 2 - Homeowner	VVE-010
16	Neighbour 3 - Homeowner	VVE-010
17	Neighbour 4 - Homeowner	VVE-010
18	General coordinator	SDV
19	Project manager. Neighbourhood Pau de Vallecas	SDV
20	Project manager. Neighbourhood Valdebernardo	SDV
21	Project manager. Neighbourhood Lavapiés	SDV
22	Coordinator of urban and housing area (FRAVM)	SDV
23	Neighbour 1 - Member of neighbour's association Valdebernardo	SDV
24	Neighbour 2 - Member of neighbour's association - PAU de Vallecas	SDV
25	Neighbour 3 - Member of neighbour's association - PAU de Vallecas	SDV
26	Neighbour 4 - Member of neighbour's association - PAU de Vallecas	SDV

TABLE APP.B.4 List of interviewees organised per case study

#	INTERVIEWEES	ORGANISATION /INSTITUTION
1	Mari Carmen Martinez, Funding partner	La Bezindalla, Zaragoza, Spain
2	Jesus Leal, professor	Universidad Complutense, Madrid, Spain
3	Anthonie Mullie, Project manager	Woonbron, Rotterdam, The Netherlands
4	Victor Dreissen, Project manager	Woonbron, Rotterdam, The Netherlands,
5	Douwe Wilenga	Private consultancy, The Hague, The Netherlands
6	Gerco van Maanen	Gedeeld Eigendom, Utrecht, The Netherlands
7	Mirjam van Oosterhout	VVE-010 and Woonstad, Rotterdam, The Netherlands
8	Francine de Hoop	Den Haag Balie, The Hague, The Netherlands
9	Johann Strese	HOME, Germany
10	Paola Siclari	Consultancy, Santiago, Chile
11	Karen Saavedra	Programme for the Improvement of Social Condomini- ums. MINVU
12	Monica Bustos	Executive Secretary of Neighbourhoods. MINVU

TABLE APP.B.5 Additional interviews during the case study selection



## Appendix C Validation

ORGANISATION	MAIN ACTIVITY	PARTICIPATION	INTERVIEWEE(S)
A	Community development and neighbourhood improvement. No especial unit for social condominiums, but experience in leadership and neighbourhood renovation.	Yes	Executive director
B	Community development and neighbourhood improvement. Area focused on improve social condominiums.	Yes	Executive director Director of housing management area
C	Housing and neighbourhood improvement. Area focused on improve social condominiums	Yes	Coordinator of social condominium programme
D	Housing and neighbourhood improvement. Area focused on social condominiums.	Declined	-
E	Community development and neighbourhood cohesion.	Declined	-

TABLE APP.C.1 Participants of group interview with third sector organisations

MUNICIPALITY	DESCRIPTION AND SELECTION CRITERIA	INTERVIEWEE
A	This municipality has one of the biggest percentages of social condominiums in Santiago. The office interviewed is actively improving SCs conditions implementing the subsidy programme (PPPF) as PSAT (technical assistance entity). This municipality can provide insights about the responsibilities regarding condominium management and its capacities to carry out the activities.	Head of housing department
B	This municipality is one of the most vulnerable territories in Santiago. The office interviewed focuses on territorial administration dealing with the dilemma of high social demand versus limited resources. This municipality can provide insights about the relevance of civil society/ third sector organisations when the municipal capacity is limited.	Urban advisor for municipal administration

TABLE APP.C.2 Participants of semi-structured interviews with municipalities



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# Curriculum Vitae



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**Vergara, L.**, Gruis, V., & Van der Flier, K. (in 2nd Revision). The role of third sector organisations in the management of social condominiums in Chile: the case of Proyecto Propio. *International Journal of Housing Policy* (Special Issue Housing Policy in Latin America and the Caribbean: recent developments and perspectives).

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**Vergara, L.** (2018). The role of third sector organisations in the management of social condominiums in Chile. Lessons from international experiences. Presentation at the AESOP Annual Conference. Making space for hope, Gothenburg, Sweden, 10-14 July 2018.

**Vergara, L.**, Gruis, V., & Van der Flier, K. (2016). The intermediary role of social enterprises in the management of affordable condominiums. Evidence from a Chilean case study. Paper presented at the ENHR Conference 2016. Governance, Territory and Housing, Belfast, Northern Ireland, 28 June - 1 July 2016.

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**Vergara, L.** (2014). Los desafíos de la vivienda en alta densidad. Límites y oportunidades del mercado inmobiliario para el borde costero de Coquimbo, Chile. Paper presented at the Proceedings of the I Congreso Internacional de Vivienda Colectiva Sostenible, Barcelona, Spain. 27-28 February 2014.

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