



KEY MESSAGES FOR URBAN MANAGERS

PARTICIPATION



KEY STATEMENTS:

Participation in city-wide slum upgrading – incorporating the engagement of a broad range of stakeholders including slum dwellers themselves - is an asset.

It is a trigger for socio-economic development and institutional strengthening for pro-poor urban development, which are pre-conditions for inclusive and sustainable urbanization.

KEY MESSAGES:

- Participation is key to promoting equity and equality which are pre-conditions for sustainable urbanization.
- Participation has a catalytic effect in slum upgrading: It triggers new thinking, the engagement of new stakeholders and additional planning activities.
- It improves everyone's understanding of slum upgrading and planning, often resulting in activities and approaches being replicated in other sectors.
- It fosters new ideas from unexpected participants.
- It invites the contribution of all stakeholders and if managed well, utilizes all comparative strengths.
- Participation must be understood in terms of rights and responsibilities. Stakeholders should be involved in a meaningful way, contributing their capacity and strengths to promote effective outcomes. Stakeholders' limitations must also be acknowledged and care taken not to overburden the most vulnerable.
- Evidence shows that slum upgrading programmes that don't engage the full spectrum of stakeholders – such as forced evictions and top down approaches – result in limited outcomes for the poor and vulnerable.
- Participation in city-wide slum upgrading provides a path for sustainable and long term success. It fosters the understanding that everyone has a stake in the development process and is a stakeholder in the needs, opportunities and the challenges of citywide slum upgrading.
- Participation in slum upgrading involves both a process to negotiate the parameters of the project and to facilitate the engagement of key stakeholders for a city-wide approach. It provides a means whereby stakeholders influence and share control - from the start of an intervention until the end - in the identification, planning, design, implementation, evaluation and post-implementation stages of slum upgrading.
- Participation also provides the path to achieve equitable outcomes. A participatory process is more likely to ensure an inclusive development that benefits many, including slum dwellers themselves. This contributes to human rights obligations as well as urban prosperity.

- Participation in city-wide slum upgrading is not a task for one stakeholder alone or 'just the government'. It requires a multi-stakeholder approach, engaging all key actors including slum dwellers.
- Participation brings visibility to urban development activity because many people are engaged and talking about it. This helps build understanding of slum upgrading and an appreciation for urban development efforts.
- Participation provides a specific pro-poor platform for slum dwellers to make additional contributions to planning and the specific activities within their communities. In doing so, it transforms slum dwellers from beneficiaries to partners in sustainable slum upgrading interventions with a stake in the broader urban context.
- Participation involves investment of time, money and political will which pays off. It facilitates a smooth and inclusive outcome as all stakeholders are on board and key risks are managed in a timely and respectful fashion. While participatory slum upgrading demands time, commitment, vision and energy, the gains are immeasurable in terms of innovation, livelihood and economic development, social stability and inclusion.

KEY RECOMMENDATIONS:

View participation as an asset that triggers learning and innovation.

Understand that participation secures inclusive slum upgrading outcomes that promote broader urban prosperity.

Understand that participation refers to both a process which leads to an inclusive outcome and involves both rights and responsibilities.

KEY ACTION:

Create multi-stakeholder national/city-level slum upgrading teams to guide and support slum upgrading. Ensure that slum dwellers are part of these teams.

Table 1: Additional Recommendations and Actions

RECOMMENDATION	SPECIFIC ACTION
RECOGNIZE SLUM DWELLERS AND THE VALUE-ADDED FOR URBAN DEVELOPMENT FROM THEIR ENGAGEMENT	
Start to institutionalize a more positive outlook focusing on what slum dwellers actually contribute to the broader urban environment (employment, livelihood activities, local economic development and cultural activities) and take clear steps to strengthen mechanisms to engage them in slum upgrading.	<ul style="list-style-type: none"> -Start meaningful conversations about the importance of integrating slum dwellers and slums into the broader urban context. -Use integrated planning approaches such as the development of National Urban Policy, national and city-wide slum upgrading strategies as the means to do so. -Discuss the impact of forced evictions and the benefits of tapping into slum dwellers' potential.
MAKE 'INCLUSION' AND INTEGRATION THE MANTRA FOR URBANIZATION AND SLUM UPGRADING	
Make inclusion and integration the mantra for facilitating city-wide sustainable urbanization which includes slum dwellers. View participation as a key mechanism to promote institutional integration, the engagement of key decision makers in government and other sectors and integrate key strategic physical plans	<ul style="list-style-type: none"> -Form a team to understand how to ensure that participatory approaches are formalized throughout a slum upgrading project. -Ensure the group is effectively chaired and lead. -Ensure that key decision makers take part as well as slum dwellers themselves who have many good ideas to improve their lives.
Align participatory slum upgrading with urban prosperity so that it is clear how it contributes to broader quality of life gains and prosperity outcomes for all urban dwellers.	<ul style="list-style-type: none"> -Undertake an inventory of current strategic plans and development projects to ensure they are connected and reflect the integrated vision for the city.
DEVELOP INCLUSIVE PARTICIPATION PLATFORMS IN SLUM UPGRADING	
Share the urban vision with all stakeholders and create platforms to promote understanding and engagement.	<ul style="list-style-type: none"> -Develop a realistic communication strategy outlining what's possible and what's not, supported by adequate communication tools to reach and engage all stakeholders including some form of post-review process to assess the lessons learnt.
Recognize that slum upgrading cannot be addressed in isolation, but must be considered in terms of linkages and integration between different stakeholders, departments, sectors as well as physical plans. Participation is the key to promote effective integration.	<ul style="list-style-type: none"> -Reflect the 'city-wide approach' to slum upgrading in the development of a 'city-wide slum upgrading strategy' to maximize the benefits of connecting any planned interventions with other key and strategic urban developments (especially those related to economic hubs, road, utility, service and housing infrastructure). -Review current and future 'big ticket' plans (infrastructure, economic, environmental, waste management and affordable housing plans) and ask if they are pro-poor and how slums specifically can be included into the development agenda. -Undertake participatory planning processes (such as enumerations, community SWOT analysis) to understand the community (both needs and assets, mapping) and engages all stakeholders to share the findings for innovation and learning.
PROMOTE COMMUNITY PARTICIPATION AND MANAGEMENT (capacity development) IN LOCAL PROJECT DEVELOPMENT	
Those most affected by slum upgrading, slum dwellers, and other stakeholders, need to see the practical and tangible impacts of a slum upgrading strategy within a short time frame to maintain and secure trust and confidence in the benefits of city-wide slum upgrading and the effectiveness of key actors.	<ul style="list-style-type: none"> -Develop mechanisms to promote community managed funds and community contracting, ensuring a range of groups needs and roles are recognized (youth, women, disabled etc).
Urban prosperity delivers the most when all urban dwellers are engaged. Slum dwellers in particular, have many skills and capacities to offer slum upgrading. Platforms must be developed which empower local communities to tap into those skills and resources and enhance local assets.	<ul style="list-style-type: none"> -Engage local and municipal governments to support and be involved with community-level projects.
AGREE ON WHAT MECHANISMS WILL AVOID THE DISPLACEMENT OF VULNERABLE GROUPS IN A SLUM UPGRADING PROJECT TO PROMOTE AN INCLUSIVE OUTCOME	
Ensuring that the final upgraded area remains pro-poor amidst natural population and diversity trends is a challenge but one that must be considered. Many urban renewal and slum upgrading projects are co-opted by higher income groups and displace those who need the project most – the urban poor.	<ul style="list-style-type: none"> -Ensure a no forced evictions policy is adopted. -Adopt pro-poor planning codes that preserve social mix and housing types that accommodate the poor and reflect livelihood generation activities. -Ensure that vulnerable communities are maintained through commitments to granting security of tenure to a proportion of the original inhabitants or through traditional collective land ownership agreements.

KEY REFERENCES:

Guide to undertake participatory slum upgrading: <http://unhabitat.org/books/a-practical-guide-to-designing-planning-and-executing-citywide-slum-upgrading-programmes/>

Participation and resilience: <http://unhabitat.org/citizen-roles-in-resilient-cities-ron-dembo-zerofootprint/>

How to do participation: <http://unhabitat.org/participation-in-practice-nabeel-hamdi-oxford-brookes-university/>

Participatory enumeration: http://www.stdm.gltn.net/docs/Count-Me-In_English_2010.pdf

Participation and youth: <http://unhabitat.org/books/young-people-participation-and-sustainable-development-in-an-urbanizing-world/>

UN-Habitat state of the world Cities report: Urban Prosperity: <http://mirror.unhabitat.org/pmss/listItemDetails.aspx?publicationID=3387>

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