

Key Governance arrangements for Participatory, city-wide Slum Upgrading

SDG 11 Make cities and human settlements inclusive, safe, resilient and sustainable.

SDG 5 Achieve gender equality and empower all women and girls.

SDG 6 Ensure availability and sustainable management of water and sanitation for all.

SDG 7 Ensure access to affordable reliable sustainable and modern energy for all.

SDG 8 Promote sustained inclusive and sustainable economic growth, full and productive employment and decent work for all.

SDG 9 Build resilient infrastructure to promote inclusive and sustainable industrialization and foster innovation.

SDG 12 Ensure sustainable consumption and production patterns.

SDG 13 Take urgent action to combat climate change and its impacts

SDG 16 Promote peaceful and inclusive societies for sustainable development provide access to justice for all and build effective, accountable and inclusive institutions at all levels.

” Key Statements:

A key outcome of participatory, city-wide slum upgrading is that governance arrangements, institutions and processes for long term sustainable and inclusive urban development are strengthened.

Mind-sets are changed and the political will for slum upgrading improved and people and departments work better together.

Plans and strategies are also better coordinated and integrated for greater impact and the inclusion of slum dwellers into the rest of the urban context.

All levels of government are brought on-board, the right departments and stakeholders engaged (including slum dwellers), physical plans developed and aligned and funds allocated effectively.

KEY MESSAGES:

- UN-Habitat understands urban governance as the sum of collaborative efforts by all institutions, public and private, to contribute to the effective management of towns and cities. It is a continuing process of dialogue where different interests must be accommodated and cooperative action needs to be taken. It includes formal institutions as well as informal arrangements and accounts for factors such as cultural norms and traditions as well as the social capital of citizens¹.
- Good urban governance is underpinned by 7 key principles: sustainability, subsidiarity, equity, efficiency, transparency and accountability, civic engagement and citizenship, and security.
- Good urban governance is inextricably linked to the capacity of urban dwellers to have “access to the benefits of urban citizenship” and therefore in ensuring the delivery of basic and essential services and infrastructure. This includes slum and informal settlement dwellers and the components related to the slum household definition - including adequate shelter, security of tenure, safe water, sanitation as well as factors such as a clean environment, health, education and nutrition, employment and public safety and mobility².
- Good and inclusive urban governance systems help ensure the durability of urban programmes like inclusive city-wide slum upgrading. If all levels of government are engaged and slum dweller’ communities empowered, including specific groups like women and children, they become part of the solutions and indeed, take up the actions and become part of the drive to secure the outcomes.
- Participatory, city-wide slum upgrading works best when:
 - i. The political will to improve the lives of slum dwellers is there.
 - ii. The role of participatory, city-wide slum upgrading is understood as a mechanism to integrate all urban dwellers and places into the broader urban fabric. This includes connecting the slum upgrading with other key infrastructure projects such as major roads, any public transport systems, as well as local and city-wide economic development strategies at long and middle term.
 - iii. All stakeholders are considered vital to the success of participatory, city-wide slum upgrading development processes and outcomes, including decision makers across national, regional and local governments and slum dwellers themselves (particularly women).
 - iv. There is a key document or plan – such as a national or city level participatory slum upgrading strategy to act as a galvanizing and organizing mechanism for funding, stakeholder engagement and implementation activities for slum upgrading.
 - v. There are functional institutional linkages and multi-level engagement platforms to connect stakeholders, departments, institutions, organizations and physical plans, to ensure the development and implementation of participatory slum upgrading.
 - vi. Funding for local authorities is part of the funding blend to empower all key levels of government and community structures to actively participate and contribute to the slum upgrading process and outcome.
- Many of these ‘pre-conditions’ for effective and sustainable participatory, city-wide slum upgrading relate to good urban governance³.
- It is important that all levels of government review how their current governance arrangements impact on the capacity for participatory and city-wide slum upgrading so they can take incremental steps to strengthen the path towards sustainable urbanization.

KEY RECOMMENDATION:

Adopt participatory, city-wide slum upgrading to promote good urban governance for inclusive and sustainable urbanization that integrates slums and slum dwellers into the broader urban context.

KEY ACTION:

Use the development of a national and city-wide slum upgrading strategies – including the Country Team - to promote good urban governance in participatory city-wide slum upgrading.

1 p.8 UN-Habitat (2002a). The Global Campaign on Urban Governance: concept paper.

3 See Good Urban Governance: A Normative Framework (HS/C/PC.1/

Table 1: Additional Recommendations and Actions

ADDITIONAL RECOMMENDATIONS	ADDITIONAL SPECIFIC ACTION
POLITICAL WILL (Subsidiarity, Sustainability)	
Change the view that slum dwellers are illegal. Recognize the limited choices that slum dwellers have in terms of employment, housing and access to livelihoods and essential services,	-Start meaningful conversations, via an integrated planning approach (using a city-wide slum upgrading strategy as a trigger), between your policy makers, key departmental heads and politicians, to foster mind-set change.
Start to institutionalize a more positive outlook focusing on how slum dwellers actually contribute to the broader urban environment (employment, livelihood activities, local economic development and cultural activities)	-Convene a multi-stakeholder team that includes slum dwellers, comprising women and men, to deliberate and deliver inclusive and integrated slum upgrading (via the PSUP country team process).
Support efforts to realize slum dweller's potential and harness their energy. This includes countering any discussions about forced evictions with arguments around the benefits of inclusion and the right to adequate housing.	-Undertake an inventory to understand the slum economy and its contribution to the rest of the city. -Identify some 'quick win' projects and interventions to demonstrate the value of micro-enterprises operating in slums and slum dweller's skills. -Adopt a humanitarian approach to slum dwellers. They are urban residents who have much to offer the urban development agenda of your town and city. - Help create legal mechanisms that guarantee public participation in planning and urban development.
STAKEHOLDER ENGAGEMENT VALUED AND PLATFORMS IN PLACE (Equity, Civic engagement and citizenship, Security)	
Recognize that urban issues cannot be addressed in isolation, but must be considered in terms of relationships - linkages between different departments, interventions, stakeholders and formal and informal systems.	-Reflect your 'city-wide approach' to slum upgrading in the development of a 'city-wide slum upgrading strategy' to maximize the benefits of connecting any planned intervention with other key and strategic urban developments (especially those related to economic hubs, road, utility, service and housing infrastructure) and departments/actors.
Counter any discussions on forced evictions with arguments around the benefits of inclusion, the successful global examples of participatory planning and importance of international agreements such as the Right to Adequate Housing.	-Use key global frameworks like the Sustainable Development Goals to support participatory planning approaches. -Distribute case studies on positive impact of slum upgrading using participatory approaches. -Develop a set of planning principles which are pro-poor and promote the inclusion of all stakeholders.
Review how participatory development processes are conducted and ensure slum upgrading adopts participatory models.	-Fund capacity development activities to promote participatory planning. Utilize the work of international planning groups and development agencies which have pre-existing materials on participatory planning. -Review relevant national and / or territorial policies to establish where there are opportunities to promote participatory city-wide slum upgrading. -Review major urban development plans (infrastructure, economic, environmental, waste management and affordable housing plans) and ensure that any slum upgrading strategies are integrated into these plans. If necessary, use any slum upgrading strategy to promote their further integration. - Strengthen web-based materials for key urban managers and technicians on participatory city-wide slum upgrading.
LINKED PHYSICAL PLANS AND INSTITUTIONS USING A CITY-WIDE APPROACH (Efficiency, Transparency and Accountability, Sustainability)	
Ensure that slum upgrading initiatives and projects are linked with other broader urban development initiatives, particularly in relation to improved mobility and transport infrastructure and connections, economic development and housing.	-Reflect your 'city-wide approach' to slum upgrading in the development of a 'city-wide slum upgrading strategy' to maximize the benefits of connecting any planned intervention with other key and strategic urban developments (especially those related to economic hubs, road, utility, service and housing infrastructure) and departments/actors. -Facilitate a meeting between key heads of departments and relevant staff to see how slum upgrading links with other plans and projects for strategic impact and coordination of effort. -Ensure projects are connected with urban safety initiatives and particular attention paid to women and girls.

ADDITIONAL RECOMMENDATIONS	ADDITIONAL SPECIFIC ACTION
DECENTRALIZED FUNDING AND A RANGE OF FINANCING OPTIONS FOR ALL (Subsidiarity, Transparency and Accountability)	
Dedicate funds for slum upgrading through key partnerships across all levels of government but also including the international community, local organizations and the private sector.	-As part of your City-Wide Slum Upgrading Strategy, allocate funds for incremental slum upgrading over an agreed time frame to all levels of government for an effective and integrated outcome. -Foster multi-sector financing partnerships using global case studies to support your case (see Brazil, Thailand for ideas). -Develop micro-financing mechanisms and community managed funds for adequate housing, improvements to basic services and local economic development.
IMPROVED EVERYDAY SECURITY FOR SLUM DWELLERS (Security)	
Address actions that promote security for slum dwellers, particularly in adopting a no forced evictions approach and facilitating security of tenure and supporting livelihoods and economic development	-Understand what livelihood and economic activities are being undertaken that could be better supported. Work towards a detailed participatory enumeration process to map livelihood and economic activities taking place in your urban slums and pay attention to how they relate with and link o broader urban economic activities and how is and isn't benefitting from these.
	-Create technical and non-technical business hubs and incubators for small scale enterprise development which includes training and local mentoring and helps initiatives go from ideas to ventures.
	- In collaboration with the other key government departments and levels of government, develop a mechanism to provide soft loans to community based and managed local enterprises to support promising businesses.
	-Promote the link between security of tenure and inclusive, prosperous and sustainable urbanization.
	-Explore new mechanisms for granting security of tenure that are broader than just land ownership (long-term rental or leases, community owned land/arrangements)
-Use participatory enumeration approaches to map tenure relations in all slum upgrading processes and incorporate the results into a strengthened and updated land cadaster.	

KEY REFERENCES AND ADDITIONAL READING:

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