

# PSUP

PARTICIPATORY SLUM UPGRADING PROGRAMME  
PROGRAMME PARTICIPATIF D'AMÉLIORATION DES BIDONVILLES

# PPAB



UNHABITAT

## Community Working Group Training

15<sup>th</sup> September 2022



**skat** Swiss Resource Centre and  
Consultancies for Development

# PSUP

PARTICIPATORY SLUM UPGRADING PROGRAMME  
PROGRAMME PARTICIPATIF D'AMÉLIORATION DES BIDONVILLES

# PPAB



UN HABITAT

ACP Secretariat Initiative, funded by The European Commission and Implemented by UN-Habitat



## PSUP OBJECTIVE:

"By 2030, ensure access for all to adequate, safe and affordable housing and basic services and sanitation in slums"

(SDG 11.1)

# PSUP

PARTICIPATORY SLUM UPGRADING PROGRAMME  
PROGRAMME PARTICIPATIF D'AMÉLIORATION DES BIDONVILLES

# PPAB



UNHABITAT

1. Community Participation and Organization
2. Community Managed Funds
3. New lifestyle in the blocks



**skat** Swiss Resource Centre and  
Consultancies for Development



## PARTICIPATORY SLUM UPGRADING

Community participation  
and engagement





# 1 . PURPOSE OF COMMUNITY PARTICIPATION

# 1. INTRODUCTION:

## Community Participation Purposes



UN HABITAT

### Why the need for *effective and democratic* bodies for community representation in unplanned settlement upgrading initiatives?

- To ensure **residents are well represented** so they can **participate actively and democratically** in **planning and implementation**, and also monitor, enforcing **accountability**.
- To ensure upgrading activities **address the real problems** of resident, assisting the wise and efficient expenditure of funds reaching the broadest possible array of residents.
- To **minimise tensions and resolve eventual conflicts** that could arise among dwellers and other stakeholders, concentrating efforts at planning stage thus avoiding stalling.
- To allow the community to **take ownership** of upgrading programmes and their outcomes, encouraging them to **invest** time, energy and interest giving **sustainability to the initiatives**

11 SUSTAINABLE CITIES  
AND COMMUNITIES



*“By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries.”*

SGD 11.3

# 1. INTRODUCTION:

## Community Participation Purposes



UNO HABITAT



Picture@ PSUP. Kenya

‘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 challenges of city-wide slum upgrading.’

# 1. INTRODUCTION:

Community representation and participatory slum upgrading ?



UN HABITAT

## Why organised community representation is important to participatory upgrading ?

- Well represented communities by recognised and validated bodies are **fundamental to achieve participatory unplanned settlements upgrading goals**. It organises dwellers through a **coordinated channel of participation**.
- To consolidate the residents point of view in the **identification and prioritisation of their neighbourhood needs**, thus providing validation to activities implemented on the ground.
- To provide a **constant communication channel** to the targeted neighbourhoods, checking in real time on-going activities and contingencies that could arise.
- To increase community ownership and sustainability of activities, encouraging their **coordination with other upgrading activities**, giving continuity and a holistic approach to the entire process.
- To ensure **sustainability in the long term** as well a **financially sustainable framework** where the economic capacity of communities can be strengthened and **build trust between the community and the other stakeholders** (including Las) providing a framework for the set-up of People/Public/Private PARTNERSHIPS (PPPPs)



### **Empowerment and shared control**

Excluded actors are empowered to contribute on an equal footing with key actors to participate and make joint decisions, and share control over implementation, results and M & E.

### **Shared decision-making**

All relevant stakeholders participate in and influence decision-making processes.

### **Partnerships**

Negotiation and commitment to compromise with relevant stakeholders

### **Consultation**

Key stakeholders invite, listen to and integrate stakeholder feedback.

### **Information**

Information is shared among stakeholders, and key stakeholders communicate decisions and results to other stakeholders.



### **Manipulation**

Non-participation; manipulate secondary stakeholders to gain the benefit of key stakeholders.

# 1. INTRODUCTION :

## The 4 pillars of participation



UN HABITAT

### Large and inclusive

Pursue not only the participation of the community, but also other stakeholder groups such as the private sector, universities, NGOs, social enterprises, community organizations, international organizations, donors, religious groups and customary, as well as local and national governments.

### Participation to decision-making

Enable stakeholders to "sit down at the table" to negotiate and make consensus decisions.

### Appropriate levels of participation

Not everyone should be involved in all stages of the PSUP process

### Active Support

For the participation of women, youth, people with disabilities and marginalized groups.

## 1. INTRODUCTION:

Community representation and participatory slum upgrading ?



UN HABITAT

**This is the reason why the Community Working Group  
has been established for Mpazi Upgrading Process**



## 2 . STAGES OF COMMUNITY PARTICIPATION

## 2. STAGES FOR COMMUNITY PARTICIPATION:

Process of community engagement



UN HABITAT

Community Organization

Stages of Community Participation

**01** Sensitization

**02** Mobilization &  
Organization

**03** Capacity  
Building

**04** Engagement

## 2. STAGES FOR COMMUNITY PARTICIPATION:

### Process of community engagement



#### 1 Sensitization:

- Preliminary research on pre-existing structures/organizations/associations and how to incorporate them
- Information sharing on the processes that will be followed

#### 2 Mobilization and organization:

- Getting participation from the broader community on nominations
- Set up of interim committee/validation of initial executive committee
- General meetings on how the representative bodies should be
- Personal interviews around community to cross-correlate
- Advertise through the use of flyers/ posters/ loudhailer
- Election debates and other methods of engagement for community to evaluate nominations
- Nominations
- Actual election and tallying of votes
- Establish of Community Representative Body and office
- Drawing up and finalisation of constitution and binding agreements/ terms of reference
- Registration as a legal entity (in the long term)
- Ongoing establishment and formalization within the area/community

#### 3 Capacity building:

- On relevant issues for the community participation on the process and relevant areas for insightful decision making.

#### 4 Engagement:

- Engagement with other stakeholders, including government
- Continuous engagement and support from and communication with the broader community
- Oversight provisions – involvement of development partners/ NGO and CBO representatives
- Community participation in several steps for community participation \*see next slide

## 2. STAGES FOR COMMUNITY PARTICIPATION:

A variety of opportunities for community participation



UNO HABITAT

### TOOLS TO PROMOTE COMMUNITY PARTICIPATION



Training



Enumeration



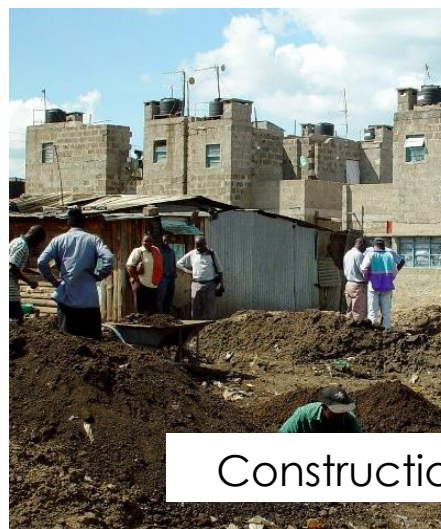
Needs assessment



Public workshops



Mapping and  
planning



Construction



Monitoring and  
Evaluation

## 1. INTRODUCTION:

Community representation and participatory slum upgrading ?



UNHABITAT

**Can you mention some of the tools used in the Mpazi process?**



### 3. STANDARDS FOR COMMUNITY PARTICIPATION



Picture @ PSUP

### 3. STANDARDS FOR COMMUNITY PARTICIPATION:

#### Checklist of good practices



UN HABITAT



#### Characteristics of Community Representation Bodies

- ✓ Democratic, inclusive and accountable
- ✓ Effective bodies of decision-making and community advice
- ✓ Not biased to a certain group or the most powerful/wealthy in the area
- ✓ Conflict resolution structure
- ✓ Coordination body for community participation



#### Organisational structure

- 
- ✓ Executive committee, whose members include villages' representatives and ex-officio members
  - ✓ Number of village representatives related to population they represent
  - ✓ Regulated representation for owners vs tenants proportionally correlated to figures identified in surveys/enumeration processes
  - ✓ Presence of women representatives and proportional number of them
  - ✓ Existence of youth representatives and other minority groups (e.g. disabled)

### 3. STANDARDS FOR COMMUNITY PARTICIPATION:

#### Checklist of good practices



#### Terms of office, election periods

- ✓ Community representatives/executive committees should be in office for determined renewable terms (e.g. 1 year), no permanent positions; interim
- ✓ Provisions for office-bearers to be voted off if they are not performing



#### Participatory decision-making

- ✓ Hold general community meetings before each high-level decision is made
- ✓ Establishment of systems of participatory decision making



#### Monitoring and evaluation

- ✓ Creation of monitoring systems (e.g. timeline/quality of activities)
- ✓ Keep authorities and activities accountable



#### Regulatory framework

- ✓ Participative self-development of constitutions and rules
- ✓ Production of agreements with other stakeholders

### 3. STANDARDS FOR COMMUNITY PARTICIPATION:

#### Checklist of good practices



UN-HABITAT



#### Voting process

- ✓ Clear rules on who qualifies (e.g. one person one vote/one household one vote)
- ✓ Broad strategies for notifying the community
- ✓ Feasible and effective voting systems



#### Roles and responsibilities

- ✓ Clear definition of the different roles and responsibilities of members/executive committees
- ✓ Penalization provisions



#### Record-keeping

- ✓ Organised record keeping with members specifically dedicated to it
- ✓ Public archive of records for community consultation



#### Dissemination of information

- ✓ Efficient communication strategy, broad and fast; multimedia
- ✓ Public communication and reporting of high-level meetings that the executive committee could have

### 3. STANDARDS FOR COMMUNITY PARTICIPATION:

#### Checklist of good practices



UN HABITAT



#### Conflict resolution

- ✓ Establish a structured conflict resolution department
- ✓ Avoid bias and, when dealing with local conflicts, remain neutral



#### Physical office

- ✓ Make provision for the establishment of an office
- ✓ Make documents and reports available to the community
- ✓ Encourage the development of other activities for multiple use of the space



#### Proactivity

- ✓ Capacity to generate different activities
- ✓ Learn how to apply for funds



#### Managerial skills

- ✓ Develop capacities to handle and manage funds, highlighting accountability

## 1. INTRODUCTION:

Community representation and participatory slum upgrading ?



UNHABITAT

**Can we now look back at the check list, and read it through our experience with the CWG?**

Please, keep in mind that the CWG is the first level of engagement, established for the neighborhood planning design. It is not consolidated and structured as a full Residents Executive Committee yet.

Still, we can discuss the points above and see whether this 'interim' community body has fulfilled the checklist.

## Monitoring participation



- It is important to **monitor the levels and types** of participation in the PSUP process to measure progress as implementation proceeds.
- The Implementing partner should maintain a spreadsheet (Microsoft Excel or similar) to record all people and organizations that have participated in the PSUP process, including information on gender and Youth.



- The spreadsheet should be continually updated after each action (e.g. interview, workshop, thematic working group meeting, etc.) and regularly reviewed at Team meetings.
- If it is found that particular groups or stakeholder groups are underrepresented, this monitoring will allow adjustments to be made to ensure their inclusion before the end of the process when it will be too late.

[illegible]

## INDICATORS AND TARGETS

**Indicators and targets** for participation need to be developed

- E.g. What would be the gender ratio target for 'good participation' at events?
- E.g. What percentage of the community would be deemed acceptable to 'sign off' the participatory settlement plan?

**Could you define 4 indicators and their corresponding targets to measure if community participation has been inclusive and effective?**

### **Examples:**

- 40%. In the PSUP at least 40% of attendants need to be women to consider that participation is successful
- 100% - consensus. In the PSUP implementation in Mtwapa, Kenya, the neighborhood plan was adopted by consensus, not through a vote count



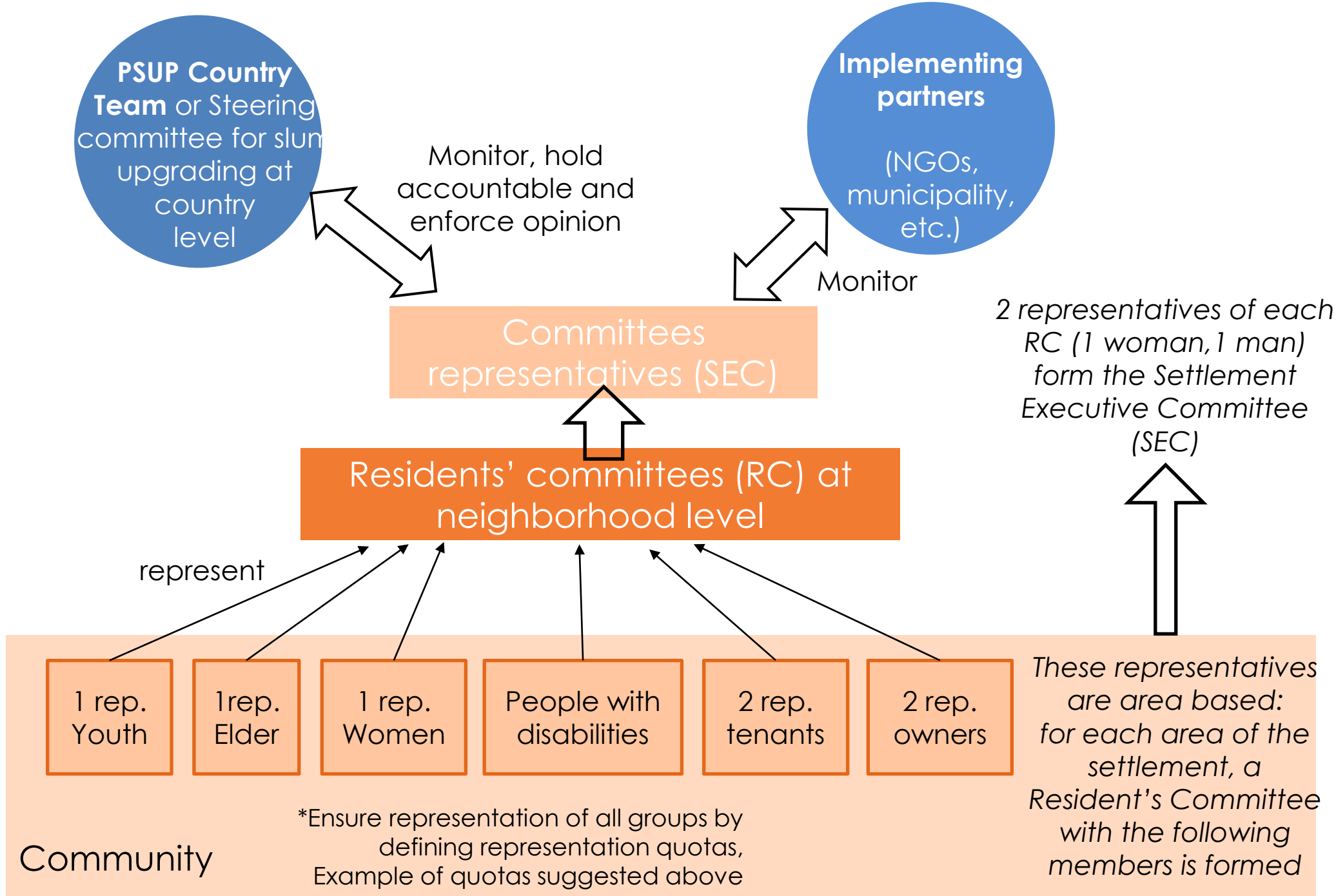
## 4. STRUCTURES FOR COMMUNITY PARTICIPATION

## 4. STRUCTURES FOR COMMUNITY PARTICIPATION :

Entities for community participation



UNO HABITAT



### 3. STANDARDS FOR COMMUNITY PARTICIPATION :

#### Relationship between actors



UN HABITAT

Defining the relationships between the different structures including the community representation bodies includes agreeing on:

- The role of the community representation bodies in relation to the residents and other community organizations and groups
- The role of the community representation bodies in relation to other stakeholders present in the neighborhood or relevant to slum upgrading including the private sector, government and other institutions present in the Country Team or project steering committee
- The role of Implementing Partners in relation to the community representation bodies

## 4. STRUCTURES FOR COMMUNITY PARTICIPATION :

### Roles

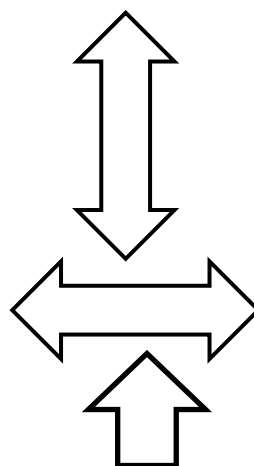


UNO HABITAT

Promoter

**MPAZI COMMUNITY WORKING GROUP**

Implementing partners



Community Working Group

1 rep.  
Youth

1rep.  
Elder

1 rep.  
Women

People with  
disabilities

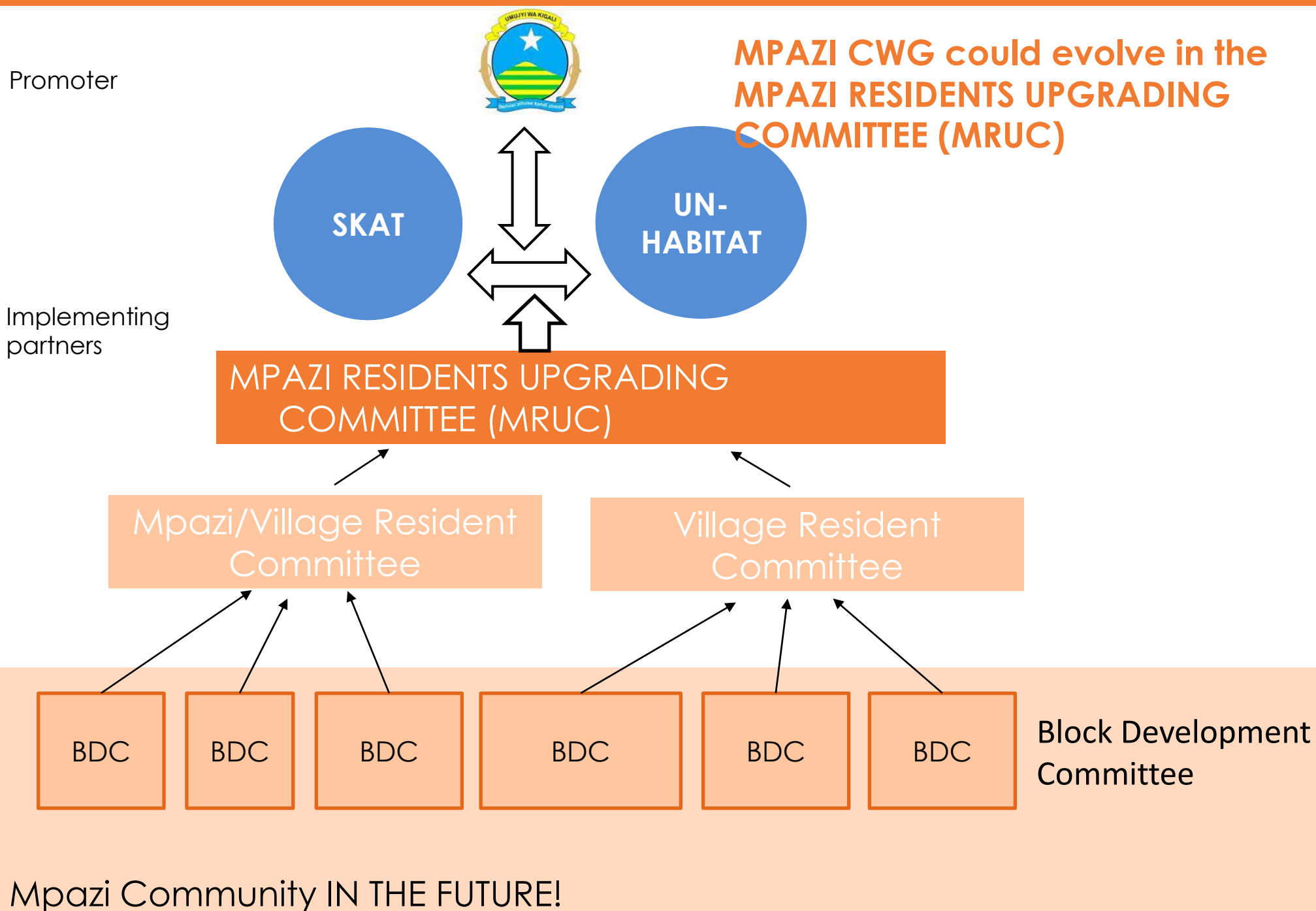
2 rep.  
tenants

2 rep.  
owners

**YN TO COMPLETE**

Mpazi Community

## 4. STRUCTURES FOR COMMUNITY PARTICIPATION : IN THE FUTURE



### DEFINE ROLES AND RELATIONSHIPS BETWEEN DIFFERENT STRUCTURES

- Roles of Community Representative Bodies in relation to residents and other stakeholders
- Roles of Community Representative Bodies in relation to on-going PSUP process
- Roles of Implementation Partners in relation to Community Representative Bodies
- Roles of UN-Habitat PSUP team in relation to Community Representative Bodies



#### TERMS OF REFERENCE FOR RESIDENTS' COMMITTEES

Terms of reference for Slum Upgrading Residents Committees need to be elaborated according to the country specificities ensuring that the SURC are aware of their responsibilities and right in the process.

### HOW WAS MANAGED WITH THE CWG?

- Clarified the CWG engagement at beginning of the process
- Defined the objectives
- Defined the role
- Clarified the activities to attend
- Set the communication fee



#### LETTER OF ENGAGEMENT

Explained the objectives and role, ensuring that the CWG's members are aware of their responsibilities and right in the process.

### KEY POINTS:

- Community participation is needed from the starting and along the entire process
- Participation goes beyond information and awareness
- For effective participation the community must be organized
- The organizational structure can be incremental, and adapted to the upgrading process. Interim solutions are welcome
- It is important to set targets for participation and keep monitoring the achievement of the targets

# THANK YOU FOR YOUR ATTENTION!

[www.mypsups.org](http://www.mypsups.org)

## Join the myPSUP e-learning platform

15 courses, 1000+ learners,  
Case studies, Videos and more...

**GET EMPOWERED!**



**UN HABITAT**  
FOR A BETTER URBAN FUTURE