COMMUNITY PARTICIPATION IN SLUM UPGRADING: A KEY TO ATTAINMENT OF INCLUSIVE CITY

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Abstract
Urban population explosions in the developing world have been attributed to proliferation and formation of slum particularly as a result of disproportionate provision of basic infrastructure. Infrastructure provision and maintenance has remained one of the major challenges facing the cities, most especially the slum settlements in the developing countries of the world. Inadequate financial resources in tackling many urban challenges have led to partial withdrawal of government from providing and maintaining basic neighbourhood infrastructure in the cities. It is therefore very evident that inclusive city cannot be achieved without effective community participation. It is in view of this that this study examined challenges facing slum settlements, benefits and shortcomings of residents' participation in upgrading projects and framework for sustainable community participation upgrading project. The study concluded that the meagre community resources of slum dwellers in the face of economic recession are not sufficient to meet the development need of the slum, especially in the area of infrastructure refurbishment. The study, amongst others, recommended adoption of community-driven development approaches in upgrading projects in poor urban communities and adequate resource allocation to projects as effective tools for achieving social inclusion and attainment of desired inclusive city.

1.   Introduction

Urbanization in Nigeria is traceable to the country's independence in 1960s and to the late 1970s when ports operations started in some parts of the country as a result of oil boom (Oyeleye, 2013). The era witnessed improvement in physical development and massive movement of people from the rural areas into the cities The population of the country has continued to increase drastically since then, most especially in the urban areas due to migration and natural increase in birth rate. The 2006 national population census "put

Nigeria's population at slightly over 140 million, a figure which is expected to increase by more than 60% by the year 2025 (FRN, 2007; UN, 2007; Jiboye, 2011).

Like most developing countries of the world, the rate of urban growth in the country far exceed the rate of infrastructure provisions resulting in various problems such as unemployment, insecurity, poverty and slums amongst others. Proliferations of slums in and around the cities in Nigeria are on the increase due to unprecedented rates of urbanization (Bobadoye and Fakere, 2013; Mallo et al., 2015). UN Habitat (2003) observed that 65% of the world's slums consisting about 550 million people are located in Asia, while Nigeria alone is said to accounts for over half of the 200million slum dwellers in sub-Sahara Africa (Mallo, *et al*., 2015). Out of the 167million people in Nigeria, 61.1 percent were said to reside in slums (Pepple, 2012) a situation which calls for urgent and proactive measures to curb further proliferation of slum.

Omole (2010) observed that the problem of slum formation is not restricted to urban centers alone but extend to the peripheries and the rural areas. These settlements are basically homes to the large proportion of the urban poor and lack basic infrastructure to sustain healthy living. This has greatly affected the quality of life and living conditions of urban residents with consequent effects on the socio-economic and national development of the country at large (Ogunleye, 2005; Jiboye, 2011). Infrastructure is an indispensable asset in nations' integration and development. Its adequacy in terms of quantity and quality is an important yardstick in the assessment of the quality of the environment (Popoola, 2016).Amongst factors identified as being responsible for the low level of infrastructure provisions in the developing countries are; economic and political crises, rapid urbanization, inefficient infrastructure delivery systems, low level of investment in infrastructure provision and poor governance (SIDA, 2006; Ibem, 2009).

Several efforts fashioned both at the local and international levels at addressing many urban problems for the achievement of sustainable development in Nigeria are yet to produce encouraging results due to the continuous increase in population in the face of infrastructure deficit. Government intervention in solving infrastructure deficit problems is continually being met with various degrees of failures due to resource constraints, thereby resulting in partial withdrawal of government from public infrastructure provisions (Ibem, 2009). The private sectors and urban residents are now taking up the responsibilities of maintaining and providing basic neighbourhood infrastructure in order to make the urban environment a liveable place. Community participation in infrastructure provision is quite gaining ground in many urban communities of the developing countries, particularly Nigeria (Ogu, 2000; Ibem, 2009); since attainment of good governance in any society is basically the responsibilities of all, that is, individuals, agencies and organizations (state, private sector and civil society) that makes up the society (Jackson. & Namusonge, 2015).

It is therefore expedient that slum dwellers rise up to the responsibility of improving their immediate environment by participating in the provision and maintenance of needed infrastructure. However, since majority of the slum dwellers are not economically strong enough, their ability to participate will be a particularly difficult but important challenge to overcome (Thwala, 2009). Slum residents need to form synergy with local and state governments, non-governmental organizations and donors for the mobilization of required resources for their community refurbishment and upgrading.

It is in view of the foregoing that this study (Chapter) examines infrastructure challenges facing the slum residents and factors militating against their involvement in improving their environment. The study (Chapter) further seeks to examine the framework for effective community participation and the roles which government can play in encouraging local residents' participation in upgrading projects that affects them directly, so as to ensure social

inclusion and to effectively mobilize resources to support government efforts for the achievement of the desired inclusive city.

2. Concepts of Inclusive City

Rapid urbanization is usually characterized by poverty, exclusion, informality, vulnerability to risk and proliferation of slums. Developing countries in particular are struggling to provide adequate housing, physical infrastructure, and economic, social, and environmental services to their urban populations (Asian Development Bank, 2011). In a view to maximize the limited urban resources to cater for the teeming population, governments use policies and planning tools to constrain access to and organize urban spaces in ways that advantage the urban wealthy and middle classes, and often ignore or are hostile to low-income residents, and rural–urban migrants in particular(Gordon *et al*., 2016). This according to Bhan (2009) is attributed to the fact that the urban poor are seen as economically unviable, environmentally harmful and inseparable from the built environments of the illegal "slums" that they inhabit.

This growing severity of environmental and social problems and the continued marginalization of the poor in city planning and development call for an inclusive development framework. The United Nation (2015) emphasised that the transformation of the city across the world is the responsibilities of all. Goal 11 of the 2030 Agenda for Sustainable Development is aimed at making cities and human settlements inclusive, safe, resilient and sustainable. This is to be achieved through a revitalized global Partnership which will focus mainly on the needs of the poorest and most vulnerable and with the participation of all countries, all stakeholders and all people. It will involve working with local authorities and communities to renew and plan the cities and human settlements in order to foster community cohesion, enhance personal security, stimulate innovation and create employment.

Inclusion is the process of improving the ability, opportunity and dignity of people, disadvantaged on the basis of their identity, to take part in society (World Bank, 2013). It is the process of removing discriminatory exclusions, ensuring that prevailing institutions incorporate the voices and reflect the needs of disadvantaged groups; and ensuring that the human rights of the disadvantaged groups are fully met through, among other means, markets, services and access to spaces (Gordon *et al.,* 2016). An inclusive city as used in this study, is a city in which a wide variety of its citizens (rich, poor, young, old, native and migrants amongst others) are engaged in various aspect of the development and transformation processes by contributing their wealth, skills and opinion, and in so doing, eradicating all forms of marginalization and achieving sustainability. Therefore active participation of citizens in issues affecting their environmental, economic and social lives will help in attaining the inclusiveness that can transform the city and make it a liveable place for all.

3.   Slum and Challenges of Slum Settlements

Definitions of what exactly constitutes a slum vary considerably in the literature. However, there is a general agreement on what their core characteristics are. Slum Settlements are common features of most urban areas in the developing countries and are also known by different appellations, including as shacks, informal settlements, squatter areas, shanty towns and Irregular settlements amongst others (Huchmeyer & Karam, 2006; Busgeeth, Brits, & Whisken, 2008).

Cities Alliance (1999) defined slum as neglected parts of cities where housing and living conditions are appallingly poor. According to the UN-habitat (2002), it is a contagious

settlement comprising households that are lacking in security of tenure, structural quality, access to safe water and access to sanitation facilities. The UN-Habitat (2007) developed a household-based definition by defining slum household as a group of individuals living under the same roof in an urban area which lack either durable housing of a permanent nature that protects against extreme climate conditions, sufficient living space which means not more than three people sharing the same room, easy access to safe water in sufficient amounts at an affordable price, access to adequate sanitation in the form of a private or public toilet shared by a reasonable number of people or security of tenure that prevents forced evictions.

More generally, slum settlements are characterized by overcrowding, substandard structures, dirty environment, lack of basic infrastructures and lack of tenure security (UN-Habitat, 2003). For purposes of this study, slums are basically considered to be areas with significant levels of social, economic and environmental deprivation. Social deprivation in respect of exclusion of residents from gaining access to basic amenities for sustenance of physical and emotional wellbeing; economically deprived due to high level of poverty and poor housing conditions prevalence in the area and environmentally deprived in respect to lack of basic infrastructures and high vulnerability of residents to disaster risk.

The emergence of slums is as a result of rapid and unplanned growth of urban centres occurring in the context of unfavourable economic conditions, inadequate urban planning policies and regulatory frameworks (Osuide & Dimuna, 2005; UN,2007; Negera, 2012); while in Nigeria, it is closely linked to low level of socio-economic and cultural lifestyles of the inhabitants (Omole, 2010). Its incidence is closely linked to urbanization with its attended problems of population explosion, housing shotages, inadequate infrastructures, widespread poverty and high crime rates (UN-habitat, 2005). Slums settlement usually suffer

neglects when it comes to provisions of basic infrastructure to support living because they are not recognized and addressed by the public authorities as an integral or equal part of the city but rather as an illegal settlements (UN-Habitat, 2002; Malaviya & Bhagat, 2013). Most slum settlements in the developing counties, Nigeria inclusive, are characterized by poor infrastructure facilities such as potable water supply, electricity, solid waste and sewage disposals, thereby resulting in environmental degradation and sanitation problems. Also prevalent within these areas are divers health challenges, high rate of crime and violence due to poverty and population explosion (Bhardwaj, 2002; UN-Habitat, 2003 ; Foroutan, 2009; Amoako & Cobbinah, 2011; Popoola, 2015). However, the challenges of slums extend beyond the boundaries of the urban areas, far into the peripheries and the rural areas and call for urgent attention (Wahab, 2001).

Statistics revealed that over 1 billion people worldwide live in slums while more than 90% of slums of the world are situated in the developing world (UN-Habitat, 2006; WaterAid, 2008). It is also estimated that between 25 to 70 percent of urban dwellers in developing world are living in slum-like conditions (Durand & Royston, 2002). Slums provide shelter to millions of poor urban dwellers in developing countries who cannot access adequate shelter through formal channels (Wekesa *et al*., 2011). Therefore, to address the challenges of slums, especially in the aspect of infrastructure deficit calls for strong political will and continuous commitment on the part of all stakeholders (WBI, 2008). Governments at various levels, citizens and international donor agencies and development partners must form synergy in sustainable development (Osuide & Dimuna, 2005; UN, 2015) in ensuring that slums are transformed into a liveable environment for the benefits of the urban poor.

4.   Slum Upgrading and Community Participation

The term slum upgrading according to Turley *et al*. (2013) was first used or advocated for by John Turner in the 1970s. The concept basically includes improvements in the physical environment of an area, through the improvement or installation of basic infrastructure services such as water, sanitation, solid waste collection, electricity, storm water drainage, access roads, footpaths and street lighting amongst others. The term has also being used to include home improvements and securing of land tenure. The Cities Alliance (2016) defined slum upgrading as a process through which informal areas are gradually improved, formalised and incorporated into the city through extending land, services and citizenship to slum dwellers. Upgrading is a combination of physical, social, economic, organizational and environmental factors geared towards carrying out improvements within neighbourhoods of which key players in the exercise may include; slum residents, community groups, non-governmental organizations (NGOs), businesses and municipal authorities or local governments amongst others. Intervention may be in the form of policy, legal, financial, community action, social and service provision or combinations of two or more of these approaches (Turley *et al*., 2013).

Community participation is an effective approach in improving the conditions of shelter and basic services for the urban poor (van Horen, 2004), for it creates room for empowering the urban poor by allowing communities to make contributions to the upgrading process and ensuring that the program is affordable to both the government and the community (WBI, 2008; Turley *et al*, 2013).   Decisions affecting local communities cannot be effectively decided by government alone without affected group participation. Development is more than the delivery of goods to a passive community but an active involvement and growing empowerment of the affected community (Thwala, 2009).

Community participation in slum upgrading has proved to be successful in countries like Kenya, Botswana, and Ghana (McCutcheon & Talyor-Parkins, 2003; Thwala, 2009). To ensure effective community participation, project initiator and facilitators must carefully analyse the available local resources and draw up a workable model of how to effectively mobilize them. This according to Thwala (2009) will involve taking into consideration the number of people likely to be involved, how people will be employed, location of the project in relation to the affected community members, resources available for the community participation process, level of education of people who will facilitate the community participation process, the role of women, the role of Non-Governmental Organisations within the community, involvement of community representatives, the role of youth, the role of local Councillor and other stakeholders.

It can therefore be concluded that, the success of any upgrading project will be determine by the rates at which the project facilitators are able to effectively integrate every available resources to encourage local community's participation.

5.   Challenges and Benefits of community participation in Slum Upgrading

A community comprised of individuals and groups who live together in a defined geographical area which has its own social, economic and political entity, interacting and working together to achieve their common interests in the process of developing their community life. While community participation is viewed as the process by which individuals in a community are involved in initiating, deciding, planning, implementing and managing themselves and activities that affects them (Asnarulkhadi & Fariborz, 2011). It is also a process of social development in which people, as subjects in their own environment, seek out ways to meet their collective needs and expectations and to overcome their common problems. Community participation concerns the engagement of individuals and communities

in decisions about things that affect their lives (Danny *et al*, 2004). However, there are several factors influencing participation of community in development projects that affects them. The factors could be environmental, social, economic and legal in nature (Moon, 2001; Ayman, 2011).

Environmental and social problems can militate against residents' inclusion in renewal process. Increase in crime rates and poverty level affects residents negatively and resulted in a reduced inclination for local engagement (wood, 2002). Also, stigmatization, cynicism, scepticism and low self opinions create sense of inferiority in residents and consequently affect their levels of involvement in upgrading of their environment (AHURI, 2003). Structures and procedures being established as framework for operation of project can be a barrier to community participation, so also are lacks of basic literacy and communication skill (Wood, 2002).

Ayman (2011) observed that the constraints for participatory strategies model are major obstacles to effective participation between the different elements of urban development programs in developing countries. These constraints include factors like legal constraints due to the fact that high proportions of the residents of informal residential areas do not possess legal title to the plot they are occupying, regulations and technical standards, planning methods which causes delay in project implementation, project management procedures and absence of a workable model as lack of knowledge of regarding inputs required, time, skills and resources shortage can lead to resistance on the part of the community.

However, active and effective participation of stakeholder in urban development can be very rewarding if the opportunities are well annexed. Community development that will involve people's participation must first start with identifying local issues and giving residents the confidence and skills to influence their circumstances. Resident Participation in community

development helps in achieving financial effectiveness by ensuring that resources are engaged in the areas which residents deemed to be very important (Wellington, 2009; Zadeh and Nobaya, 2010). Also, giving recognition to the fact that residents have a right to influence the decisions that are made about their neighbourhood promotes social inclusion. This in turn improves social cohesion and lead to the development of more sustainable communities (Australian Housing and Urban Research Institute, 2003). It also leads to better project design, better targeted benefits and are more cost effective (Mansuri & Rao, 2004).

Zadeh & Nobaya (2010) opine that Community development could not be achieved without participation and that Participation endowed individual participants and government with some benefits which includes, creating an awareness of the problem and possible solutions to the problems, increasing confidence self-esteem and the chance to acquire new skills, helps in ensuring that decisions affecting the community are taken by all community members, helps people realize their own potential, offers new opportunities for creative thinking and innovative planning, reduces the risk of project failure and provides the necessary technical assistance in the execution of various government programmes.

Danny *et al* (2004) maintained that community participation is essential due to the fact that, it improves democratic and service accountability, enhances social cohesion and effectiveness, encourages adoption of policy that are relevant to local communities, adds economic value both through the mobilisation of voluntary contributions and skill development, promotes opportunities for employment and an increase in community wealth and promotes sustainability. Therefore all available resources should be well mobilize to ensure that the informal settlements are transform into a liveable environment for the

achievement of sustainable development and this will involve the participation of all stakeholders and all people (UN, 2015).

6.   Framework for Sustainable Community Participation in Slum Upgrading

Community participation in all aspect of upgrading work is a key to achieving success in any upgrading project. Adequate community participation is dependent on how best the various stakeholders involve in upgrading work, staring from project initiation to project execution can effectively work with residents without any form of marginalization or exclusion (Figure 1). Most slum settlement lack the required legal and economic power to refurbish their environment; therefore it is expected that slum upgrading projects should be initiated by state government and local government representatives (i.e., ward councillors) in fulfilment of their political promises to the masses. The initiators are to work closely with Town Planning officers, traditional leaders and community representatives on how to gain the support and permission of the community and to initiate a dialogue with the slum residents. The next step is to conduct a demographic survey of the settlement; residents should be involved and allow to prioritize the various upgrading work that is required in their community and to determine which is of utmost priority to them.
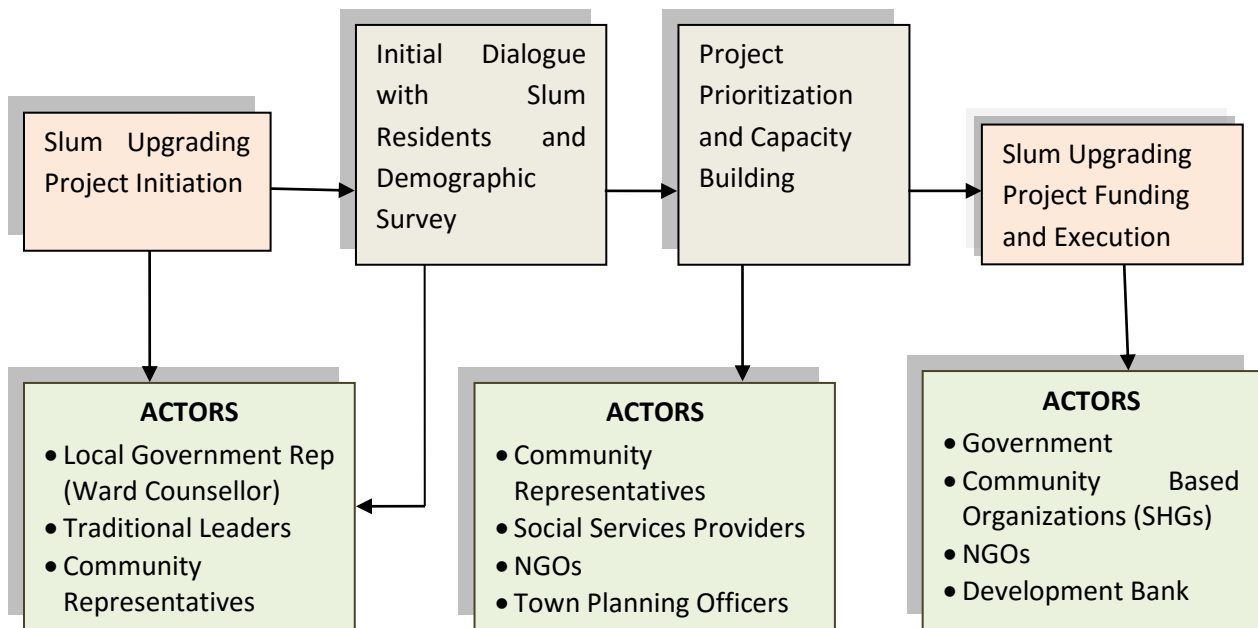
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│ Slum   Upgrading│─────▶│ Initial Dialogue│─────▶│ Project         │─────▶│ Slum Upgrading  │
│ Project Initiation│    │ with      Slum  │      │ Prioritization  │      │ Project Funding │
│                 │      │ Residents  and  │      │ and Capacity    │      │ and Execution   │
│                 │      │ Demographic     │      │ Building        │      │                 │
│                 │      │ Survey          │      │                 │      │                 │
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Figure 1: Framework for Sustainable Community Participation in Slum Upgrading (Developed from The ADB's Model (2011) with modifications)
Source: Authors, 2017

Regularization of slum settlement is necessary if the desired sustainable development is to be achieved, as most slums are regarded as illegal settlements. Regularising properties and providing secure land tenure to residents is a major step in achieving success in any upgrading project charges (Asian Development Bank, 2011; The Cities Alliance 2016). Regularization will help gain the confidence of slum residents and also increase the revenue base of government through property tax levies and utility service charges (Asian Development Bank, 2011). Non-Governmental Organizations (NGOs) and Community Based Organizations (CBOs) are expected to provide the necessary human resource required in implementing slum upgrading project and also to support the financial resources provided by Government and Development Banks. NGOs and CBOs are also used in conducting public awareness campaigns in within the slum settlement in order to foster residents support

for the proposed slum upgrading projects. Financial contributions to upgrading project by slum residents can be through voluntary donation or fund generation Self Help Groups (SHGs). Active participation in every stage of upgrading work will help create a sense of belonging in residents'. Successful slum upgrading will help transform slum dwellers into citizens, shack into house, and the slum into suburb thereby achieving the desired inclusive city (The Cities Alliance, 2008).

7.   Recommendation

To ensure sustainability of slum upgrading projects and active participation on the part of slum residents, it is recommended that;

- Institution and legal framework for slum upgrading should be drafted in such a way that it can provide a workable and sustainable framework for community participation by adopting Community Driven- Development approach.

- Mode of participation should be well spelt out and should not include mere co-option of residents but rather, should include compliance, consultancy and cooperation.

- Proper financial accountability and adequate dissemination of information between the project initiator, community leaders, residents and other stakeholders will help in encouraging participation.

- Training and retraining of residents will help in improving their skill and empower them economically, thereby alleviating poverty among residents.

- Credit facilities should be made available for projects and savings should be encouraged amongst residents to enable them make meaningful financial contributions towards the project. Financial contribution should be based on every household's ability to pay. They can also contribute land or provide unskilled labour for the project, thereby also generating income for the sustenance of their family.

- Platform for participation should be made flexible and attractive in order to encourage NGO,s , foreign donors and Development Banks to be actively involve.

8.   Conclusion

It is an established fact that the meagre community resources of slum dwellers are not sufficient to meet the development needs of their environment, especially in the area of infrastructure refurbishment. Government intervention is required in the provisions of major infrastructure like access roads, water and electricity. Apart from the Traditional sources of financing infrastructure by national and local government, Non- Governmental Organizations and slum dwellers are also encouraged to participate in slum upgrading projects. Community development should entail active participation of every stakeholder and most especially, the members of the affected community. Participation will help community make input into issues of concern to them and ensure sustainability in the attainment of the desired inclusive city.

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