

BUILDING PARTICIPATION; TOWARDS SUSTAINABLE DEVELOPMENT IN INNER CITIES RENEWAL PROJECTS

By: Dr. Arch. Ayman M Nour Afify*
**Lecturer of Architecture, Faculty of Engineering – El Mataria
Helwan University**

Abstract:-

Most of the inner areas in the traditional Egyptian cities, which have been constructed at least 50 years ago, are facing a process of rapid deterioration of their socio-economic and urban environment. This phenomenon has been explained as the main result of the failure of governmental agencies and local bodies working in the field of housing supply, to provide the low-income families with an affordable shelter. Although, these informal settlements present the sole solution for the poor to acquire housing units in affordable basis, most of governments have resisted these informal settlements. The rationale of governmental officials was that such informal housing plots (settlements) are built in violation to laws and building regulations and lacking main basis of traditional planning. Even, with the change of attitude of the governmental agencies in the last 25 years from demolishing to upgrading these informal settlements, all upgrading projects had limited impact on improving the socio-economic aspects of life within such areas or on developing a clear policy of upgrading on the national or regional levels. Accordingly, there is a clear need to develop more innovative approaches in planning, managing and implementing these upgrading projects within these informal settlements. This should be in a way that recognizes the multi-disciplinary dimensions of upgrading process and the need to work with all different actors involved in participatory manner that ensure the fulfillment of each actor's objectives and needs.

*** Dr. Arch. Ayman M Nour Afify**

Lecturer of Architecture, Faculty of Engineering - El Mataria - Helwan University

4th Maaly Street, Heliopolis, Cairo – Egypt.

Email: aym_afify@hotmail.com.

1. Introduction :

Urbanization is the most important phenomena transforming the developing countries for reaching economic and social change. Accepting urbanization, urban development and city growth does not mean, however, that these processes do not represent a challenge to policy formulation. There is no doubt that the rapid and unparalleled growth of cities in the developing countries during the past four decades has led to negative consequences that must be addressed: First an increase in the incidence of urban poverty, over-concentration of population and economic activities in a few large cities; Second, Great deficiencies in urban shelter and services, and a deterioration of environment in and around cities. Policy makers in developing countries recognize that a resolution of these problems is essential to preserving the productivity and efficiency of urban, and thus of national economies.

The research started with defining the Sustainable Urban Development and Improved Planning Instruments in inner cities renewal projects, and then analyzing the concept of participation in development activities, after that analyzing both the Participation Functions, and Participatory Strategies in renewal projects. Through the second part of this research, we discuss case study analysis; evaluation of the participatory approach in AI-Salam City, and then analyzing reasons for limited extent of participatory approaches in development activities. Finally, we present Conclusions & Lessons of this research.

2. Sustainable Urban Development and Improved Planning Instruments:

Sustainable development can be defined narrowly or broadly. In the more limited sense, creating the conditions for economic growth while maintaining the stock of natural resources at or above their present level is sustainable economic development. Such development can still occur at the expense of deteriorating social and cultural conditions. A broader definition of sustainable development would add to the above: the achievement of improved social objectives and quality of life for all income groups.

With this in mind, sustainable urban development may be defined, for any city, as the maximization of three main items (Fig -1) :

- Economic efficiency in the use of development resources. (Including the goods and services provided by the natural environment, maintaining natural resource stocks at or above their present level.
- Social equity in the distribution of development benefits and costs (with particular emphasis on the needs of the low income groups.
- Avoidance of unnecessary foreclosure of future development options.

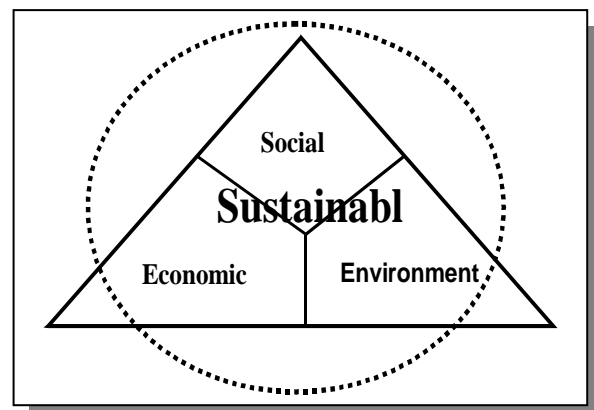


Fig (1) maximization of sustainable urban development .

Source: The Researcher

In the same time, meeting basic needs (minimum standards of drinking water, solid waste management, drainage, sanitation and shelter) is an important component of sustainable urban development and addresses the growing importance of urban poverty. At a wider scale, when planners can contribute to relevant policy reforms to overcome critical environmental management issues, for example, by introducing incremental standards, targeting subsidies, water basin plans and integrated transport planning.

Where urban planning supports sustainable urban development there is even more need for institutional coordination improvements. Many other disciplines are becoming involved, (scientists, economists, ecologists, financiers, engineers, NGOs, and the planner increasingly) is working as part of a multi-disciplinary team. The emphasis on sustainable urban development also implies the revival or creation of forms of regional planning organizations to focus on regional issues such as resource management and integrated transport policies and which can interpret the impact of national issues such as energy policy on regional and city level planning.

2- Participation in Urban Development Projects:

The concept of participation in development activities is certainly not a new one. In rural development, community participation has been recognized as an essential component at least since the early 1950s. The importance of participation in urban development activities has lagged behind. One reason may be that rural projects are mainly production oriented, and it is quite evident that the beneficiaries as producers must be involved in the development of production systems. In urban projects, beneficiaries have been seen primarily as consumers of services, and their role in developing supply systems has therefore been accorded less importance.

We can define participation in urban development projects with regard to the context of participation, the concerned actors, orientation toward processes, and the nature of relationships that it involves, its implications may be described briefly:

- **Actors:** The participants concerned are not limited to residential communities; they may be any grouping of infrastructure users or even individual users and also include private sector enterprises in particular.
- **Relations:** Participatory urban development projects depends on voluntary relationships between two or more groups, actors, or stakeholders. This implies that participation is a two-way process; it is concerned not just with the inputs of beneficiaries to a project or program but with the interaction on a continuing basis between beneficiaries, government, and others.

- **Context:** Participation is not limited to development projects but includes many activities that take place in normal day-to-day city life outside of the project context. These range from the micro-scale, including such activities as community-based maintenance of local drains, to the macro-scale, including public support for government-sponsored environmental protection programs.
- **Process:** Participation refers to a process and not a product. What counts, in other words, is not simply the share of benefits that participants receive but the role they play in determining the evolution of delivery of infrastructure services.

2-1 **Participation Functions:**

Management is a cyclical process involving the formulation of goals; planning and programming; implementation; operation and maintenance; monitoring and evaluation; and application of information derived from monitoring to planning and operational functions. Participation is important for each of the following functions:

- **Goal and policy formulation**
- **Long-Term planning**
- **Medium-Term investment planning and programming**
- **Implementation of plans**
- **Operation and maintenance functions**
- **Monitoring and evaluation of system performance**








- **Goal and policy formulation**, which in principle expresses the values, needs, and aspirations of all interest groups. Public support is mustered for selected goals through a two-way process of information exchange and consultation.
- **Long-Term** planning, which, as well as being a response to policy goals for urban renewal, is based on real demands. Users may contribute to this process, both with regard to identifying effective market demand and interpreting development goals.
- **Medium-Term** investment planning and programming, which calls for user participation in a bottom-up process involving the identification of needs, setting of priorities, selection of appropriate solutions, and definition of an investment program in relation to the means available. This bottom-up decision-making process can only work effectively if the participating communities and user groups have access to relevant information on conditions and technical possibilities

- **Implementation of plans**, construction of facilities, and development of service delivery systems, which are influenced by people who, as users, purchase municipal services such as water or sewer connections. Through their contributions to government projects, the construction of individual private facilities, and/or the provision of informal local services that may operate independently of public urban services systems, people are also involved in implementation as producers.
- **Operation and maintenance functions**, which encompass service use, service supply, and the upkeep of facilities. Proper use of public facilities by people can substantially improve their effectiveness and at the same time reduce maintenance requirements. Additionally, service users and community groups may themselves make important contributions to the maintenance of local segments of municipal facilities.
- **Monitoring and evaluation of system performance**, which constitutes an essential link in the management cycle. Because they are directly affected by the operation of urban services systems, users are in a good position to contribute to monitoring the condition and performance of systems.

2-2 Participatory Strategies

Participation exists in a wide variety of forms, ranging from government involvement in community-based development activities to people's participation in government-directed management functions. These approaches are in no way exclusive and often take place at the same time. Four main strategic approaches are identified as following:

This table (1) illustrates the legend that will be used in the next table for the strategies of participatory approaches

<u>Actors:</u>	<u>Roles:</u>
Community 	Management 
Private Sector 	Direction 
Public Sector 	Participation/Support 
	Consultation 

Tab (1) legend for strategic approaches
Source: The Researcher

- **Community-based strategies**, which constitute the most elementary form of participatory development. The frame of reference for development inputs is the social group or community itself. The main objectives are to support the local development of urban services; enhance community groups capacity to manage service development; and enable these processes through appropriate changes in the legal, technical, and policy context. Typical measures include organizational and technical extension services. Enabling measures involve

recognition of people's rights to self-help urban services improvements, tenure security, and awareness building programs, as in Table (2):.

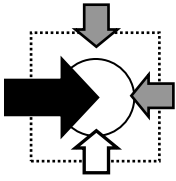
	Approach: Community- Based			
	Strategic Basis	Objective of Participation	Orientation of Public-Private Partnership	Scope of Participatory Management
	Social group or community	Support & enable Self-managed urban development by user communities	Government (and NGO) inputs to community-basis development	Implementation

Table (2) strategic approaches of Community Based
Source: The Researcher

- **Area-based strategies**, which are the common form of government-directed programs for participatory urban upgrading. Rather than a social group, a particular residential area constitutes the frame of reference of development efforts. Programs involve beneficiaries at various stages of the development process, with the principle objective of improving the efficiency and cost effectiveness of government activities.

Typical measures include awareness building, community participation in demand analysis and the choice of solutions, and mobilization of resources for implementation and operation and maintenance. Organizational capacity-building may also be introduced as in Table (3).

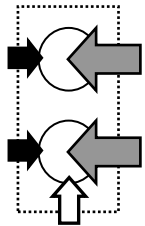
	Approach: Area-Based			
	Strategic Basis	Objective of Participation	Orientation of Public-Private Partnership	Scope of Participatory Management
	Residential area	Involve users in government-directed urban development to improve their effectiveness	User inputs to government-directed processes of urban develop.	Programming Implementation O&M

Table (3) strategic approaches of Area-based
Source: The Researcher

- **Functionally based strategies**, which employ the functional structure of the urban services system as the frame of reference for organizing developmental inputs. The main objectives of this approach are first to

designate areas of responsibility within which each stakeholder may pursue particular interests and exercise capacities, and second to establish effective collaboration between these various domains. Typically, a community group will take responsibility for managing and financing "internal" activities such as local garbage collection, while the municipality will ensure the "external" tasks such as onward transfer and disposal of waste materials. as in Table (4).

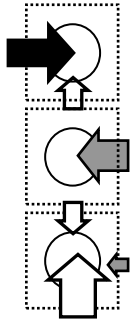
	Approach: Functionally based			
	Strategic Basis	Objective of Participation	Orientation of Public-Private Partnership	Scope of Participatory Management
Service delivery Functions	Collaborate with user and community groups on the basis of clear and division of tasks and responsibilities	Coordinated, self-managed activities of various stockholders	Planning Programming Implementation O&M	

Table (4) strategic approaches of Functionally based
Source: The Researcher

- **Process-based strategies**, which take the entire process of urban renewal management as their frame of reference. The basic objective is to improve the efficiency, demand responsiveness, and accountability of urban services service management through a general decentralization of delivery processes. Decentralization implies a double movement of on the one hand, devolving decision-making processes and operational responsibility to more local bodies and, on the other hand, opening management functions at each level to the exchange of information from below. as in Table (5).

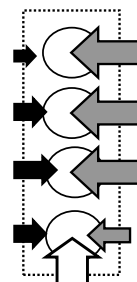
	Approach: Process-based			
	Strategic Basis	Objective of Participation	Orientation of Public-Private Partnership	Scope of Participatory Management
Management process	Decentralize management functions to improve demand-responsiveness; Privatize selected service delivery functions	User and citizen inputs into government-based urban management processes	Policy making Planning Programming Implementation O&M Monit. & Eval.	

Table (5) strategic approaches of Process-based
Source: The Researcher

3. Case Study Analysis; Evaluation of the participatory approach in Al-Salam City:
The project began with the results of current status analysis and the opportunities for physical development. It took into consideration the structural plan for the Greater Cairo Region development in 1983, as in figure (2), which specifies developmental objectives as:

- Emphasizing economic development, to be carried out through physical expansions towards the desert to protect agricultural land.
- Upgrading living conditions by improving the environment of new physical areas around Cairo.

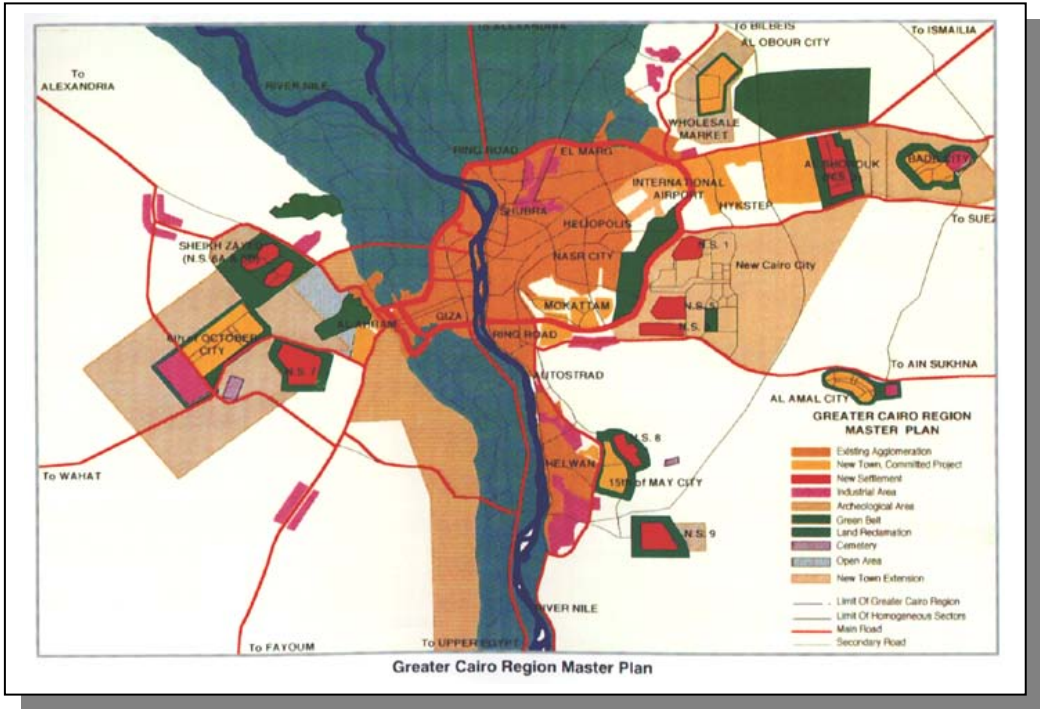


Fig (2) illustrates the Greater Cairo Region Master Plan 2017.
Source: GOPP, 1983.

The project of Al-Salam City, was implemented through a public tender in 1998, to which Cairo Governorate invited technical-engineering consultation offices in Egypt. The project had three stages:

- designing a study of the status of Al-Salam urban district (Hayy Al-Salam),
- implementing the study on the current status,
- proposing a general plan till the year 2017,

Since only a year has elapsed since the first phase of the project began, no evaluations of the project have yet been performed. The project was traditionally implemented, without consulting beneficiaries and stakeholders. Studies were carried out by a consultant and were comprehensive, incorporating socio-

economic and cultural aspects in addition to physical data. Al-Salam Urban district's administration has a housing manager, an Environmental Affairs Office, and a Department for Planning and Monitoring.

However none of these departments participated at any stage of plan development, except at the meeting where the consultant presented the three alternatives for upgrading the area. In order to prepare a thorough study that considered the viewpoints of all concerned stakeholders, a number of offices, agencies, and groups should have been involved.

These are illustrated in figure (3) and discussed below:

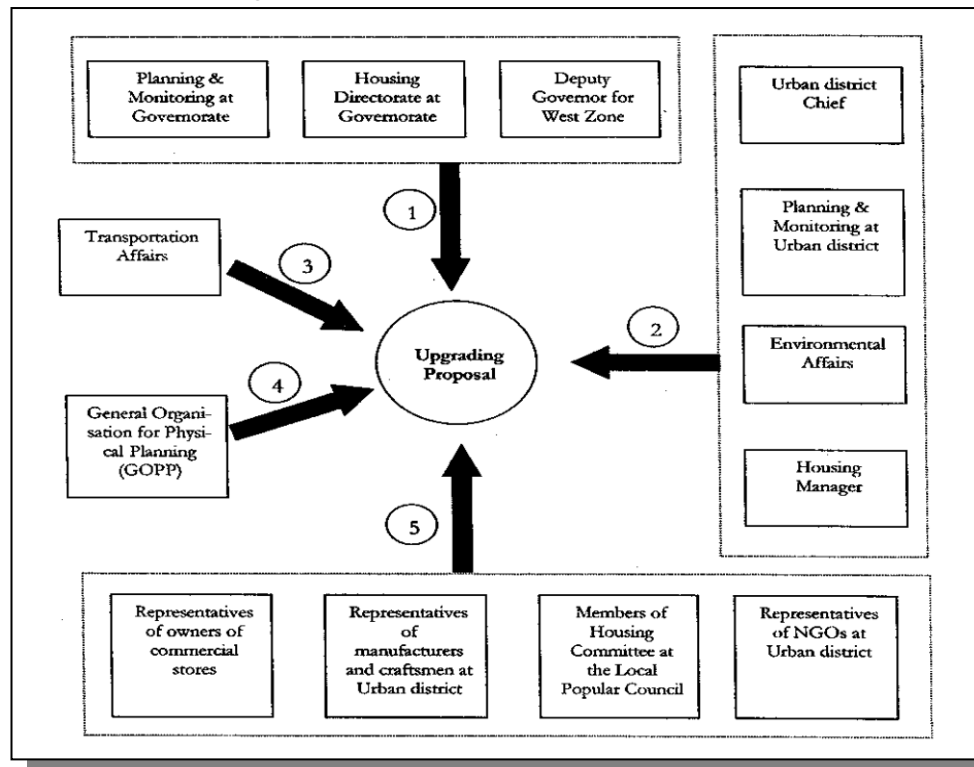


Fig (3) illustrates the procedures to be followed in developing plans for cities and villages.

Source: The Researcher

- The first group, which includes the Planning and Monitoring Office, Housing Directorate Office, and Deputy Governor are at the governorate level. The Deputy Governor represents the higher authority of the urban district and approves the physical plans and proposes financial allocations for implementation.
- The second group of stakeholders consists of the Chief of the Urban district to which the Housing Department is directly affiliated and which is responsible (on the level of the urban district) for housing, physical affairs, and municipal public utilities. In addition to its legal responsibilities, the Housing Department carries out daily work on all physical problems of the urban district.

- The third major stakeholder is the Transportation Affairs Department, which is responsible Building and maintaining regional roads, and building and maintaining bridges that cross over such roads.
- The fourth stakeholder is The General Organization for Physical Planning (GOPP), which is the main party for planning cities and villages.
- The final group of stakeholders includes the Physical Planning Committee, whose membership must include representatives from the Local Popular Council of the local unit, together with a number of residents from the city or the village, representing different community groups.

This case study clearly showed that there is a separation between concerned stakeholders at the district and area levels and between concerned central planning at the governorate or national level regarding stakeholders and central planning upgrading informal settlements. Officials of the district are regarding upgrading unaware of governorate plans for informal settlements and are informal settlements particularly uninformed about financial allocations for this purpose. The officials of AI-Salam Urban district did not know about the general and detailed plans designed by Arab Contractors, which were not even available to them. Popular participation is also non-existent.

It appears from the case study that NGOs have not played a role in planning upgrading of informal settlements NGOs and private voluntary organizations (PVOs) could play an important role in this respect. NGOs, which establish mosques and medical care units, have the capability, to play a significant role in relation to informal settlement upgrading. The most important component might be the mobilization of the target local communities.

4- Reasons for limited extent of participatory approaches:

4-1- **Legal constraints.** The fact that high proportions of the residents of informal residential areas (which often constitute up to one-half of a developing city's housing units) do not possess legal title to their plot constitutes an important constraint to their participation. As service provision amounts to de facto recognition of property rights, it is a step which the technical" agencies responsible for urban service provision are neither willing nor authorized to take. To resolve this problem, governments may create special programs for "regularizing" informal settlements, meaning the legalization of land tenure, layout corrections, and service upgrading.

4-2- **Regulations and technical standards.** Further constraints to participation derive from the regulations and technical standards which municipal governments apply to urban services construction. Full compliance with prevailing urban service regulations and standards often raises the price of urban services beyond the means of low-income households. While a certain

level of subsidy is sometimes required, genuine participation is only possible when the applied solutions are more or less affordable.

4-3- **Planning methods.** Prevailing planning methods and procedures often hinder participation in urban development. The conventional master plan embodies a conceptual approach, which is in many ways antithetical to participatory, community-based, bottom-up planning. Employing a sectoral master plan, conventional planning is a top-down process that focuses on the desired future state of a single urban services sector, which is viewed as a spatially extended technical network. Implementation is normally organized into distinct stages (projects) that aim to achieve the design capacity by a target date. As urban service users, people figure as parameters, external to the system, but essential to defining its performance requirements for example in calculating liters per capita per day.

4-4- **Project management procedures.** Besides planning methods, the administrative procedures and practical interests of external support agencies often restrict the scope of participatory urban development. To control timing of activities and expenditures under a development project, project planners and managers must formulate an implementation schedule and budget in advance. To ensure that these are respected, there is a tendency to limit the beneficiaries' role in the planning phase to one-way consultation as opposed to genuine participation in decision-making

4-5- **Absence of a workable model** The participatory approach usually implies important innovations for the responsible government institution. Bureaucratic resistance to change and the mere fact that it has never been done before, constitute major hindrances to the introduction of participatory approaches. Even when the will to introduce participation is present, lack of knowledge of required inputs of time, skills and resources may lead to unworkable compromises.

5- Conclusions & Lessons: -

Urban development has been taking place for a long time across the world. Many different approaches to urban development have come and gone. For some decades, the emphasis was on trying to prevent cities and towns from growing in the future. Now that the importance of well-functioning cities and towns and the inevitability of their growth have been recognized, the emphasis is on managing them effectively. In recent decades in particular, a number of significant lessons have emerged. These are:

5-1 The Importance of sustainability:

Sustainable development has tended to be associated with the conservation of non-renewable physical resources for the use of future generations. However, for urban development initiatives to be sustainable they cannot be confined to physical resources and the environment. If the urban economic and social frameworks within which they take place are not sustainable, little of lasting value will be achieved. For this reason, the guidelines use the now commonly accepted view of sustainability as concerning connected social, economic and environmental issues.

5-2 The importance of good governance - transparent, accountable and participatory decision making:

One of the major problems in achieving sustainable development is that of weak institutions taking veiled decisions through unclear decision-making processes. The consequence can be decisions on priorities and the use of resources that do not reflect the real needs and wishes of urban citizens. If acceptance by citizens is low, then their motivation to become actively involved in development becomes low. Hidden decision-making processes not only open the door to poor decisions, but also to mismanagement and corruption.

5-3 The role of appropriate Local Institutions and partnerships:

Participation and partnership are at the center of the strategic approach to effective urban development. Whilst urban programs and projects may take place with different actors and stakeholders, participation with different levels of involvement, partnership implies a more equal distribution of responsibility (and benefit) amongst all partners. In order to develop and sustain partnerships on this basis, emphasis must be given to "empowering" and "enabling" all partners, especially those with the least access to power and resources such as low-income urban households and communities.

5-4 The importance of development strategies and co-ordinated approaches

An effective national or regional urban framework or policy can be a critical ingredient in supporting more effective urban development. Such a framework usually sets a policy vision for cities and towns and guides decision making on resource allocation. At a town or city level, strategic plans can provide a framework for priority setting and influencing of investments by a wide range of stakeholders - government, private sector and community. A strategy developed

together with the main stakeholders is the best basis for the co-operation and co-ordination that is necessary to achieve a more effective approach. It must be based on consent and clear potential benefits.

5-5 The necessity of adequate and appropriate financing:

All development needs to be financed in some way. Problems have been confronted particularly with urban developments that are financially supported during their construction or early phases, often from sources external to the urban area in which the development is located, but which do not generate enough of their own finances or fall far beyond the means of the city or town to operate and maintain over the medium and long terms. Urban developments should be designed appropriately with regard to the financial Systems and capacities of towns and cities. The importance of appropriate cost recovery has been a particularly important lesson for long term financial sustainability. The need to involve the private sector and civil society in urban financing is also important.

References:

1. Bakker, N. and J.G. Waardenburg, 1989, Institutional Development. Erasmus University, Rotterdam.
2. Bremer, J.A. 1984, Building Institutional capacity for policy analysis: an alternative approach to sustainability. Public Administration and Development, Vol. 4 no. 1.
3. El Azzazi, Mohamed. 2001, Local Organizations Involved in Upgrading Informal Settlements: Case Studies, GTZ & Ministry of Planning ARE.
4. Israel, A. 1987, Institutional Development, incentive to performance. Baltimore: The John Hopkins University Press (published for the World Bank).
5. Moser, Caroline O.N. 1987, Approaches to community participation in urban development programs in third world countries, In Bamberger, ed. Readings in Community Participation, Washington, D.C. :EDI, The World Bank,.
6. Schubeler, Peter. 1996, Participation and Partnership in urban infrastructure management, UMP, The world Bank, Washington, D.C.
7. Uphoff, N. 1986, Local Institutional Development: an analytical Sourcebook with cases. West Hartford: Kumarian Press.
8. Vonk, M. 1992, Institutional Development: Theoretical Aspects in Urban Practice. I.H.S. Working Paper no.4 Rotterdam.
9. World Bank, 1994, World Development Report 1994, The world Bank, Washington, D.C..

تدعيم و بناء المشاركة؛ نحو تحقيق التنمية بمشروعات تطوير المناطق المتدهورة داخل المدن

دكتور مهندس/ أيمن محمد نور عفيفي*
مدرس العمارة – كلية الهندسة بالمطرية – جامعة حلوان

المخلص:

شهدت اغلب المناطق القديمة في المدن المصرية خلال العقود الثلاثة الماضية العديد من المظاهر العمرانية المضطربة تمثلت في النمو السريع الغير منتظم للتجمعات العشوائية بالمناطق القديمة داخل المدن وخارجها والتي سببت في التدمير السريع للبيئة الاجتماعية – الاقتصادية – العمرانية لهذه المناطق القديمة و التي يرجع تشييدها إلى ما قبل خمسون عاما علي الأقل. وقد تم تفسير هذه الظواهر كونها نتيجة مباشرة إلى فشل السياسات الحكومية وعجز الإدارات الحكومية علي المستوي المحلي في مواجهة تزايد الطلب علي المساكن والخدمات العمرانية الأساسية للمناطق الفقيرة.

وعلي الرغم من كون ظاهرة المجتمعات العشوائية قد قدمت حل فردي لمشكلة الإسكان لهذه الشرائح الفقيرة من المجتمع المصري علي مدار العقود الثلاثة الماضية، إلا أن الموقف الرسمي تجاهه استمر لفترة طويلة منكر لها، حتى بعد تغير نظرة الدولة لها ظل دعم وتطوير هذه المناطق العشوائية محدود الأثر ولم يضع الإطار المتكامل لتطوير وارتقاء هذه المناطق المتدهورة عمرانيا واجتماعيا واقتصاديا.

ومن هنا تظهر الحاجة الملحة إلى تطوير مداخل جديدة أكثر شمولية وتكامل تتناول كل المراحل من تخطيط وإدارة ومتابعة ثم صيانة هذه المشروعات التنموية بالمناطق العشوائية. هذه المداخل المتكاملة تتم من خلال التعاون والمشاركة الفعالة لكل الفعاليات بمراحل عملية الارتقاء والتطوير لتحقيق الأهداف الموضوعية واستغلال أقصى قدر من الإمكانيات الفنية والاقتصادية المتاحة علي المستوي المحلي بالمناطق العشوائية.

* دكتور مهندس/ أيمن محمد نور عفيفي
مدرس العمارة – كلية الهندسة بالمطرية – جامعة حلوان
عنوان المراسلة: 4 شارع المعالي روكسي – مصر الجديدة – القاهرة
البريد الإلكتروني: aym_affy@hotmail.com.