



# Participatory Upgrading of Informal Areas

A Decision-makers' Guide for Action



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# Preface

Dealing with informal areas is one of the big national challenges in Egypt. The Egyptian government has been giving due attention to this issue in the policy and legislative framework, allocation of resources and development of strategies. President Hosni Mubarak listed the upgrading of informal areas among the targeted objectives of his presidential election campaign in 2005. In this field, the Ministry of Economic Development (MoED) has been implementing the Participatory Development Programme in Urban Areas (PDP) over the last 12 years as a measure of the Egyptian-German development cooperation, supported by the KfW Entwicklungsbank (German Development Bank) and the German Technical Cooperation (GTZ) and financed by the German Federal Ministry of Economic Cooperation and Development (BMZ). The program has developed methods for participatory upgrading based on the Egyptian and international experiences and it demonstrated in pilot projects in Manshiet Nasser and Boulaq el Dakroul that these methods can work. The program assists its partners in the Governorates of Cairo, Giza, Qalyoubia and Helwan to roll out the implementation of participatory development through technical advice and the Local Initiatives Fund, jointly financed by the MoED and German Financial Cooperation. The program also supports the Integrated Care Society, a leading NGO engaged in upgrading informal areas headed by the First Lady, Mrs. Suzanne Mubarak, and the HSBC bank in adopting a participatory approach in upgrading informal areas. In its current phase, PDP is handing over its capacity development products to national training institutes to ensure nation-wide replication of the use of participatory development methods.

This book on “Participatory Upgrading of Informal Areas: A Decision-makers’ Guide for Action” presents the model of participatory upgrading and how to apply it. It fits within the vision of the Egyptian government for urban development and complements its initiatives for decentralisation and good governance. It is targeted to decision-makers on different levels of government: the local, regional and ministerial level, as well as partners for upgrading in the civil society and private sector organisations. We hope it does not only find its way to the hands of those decision-makers, but also to their hearts and minds, and is hence translated into action.



Dr. Osman Mohammed Osman

Minister of Economic Development

# Introduction


This book represents the accumulated experience of the Participatory Development Programme in Urban Areas (PDP) since 1998. GTZ is assisting a number of partner ministries as well as the Governorates of Cairo, Giza, Qalyoubia and Helwan in developing and implementing participatory upgrading mechanisms of informal areas. The KfW Entwicklungsbank (German Development Bank) is financing pilot interventions based on this approach to demonstrate its effectiveness through fast and visible change. Since 2004, PDP has been advising stakeholders on three levels: the national, regional and local level. Accordingly, PDP is assisting local actors in communicating their priority needs and obtaining support from partners on the regional and national levels. Furthermore, the programme is providing advice on national policies on solid ground of local knowledge. PDP's consolidation of its efforts on the regional (governorate) level shows how pivotal this intermediate level is in linking national policies to local practices in urban upgrading.

This volume guides decision-makers on steering participatory upgrading. It can be useful beyond the partners, time frame and geographic scope of the PDP and is supposed to be used for nation-wide replication. In Egypt, it also delivers an important contribution to the international experience in the field of urban upgrading, good governance, social inclusion and sustainable urban development.

The volume consists of two parts. The first part "Basic Concepts" describes informal areas as a global phenomenon and their different types in Egypt. It also discusses what is meant by upgrading, why to upgrade and the reasons for using a participatory approach. It then presents the mechanisms and tools of participatory upgrading and their contribution to achieving agreed-upon objectives of local development. The second part "Guidelines for Action" specifies the application of participatory upgrading on different levels and presents in detail each of its tools in terms of objectives, process steps, partners, framework conditions, capacity development requirements and expected outputs. The volume concludes by illustrating how these tools can interact in a complementary way; how they are implemented on the local level, managed on the regional level and supported by the national level.

The guidelines mainly target decisions-makers involved in upgrading informal areas, and more widely in local development. One key player in this field is the government. Accordingly, ministers, governors, district chiefs, heads of relevant departments such as urban planning, planning and monitoring, information centres, etc. will find these guidelines useful in explaining what the implementation of participatory upgrading mechanisms requires them to do. More importantly, the guidelines show decision-makers how their sphere interrelates and interacts with many others within and outside government administration and the type of cooperation to expect and endorse. Other groups of stakeholders such as civil society and the private sector can also benefit from these guidelines to understand how governmental bodies can implement and manage participatory upgrading on different levels and how they can complement the role of government. The guidelines are also targeting those working in local development, good governance or poverty alleviation.

Overall, these guidelines aim to simplify the complex issue of participatory upgrading drawing on Egypt's experience. We hope they will be used by decision-makers on different levels within governmental, civil society and private sector organisations to implement participatory upgrading.



Marion Fischer

PDP Program Manager

# Contents

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<b>Part one</b>	<b><i>Basic Concepts</i></b>	
<b>1. Informal areas: What are they?</b>		<b>2</b>
Informal areas: A global phenomenon		2
Typologies of informal areas		2
Informal areas in Egypt: Emergence and government reactions		3
Typologies of informal areas in Egypt		4
<b>2. What is meant by 'upgrading'?</b>		<b>6</b>
Different modes of intervention in informal areas		6
A participatory approach to informal areas upgrading		8
<b>3. Why upgrade informal areas?</b>		<b>9</b>
Economic value of informal areas		9
Social capital of informal areas		10
Use value of informal areas		10
Globally agreed upon objectives		11
<b>4. A participatory approach to upgrading</b>		<b>12</b>
Participatory upgrading and local development		12
Decentralisation		12
Institutionalisation		13
Capacity development		13
<b>5. Mechanisms of participatory upgrading</b>		<b>14</b>
A recipe for participatory upgrading		14
1. Sharing information		16
2. Overview and strategy for informal areas		17
3. Stakeholders networking and cooperation		18
4. Promoting self-help initiatives		19
5. Knowing local community		20
6. Planning and managing integrated development		20
7. Impact orientation		21

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**Part two**     *Guidelines for Action*

<b>Application of participatory upgrading mechanisms on three levels . . . . .</b>	<b>24</b>
<b>1. Sharing information . . . . .</b>	<b>26</b>
1.1. GIS databases of informal areas . . . . .	26
1.2. Information sharing systems . . . . .	30
<b>2. Overview of and strategy for informal areas . . . . .</b>	<b>34</b>
2.1. Redefining and classifying informal areas . . . . .	34
2.2. Information map and official register . . . . .	36
2.3. Intervention strategies and priorities . . . . .	40
<b>3. Stakeholders networking and cooperation . . . . .</b>	<b>44</b>
3.1. Stakeholders analysis and management . . . . .	44
3.2. Mobilising and coordinating resources . . . . .	48
<b>4. Promoting self-help initiatives . . . . .</b>	<b>50</b>
4.1. Local initiatives projects through NGOs . . . . .	50
<b>5. Knowing local community . . . . .</b>	<b>54</b>
5.1. Participatory needs assessment . . . . .	54
5.2. Assessing capacity of stakeholders . . . . .	58
<b>6. Planning and managing integrated development . . . . .</b>	<b>60</b>
6.1. Participatory planning and budgeting . . . . .	60
6.2. Management of public facilities . . . . .	64
<b>7. Impact orientation . . . . .</b>	<b>66</b>
7.1. Impact monitoring and evaluation . . . . .	66
<b>Interrelations of mechanisms on the three levels . . . . .</b>	<b>70</b>
<b>Conclusion . . . . .</b>	<b>72</b>
<b>Abbreviations . . . . .</b>	<b>74</b>



Photo by Mohammed Abou Samra

*General view of Manshiet Nasser, Cairo*

## **Part one: Basic Concepts**

- 1. Informal areas: What are they?**
- 2. What is meant by 'upgrading'?**
- 3. Why upgrade informal areas?**
- 4. A participatory approach to upgrading**
- 5. Mechanisms of participatory upgrading**

# 1 Informal areas: What are they?

## Informal areas: A global phenomenon

Informal areas do not exist only in Egypt; large parts of cities in all developing countries are formed of slums or informal developments (see table). Slums used to exist in big industrial cities in Europe and the USA up until the turn of the 20<sup>th</sup> Century. The growth of substandard, illegal or informal housing is understood by experts as a normal phenomenon accompanying rapid urbanisation, where formal housing markets cannot cope with the huge demand and urgent need for shelter by the urban poor. Informal areas occur when planning, land administration and housing policies fail to address the needs of the whole society. On a global scale informal settlements have been perceived as a significant problem since they house the poorest and most vulnerable groups in developing countries in conditions that threaten human development. At the first World Urban Forum in 1976, UN-HABITAT ascribed the program “Cities without Slums” using the term slum to describe “a wide range of low income settlements and/or poor human living conditions” (see box). Since that time, the global concern about informal settlements and their residents generated the following policy measures:

### UN charter on the right to housing, universal declaration of human rights

Article 25 (1): “Everyone has the right to a standard of living adequate for the health and well-being of himself and of his family, including food, clothing, housing and medical care and necessary social services, and the right to security in the event of unemployment, sickness, disability, widowhood, old age or other lack of livelihood in circumstances beyond his control.”

### Agenda 21, chapter 7

Promoting sustainable human settlement development: The overall human settlement objective is to improve the social, economic and environmental quality of human settlements and the living and working environments of all people, in particular the urban and rural poor.

### Millennium Development Goals, Goal 7 / Target 11

Ensure environmental sustainability: By 2020, to have achieved a significant improvement in the lives of at least 100 million slum dwellers.

## Typologies of informal areas

Informal areas refer to a wide range of residential areas formed of communities housed in self-constructed shelters that are perceived as informal on the basis of their legal status, their physical conditions or both. Categorising informal areas based on these two criteria helps to identify different typologies. The criterion legal status differentiates between legal and illegal housing, where illegal housing designates all constructions that are either not following building and planning laws and regulations or are built on illegally acquired land. The criterion physical condition allows to distinguish between acceptable and deteriorated physical structures. The

Population of slum areas at mid-year 2001

Region	% of the urban population	Urban slum population (million)
World	31.6	924
Developing Regions	43.0	874
Africa	60.9	187
Asia (excluding China)	42.1	554
Latin America and the Caribbean	31.9	128
Oceania	24.1	5

Source: UN-HABITAT, *Slums of the World: The Face of Urban Poverty in the New Millennium*, UN-HABITAT, 2003

### UN-HABITAT definition of a slum household

A slum household is defined as a group of individuals living under the same roof facing one or more of the conditions below:

- Lack of access to improved water
- Lack of access to improved sanitation facilities
- Insufficient-living area, overcrowded
- Inadequate structural quality/durability of dwellings
- No security of tenure

Source: UN-HABITAT, 2002



Informal area in Mumbai, India

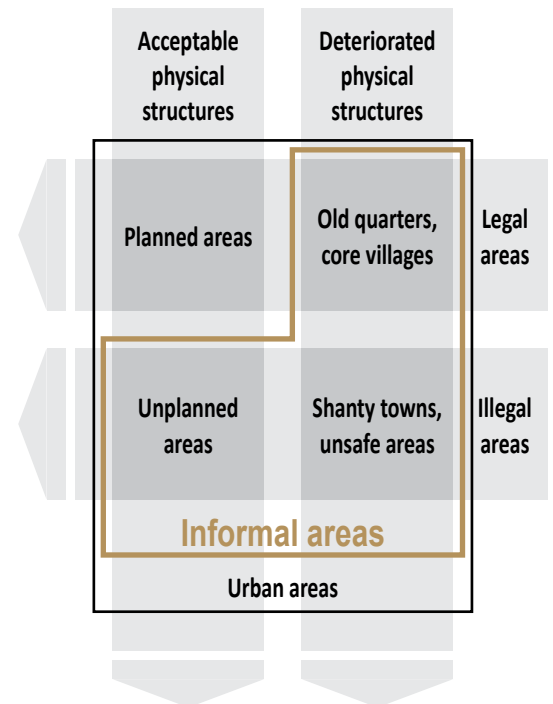
four categories that emerge designate different typologies of housing structures, three of which are considered informal. There are legal, but deteriorated structures, such as old inner-city dilapidated houses that are usually subdivided and rented out to lower-income groups. There are also structures that are illegally built but are in acceptable physical conditions however somewhat lack access to water, electricity, sanitation and other basic services and infrastructure. And there are illegal and deteriorated structures, such as simple shacks of impermanent building material that form pockets of shanty towns and are considered unsafe (see diagram).

Informal areas have been associated with many social problems such as high levels of poverty and crime. While this perception holds true in reality to varying degrees, it puts a stigma on all informal area residents that affects their sense of belonging, citizenship and inclusion in society.

## Informal areas in Egypt: Emergence and government reactions

Informal areas emerged in Egyptian cities in the 1960s due to the flux of rural-urban migration and the saturation of formal affordable housing. The then socialist government reacted by building low-cost housing schemes however falling short of the increasing demand. During the wars of the 1960s/70s, the government housed migrants from the Suez Canal region in temporary shelters that grew later into informal areas. Initial settlements on public desert land were also ignored. Following the Open Door policy and liberal government of the 1970s, informal urban growth on agricultural land took momentum. By the 1980s, informal areas became a prominent feature of the urban environment, however overlooked by a government busy with modernising the infrastructure of formal areas and the development of new cities. Since the 1990s, (according to the chart beside) governmental policy started to target informal areas on the basis of perceiving it as a security threat, following the incident of terrorists manipulating inaccessibility of vehicles to some marginalised areas. This approach was soon mixed with a humanitarian cause confirmed by the presidential decree for the 'right to infrastructure' of informal areas' residents. A series of national programs for upgrading informal areas emerged, focusing mainly on improving access and providing infrastructure and services in consolidated parts of informal areas.

Based on the analysis of satellite images and field verification, the Participatory Development Programme in Urban Areas (PDP) estimated in 2002 the population of informal areas in the Greater Cairo Region (GCR) to be 8.3 million. This number was exceeding official estimates (2.1 million) by four times. In 2005, the General Organisation for Physical Planning (GOPP) estimated the population living in informal areas in Egypt at 6.2 million inhabitants, of which GCR housed 59%. In 2007, the Ministry of Local Development (MoLD) estimated that there are 1171 informal areas in Egypt with a population of 15 million, 40% living in GCR. This emphasises the fact that informal areas in Egypt are not an exceptional phenomenon or a subsidiary issue. It is increasingly becoming an element of public policies as being clearly mentioned in the following:



Classification of urban areas according to legal status and physical condition

### Recent milestones affecting the policies for informal areas in Egypt

#### 1990s

- ◆ Informal areas are considered a security threat,
- ◆ Presidential decree for 'right to infrastructure'
- ◆ Upgrading consolidated informal areas (access and roads)

#### 2000s

- ◆ Continuing upgrading (infrastructure and services)
- ◆ Major traffic axes flying over informal areas without connecting them
- ◆ Widening street axes which allow for self-improvement of the area by the residents

#### 2007

- ◆ Planning the fringes for the containment of informal growth

#### 2008

- ◆ Rock slide in Manshiet Nasser
- ◆ Establishing the "Informal Settlements Development Fund"

- ◆ The presidential campaign included giving attention to informal areas and ensuring decent living conditions for their inhabitants
- ◆ The five-year plans of 2002-07 and 2008-12
- ◆ The new “Building and Planning Law” (law number 119 for 2008) included definitions of informal areas

In 2007, the concern for controlling the growth of informal areas brought about a new ‘containment’ policy approach, trying to plan the fringes of the city before being eaten up by informal growth. In September 2008, a rock slide in Manshiet Nasser, a district in Cairo, killing 45 residents and injuring 57, brought the issue of informal areas, particularly in unsafe locations, to the forefront of government concern and media debate. Following that, a national fund was established in October 2008 to develop informal areas, giving priority to unsafe areas. The Informal Settlements Development Fund (ISDF) is directly affiliated to the Prime Minister and is managed by a board that includes representatives of six ministries, the private sector and NGOs.

The governmental upgrading policy, which is supportive of the presence and consolidation of informal areas into the city, continues in the 2000s. On the other hand, there are emerging city-wide projects marginalising informal areas by constructing traffic axes flying over them as well as planning visions for the GCR which perceive a complete replacement of informal areas by other uses.

## Typologies of informal areas in Egypt

In Egypt, the term *aashwa’i* is the only one publicly used to refer to informal areas. Contrary to the terms *shaabi* that is used to describe popular or working class neighborhoods and the term *baladi* that is used to describe areas where poor inhabitants especially of rural origin live, the term *aashwa’i* has a negative connotation in the public perception of being random, unplanned and illegal and is associated with social problems such as drug dealing, prostitution, street violence and high crime rates. A problem is that each public institution has its own definition of informal areas. A widely used definition has been formulated by GOPP in 2006: “All areas that have been developed by individual efforts, whether single or multi-story buildings or shacks, in the absence of law and has not been physically planned. They have been developed on lands that are not assigned in the city’s master plan for building. The buildings’ conditions might be good, however they might be environmentally or socially unsafe and lack the basic services and utilities”. In Egypt, the most common illegal housing includes squatter settlements on public land, where land acquisition and housing are both illegal, as well as informal growth on agricultural land, where land acquisition is legal but land use and housing development is illegal. The new “Building and Planning Law” (law number 119 for 2008) has defined and classified informal areas into two main types:

- ◆ **Unplanned areas:** Areas that have been developed without applying detailed plans, land division plans or planning and building regulations. Unplanned areas are mainly acceptable concrete structures built on privately-owned agricultural land which becomes consolidated over time and fed with infrastructure and services.
- ◆ **Areas of redevelopment:** Areas where the uses are not suitable for their prime location and usually dealt with through partial or complete redevelopment. The category of areas for redevelopment include legal deteriorated inner-city slums, squatter shanty towns and also the parts of the cemeteries used for living purposes. One category of the areas of redevelopment is classified as unsafe areas. These are defined by the ISDF, established in 2008, according to the UN-HABITAT criteria for unsafe areas (see box).

### Criteria for the identification of unsafe areas adopted by the ISDF

In unsafe areas, at least 50% or more of the following criteria is met:

- Buildings in locations that form threats to human life, including areas in danger of rock slides, floodings or train accidents (first priority).
- Buildings that are constructed with recycled or reused material in one or more of their elements (walls, roofs, etc.), buildings of low resistance to natural disasters and deteriorated buildings (second priority).
- Threats to the health of inhabitants, as in the case of the lack of clean water, improved sewerage, location within the influence zone of high voltage cables or building on unsuitable soil for building (third priority).
- Threats to stability of inhabitants, like the lack of ownership or the lack of freedom in dealing with the inhabitants properties (fourth priority).

### Other types of informal housing:

#### The city of the dead: Living in a cemetery



Photo by Claudia Wriens

### Unplanned, informal housing:

Legal land tenure,  
illegal housing  
development



### Unplanned, semi-informal housing:

Legal land tenure,  
quasi-informal  
housing status  
(serviced)



### Old, run-down inner-city neighborhoods:

Formal setting,  
deteriorated  
housing and  
infrastructure



### Squatter housing on public land:

Illegal land  
occupation  
and housing  
development



## 2 What is meant by ‘upgrading’?

Informal areas are a reality many developing countries have to cope with. Despite all efforts to contain their growth, informal areas are steadily growing. Abolishing them all and providing their inhabitants with formal housing options or at least compensating them for their investment seems impossible, given the sheer magnitude of the phenomenon and the limited resources for this purpose compared to other development priorities. Until there are effective preventive measures of controlling the emergence of informal areas and providing real alternatives to the diversity of low income groups who resort to these areas, upgrading remains as the only feasible option. Aiming to improve the living conditions of the population living in informal areas, a number of upgrading interventions can be taken. These can focus on different aspects of the living environment in informal areas, such as on physical improvements or on human and social development. Upgrading can also involve integrated development and citizen empowerment or focus on solving immediate problems based on the priority needs of the residents. Because of these variations, it is important that all stakeholders agree on the upgrading objectives and on the respective interventions before starting any upgrading scheme. The following will present different modes of intervention in informal areas.

### Different modes of intervention in informal areas

#### Servicing informal areas

This intervention mode provides physical infrastructure and basic public services to informal areas. It targets informal areas with good housing conditions and in a consolidated stage of development. In the case of squatting on public land, servicing and upgrading can go together with land titling and sales. The approach focuses on the physical improvement of informal areas by implementing some or all of the following measures:

- ◆ Improving access to the area
- ◆ Paving and lightening main roads
- ◆ Installing or upgrading infrastructure (water, sanitation, electricity)
- ◆ Introducing and improving the solid waste collection system
- ◆ Constructing or upgrading public services (schools, health units, bakeries, youth centers, police and fire fighting stations, etc.)
- ◆ Organising street markets and microbus stops

The Egyptian government has adopted this mode since the 1990s. It is based on the argument that physical interventions provide the bare minimum of humane living conditions that are of higher priority than other types of development, i.e. physical and spatial upgrading provide the ‘hardware’ needed for conducting ‘software’, like socioeconomic development activities.



Infrastructure provision project in Manshiet Nasser

Photo by GTZ/PDP

#### Sectorial upgrading

This intervention mode focuses on providing services within one particular sector. National or international development agencies usually provide or improve services in consolidated informal areas following the same approach of service provision applied in the rest of the city, but may also focus on selected informal areas as part of special initiatives or upgrading projects. Priority intervention sectors for such agencies are usually infrastructure and roads, but also include educational, health and other community facilities. Private sector agencies also target poor and informal areas with the improvement of selected services as part of their corporate social responsibility. Sectorial upgrading, however, is not limited



Upgrading of schools

Photo by GTZ/PDP

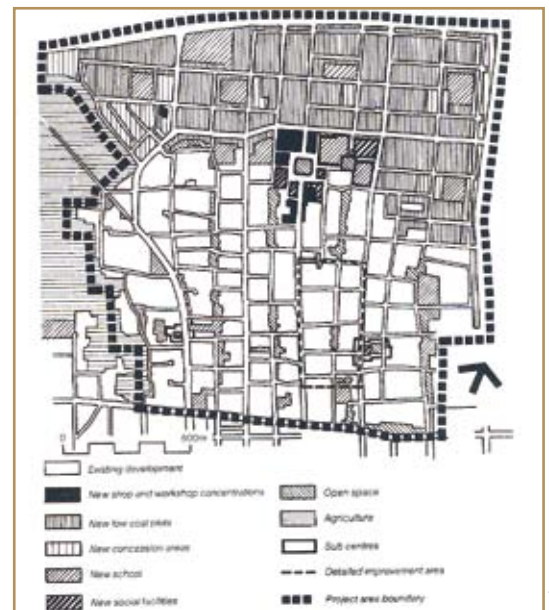
to service improvement or physical upgrading alone. Donor agencies and NGOs target informal areas with socioeconomic programs such as micro-credit schemes, health awareness programs, etc. Sectorial upgrading efforts, although not inclusive are seen as added value to the improvement of living conditions in informal areas.

Most of the physical upgrading and public services provision in informal areas in Egypt follow sectorial upgrading interventions. These may be the initiatives coming from ministries, donor agencies, the private sector or large NGOs. Examples are the upgrading of schools in poor and informal areas as part of the “100-Schools project” implemented by the NGO Heliopolis Services under auspices of Suzan Mubarak; upgrading of youth centers in poor neighborhoods by the Coca Cola Company; and the upgrading of infrastructure and community facilities in Manshiet Nasser and Boulaq el Dakrour through the Egyptian-German development cooperation.

## Planning and partial adjustment

Another intervention mode to deal with informal areas is to produce an urban plan proposing to widen main streets and create vacant land for public services. Upgrading interventions are then limited to the relocation of some houses to widen roads and leaving the improvement of the area to gradual self-improvement following new building lines. This upgrading mode is based on perceiving the positive impact of widening streets not only on improved traffic and transport in these areas, but also on land value, connectivity to the city and the evolution of a higher standard of services. It is particularly applicable to areas where housing conditions are good but residential density is high and space for public facilities is scarce.

This upgrading mode was implemented in one of the earliest upgrading projects in Egypt, Hai el Salam in Ismailia. Lately it has been proposed by GOPP for the North Giza project and other interventions within the strategic vision of the development of the GCR (Cairo 2050).



Hai el Salam, Ismailia

by UTI

## On-site redevelopment of informal areas

This intervention mode refers to a complete replacement of the physical fabric through gradual demolition and in-situ construction of alternative housing. It respects the legal right of residents for alternative housing and the dependence of their livelihood on staying in the same location of the city. This mode targets informal areas where housing conditions are highly deteriorated, the urban fabric is irregular, unsafe and/or tenure status is illegal.

There are few pilot projects of this type in Egypt implemented by leading NGOs that are capable of mobilising government support and guard the interest of residents to stay in the same location, such as the Hadayek Zeinhom project or the Old Agouza project.



On-site redevelopment of el Doweiga, Manshiet Nasser

Photo by Claudia Wiens



Alternative housing in el Doweiga, Manshiet Nasser

Photo by Mohammad Abou Samra

## Redevelopment and relocation

This intervention mode is the most radical one. It not only entails a complete demolition of slum pockets, but also the relocation of the residents – often moving them into new social housing developments at the fringes of the city or in new cities. This mode mainly applies to slums in prime locations that are targeted for redevelopment with a commercial interest to sell part of the high-value land or use it for real estate investment.

In Egypt, this mode is adopted to slums that are hazardous to their residents, as in the case of relocation of some residents of Doweika living underneath the Mokattam hills to Six of October City following the rock slide in October 2008. Other cases for slum relocation aimed at urban renewal as in the case of areas close to the Nile and downtown Cairo such as Maspiro, Arab el Mohammady and Hekr Abu Doma.



*The Hedayek Zeinohm project (redevelopment of slums), Cairo governorate and ICS*

Photo by GTZ/POP

## Which mode of intervention?

The modes of intervention like servicing informal areas, sectorial upgrading as well as planning and partial adjustment maintain most of the urban fabric and physical structures and are hence classified as upgrading, while the on-site redevelopment of informal areas as well as relocating entail substantial replacement of the physical setting that are mainly referred to as redevelopment. Each approach is appropriate under the particular physical, socioeconomic and environmental framework conditions that are found in or affecting the informal areas. One important principle is to keep the negative externalities of the interventions for the residents of this area as minimal as possible while maximising the benefits they gain from them. Using such a people-centered approach allows for the inclusion of all relevant stakeholders in the implementation of these modes of intervention and ensures that their rights and interests are secured.

## A participatory approach to the upgrading of informal areas

Upgrading and redevelopment of informal areas is different from the development of new communities in the sense that the targeted community is known and is present throughout the process. The above modes of intervention for upgrading are structural and reformative processes that deeply affect the interest of local residents and stakeholders. The interests of stakeholders have to be known in order to win their support for upgrading. When residents of an informal area believe that upgrading interventions do not correspond to their priority needs or serve the agenda of external agencies, they do not support the upgrading process and do not appreciate or maintain its results.

The shortest way to make upgrading successful is to engage all the stakeholders in the processes of determining their priority needs and problems, deciding on interventions, implementing the upgrading measures agreed upon and co-managing the improved community facilities. Such a participatory approach requires a flexible budget that can be allocated to any type of projects needed by the community, be it physical, social, economic or environmental. This means that participatory upgrading brings about an integrated development approach, whereby it is more possible to coordinate local development efforts and achieve a higher impact on the improvement of living conditions of residents and the upgrading of their locality. For example, packaging a project for improving the solid waste collection system together with an awareness raising campaign at schools as well as a micro-credit scheme promoting small business for youth in recycling will definitely have a better impact on the local community than each individual project alone. An integrated development approach, however, requires coordination among sectorial agencies and among governmental and non-governmental and private sector partners. This coordination and cooperation among sectors usually takes place among decision-makers on the city level or higher. Therefore, integrated development within a participatory upgrading approach of informal areas has to be part of a city-wide planning and development framework and is linked to national urban development strategies.

*Upgrading should be understood and dealt with as comprehensive and integrated development of informal areas in order to balance between improving the living conditions of residents and improving the physical environment and public services. Upgrading also balances between priority needs of local residents of informal areas as determined through a participatory process and the strategic vision of the government for the development of the city as a whole.*

# 3 Why upgrade informal areas?

Although commonly perceived as a burden on society and a source of problems and endless needs, informal areas house a big portion of the urban population worldwide and in Egypt. Being ignored and neglected by the government for a long time, residents of consolidated informal areas have been putting up with the lack of infrastructure and have been trying to compensate for the insufficiency of public services by relying on services provided by civil society organisations, charities or religious institutions. While there are many negative images of physical, social and environmental problems associated with informal areas, there are also a lot of advantages of living in them that have attracted low and middle-income people to live there. These advantages make it worth improving the informal urban environment in which a big segment of urban population already lives rather than trying to move them to new housing developments, which can absorb future population growth. This does not contradict the strategic approach to try to stop the formation of new informal areas and the growth of existing ones.



Photo by GTZ/PDP

El Nasseriya informal area, Aswan

## Economic value in informal areas

Informal areas have an economic value which is underestimated and underused because of their illegal status. It was estimated in the late 1990s that the 'dead assets' in urban areas in Egypt – land and housing informally registered and/or illegally developed – sum up to 195 billion US Dollars in addition to 2.4 billion informal businesses (De Soto, 1997). Informal areas host many small industries and productive activities that are interrelated to formal economic activities in cities. If the dead capital of informal houses and businesses were formalised through land titling and housing and businesses registration, it could raise the value of such assets and could be used in ways that increase the investment potential for owners, hence contribute to poverty alleviation. The revenues and taxes collected from the formalised houses and businesses can be a source of funding for upgrading measures if they are kept locally. The removal of informal areas wastes the investment in housing, especially if they are solid structures, and destroys business networks and chains, while upgrading maintains the capital investment in informal housing and businesses and contributes to increasing their market value.



Photo by Claudia Wiens

Consolidated informal area in Boulaq el Dakrou

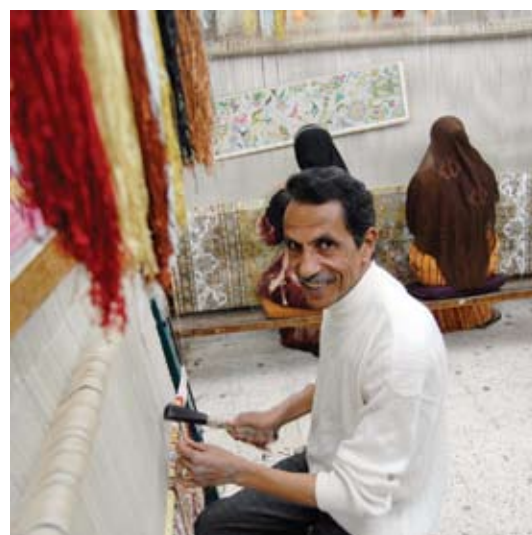
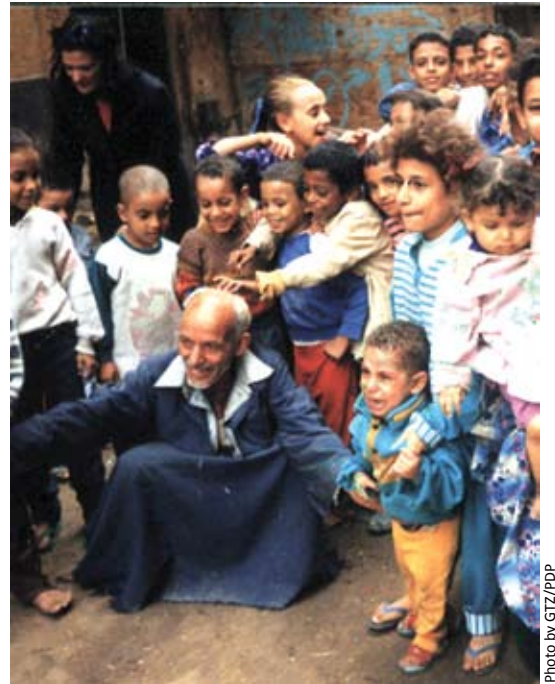


Photo by Claudia Wiens

Carpet workshop, Manshiet Nasser

## Social capital of informal areas

Another asset of high potential in informal areas is the ‘social capital’ of the residents in terms of their ability to connect to other stakeholders by establishing networks for taking individual and collective action towards solving their problems and fulfilling their needs within available resources. This is evident in their initiative, organisational capacity and self-sustaining attitude in individual housing efforts and collective measures to provide missing services. In informal areas, these networks are established horizontally among groups of people with similar or different socioeconomic and cultural backgrounds. Residents of informal areas help each other out and jointly implement activities of mutual interest in a similar manner to traditional communities. Networks also extend vertically from informal area residents to individuals in official or other key positions through natural leaders and political representatives. This social capital allows residents to seek support and gain access to resources they do not possess themselves. These networks are based on long-term, continuously growing relationships that often depend on the physical proximity of community members in informal areas. Therefore, social capital can be affected by fundamental changes in the structure and the composition of an area. Upgrading should capitalise on this social capital and ensure that interventions do not weaken social networks.



*Residents in Manshiet Nasser*

Photo by GTZ/PDP

## Use value of informal areas

Informal areas are valuable, not only in terms of their hidden market, investment and economic value, but also in terms of their use value for residents; the benefits they get by living in such areas. The continuous and rapid growth of informal areas tells that they are a feasible choice for many low and middle income families. The compact and dense urban fabric often with mixed residential and commercial uses are spatial characteristics of informal areas that result in benefits for the residents such as ‘walkability’ of the neighborhood, self-sufficiency and convenience in terms of availability of daily needs and home-work proximity and safety in residential streets (Shehayeb, 2008). The multiple uses of spaces found in informal areas allow for interrelated efficiencies which foster economic development and environmental sustainability. Given the popularity of consolidated informal areas and mentioned benefits they offer to their residents, it is more feasible to sustain and improve them. Upgrading is successful from the viewpoint of residents when interventions maintain and develop the use value within informal areas.



*Street market in Boulaq el Dakrou*

Photo by Dina Shehayeb



*The street as children's playground*

Photo by GTZ/PDP

## Globally agreed-upon objectives

Upgrading informal areas results in a number of benefits not only for their residents but also for governments. It is more feasible and resource efficient than demolition and complete redevelopment. This does not only help the government to achieve more with less resources, but it also helps to target the poor mostly concentrated in informal areas, hence being a measure of poverty alleviation. Therefore, upgrading low-income informal neighborhoods can be seen as leading to social justice and inclusion as well as a direct application of rights-based development. Thus, upgrading helps governments to abide by globally agreed-upon objectives. At the same time, upgrading opens the door for a real partnership between residents and the government with channels to demand their rights, means to improve their living conditions and a sense of belonging and social inclusion. The following paragraphs explain the objectives that can be achieved through upgrading:

### Sustainable urban development

Upgrading is a multi-sectorial operation that integrates environmental, economic and social interventions. It squares with the aim of sustainable urban development of creating healthy, economically-vibrant urban communities that are socially just in terms of their access to better services and improved urban environment. Upgrading also economises resource utilisation by building on existing efforts and structures. The sustainability of urban development is more ensured when local residents have a greater sense of ownership of their locality and the improved services, which is more evident in existing informal areas and should be enhanced through upgrading.

### Social inclusion

Upgrading gives the residents of informal areas the feeling that they are part of the society as a whole and they are valued citizens that deserve equal access to clean water, healthcare, education, transportation and other public services. Social inclusion means that basic needs are met so that people can live in dignity without ignoring the differences in the way of living among social groups. When upgrading is a measure of social inclusion, it integrates all residents of informal areas in the processes of community development in a way that promotes equal opportunity for all groups within the society and challenges the stigma attached to informal areas and their residents.

### Poverty alleviation

Informal areas usually house the majority of the poor urban population. Generally, upgrading is not the only approach to poverty alleviation, but when resources are limited and the provision of alternative housing for all informal housing dwellers is not feasible, upgrading constitutes an important measure for alleviating urban poverty. Upgrading, thus, improves the living conditions in informal areas in terms of access to water, healthcare, education and other services, hence reducing poverty by satisfying basic needs. It also improves the infrastructure required for economic activities in informal areas that are benefiting of the mixed use, ensuring income generation and employment within the locality of informal areas.

### Good governance

Upgrading should be a multi-stakeholder process led by local government involving local stakeholders and being supported by national and in some cases international agencies. This process cannot be managed in a successful way without good governance; i.e. orchestrating networks of stakeholders, promoting partnerships among them and mobilising their resource inputs in the upgrading process. Upgrading contributes only partially to good governance, but it can be instrumental in regaining trust between citizens and the government especially in informal areas where residents feel marginalised. To achieve this, local government needs to be transparent, accountable and responsive to local opinions and needs. All these are important elements of good governance. The participation of civil society organisations advocated in good governance is already practiced widely in informal areas and should be supported by upgrading.

### Rights-based development

Upgrading can contribute to rights-based development in the way it adheres to internationally-approved human rights related to shelter, access to clean water and sanitation as well as access to education and basic healthcare. Instead of leaving informal areas in their underserved conditions and state of informality, upgrading secures human rights of basic needs and hence encourages residents of informal areas to undertake their civic duties in terms of adhering to the law and urban systems.

# 4 A participatory approach to upgrading

Based on the understanding of informal areas and their multiple values, it is logical to support the Egyptian government’s policy of upgrading informal areas. If this policy is to achieve the globally agreed-upon objectives of sustainable urban development and social inclusion, it needs to be people-centred and engage residents in the improvement of their neighborhoods and their living conditions. Participation in informal area upgrading is essential where the feelings of marginalisation, neglect and lack of trust are governing the residents’ relationship towards the government. Planning and implementing upgrading interventions and development measures based on what the people know, say and decide on together with public officials corresponds to a responsive government that follows a rights-based approach and the tenets of good governance and democratic governance. Through their participation, residents develop a sense of ownership in public services and a sense of pride in their locality. However, the effective participation of informal area residents in the planning and implementation of upgrading measures requires decentralised government structures that are activated and strengthened by their institutionalisation and related capacity development (see figure).

## Participatory upgrading and local development

If informal area upgrading is meant to be more efficient, effective and sustainable, the residents of informal areas should not be perceived as mere ‘recipients’ or ‘beneficiaries’ of upgrading efforts, but as partners in the development process. When upgrading of informal areas is participatory, it involves the residents in planning, implementation, management and monitoring of improved services and facilities. The involvement of residents and other local stakeholders can ensure that the upgrading measures are consistently geared towards their priority needs and are planned and implemented considering local circumstances and making use of local resources. Thus, it gives greater legitimacy to the upgrading measures as perceived by the residents of informal areas. Furthermore, it renders the upgrading measures more transparent hence allow for participatory monitoring and strengthening the accountability of local government towards their citizenry. Participation in upgrading means to engage residents of informal areas in all stages of the development processes: planning, implementing and monitoring. Participation of all local stakeholders needs an honest broker that wins the trust of people. If local government is to be this facilitator, appropriate legislation, policies and methods of participation have to be adopted. Participation in urban upgrading, however, needs political will and support from the central level to local government; it needs decentralisation.

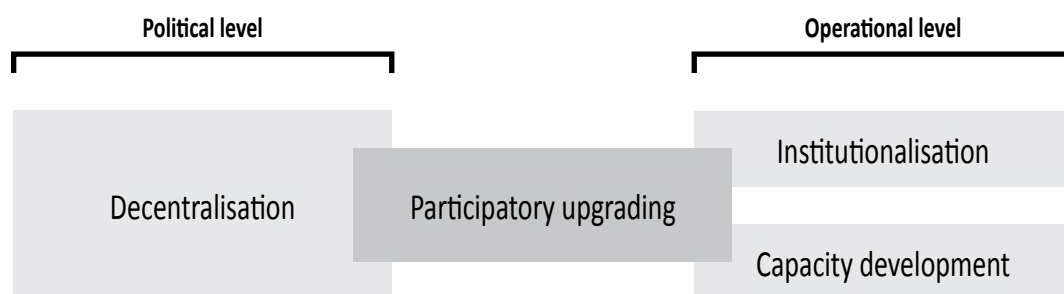
*Upgrading of informal areas and local development have to be participatory in order to satisfy the objectives of social inclusion, good governance, democracy, and sustainable urban development.*

## Decentralisation

Participation of residents in the process of upgrading informal areas requires the empowerment of the local government so that decisions are taken closer to local people. Decentralisation of decision-making power and resources from central to local authorities allow policies to be more targeted towards local needs and thus development measures to be more locally efficient and cost-effective. It also enables participation at the local level and is hence a component of good governance.

Decentralisation has recently become a key policy in Egypt with steps being taken towards fiscal decentralisation. Yet, it cannot be put into practice without the development of administrative functions, planning systems, project implementation processes and public services management adjusted to local, participatory decision-making and resource management. In other words, these new functions and responsibilities have to be institutionalised in the structure and operations of local governments.

*Decentralisation is prerequisite to participatory development but in turn requires new administrative functions that have to be institutionalised in the structures and operations of local governments.*



*Framework conditions for participatory upgrading*

## Institutionalisation

The local government is in an ideal position to play the role of the main coordinator and key promoter of participatory upgrading among local stakeholders. However, the application of a participatory approach to urban upgrading requires actions that may not be current practice for local administration departments. Therefore, these actions need to be institutionalised to become part of the normal, necessary routine practice of local governments, not only on the procedural level but also becoming part of the administrative culture; i.e. not just doing but also understanding and believing. Participatory development practices, norms and behaviors need to be embedded in existing or new structures not only within local governments but also within the institutions of local stakeholders such as NGOs. The outcome will be improved legitimacy and social acceptance of the local governments and NGOs within the local communities where participatory development is practiced.

The institutionalisation of participatory urban upgrading practices can be supported through mapping out the tasks of different departments of the local government on different levels, identifying which measures are close to the nature of operation of which departments, and then studying the inclusion of the new tasks related to participation into the terms of reference of the relevant departments. This process has to be accompanied by capacity development measures.

*Participatory upgrading and local development require institutionalising related actions into the normal practice of relevant local government departments and NGOs.*

## Capacity development

When participatory upgrading methods are institutionalised, local government staff needs to be trained on how to perform new related tasks. Capacity development, however, is not just training; it is the environment within which a whole institution supports and promotes desirable change including developing the abilities of individuals and departments. This process involves human resource development and institutional development through setting appropriate legal frameworks, management processes and organisational cultures. Awareness raising and exposing local stakeholders to first-hand experiences strengthen the understanding of and the support for the participatory approach.

Once adopting the participatory development approach, central and local governments should take the lead in developing the capacity of local stakeholders to become competent partners in the upgrading of their localities. NGOs and local communities need to develop capacities to organise themselves, assess their needs and participate in planning and solving problems in a sustainable manner.

*Participatory upgrading and the related preconditions of decentralisation and institutionalisation require capacity development measures within a context of institutional and organisational changes.*

# 5 Mechanisms of participatory upgrading

Understanding the general approach and the benefits of participatory upgrading of informal areas, the question now is how to do it. The following section illustrates mechanisms that, when implemented by local administration, NGOs and other development partners, help to achieve participatory upgrading, hence leading to integrated and sustainable development of informal areas. Each participatory upgrading mechanism may be implemented using one or more tools or methods, which are thoroughly explained in part two of these guidelines. Although each of these mechanisms is useful on its own, they complement each other in an integrated way (as illustrated in the diagram) to form a participatory approach to upgrading. In order to show the link between the mechanisms and the globally agreed-upon objectives of participatory upgrading, the detailed principles of these objectives are highlighted in brown in the text and are explained in the boxes at the bottom of this chapter. By principles it is meant the basis on which the participatory upgrading mechanisms are built.

## A recipe for participatory upgrading

The mechanisms of participatory upgrading vary in the mode of action with targeted communities. Some are introductory and preparatory used for investigation and analysis of the situation in each informal area and for mobilising participation of local stakeholders. Other mechanisms are geared towards implementation and tangible improvements. A third type is more strategic for having an overview of the current condition and the felt impact. However, all mechanisms are related to each other. They complement each other similar to the ingredients of a recipe.

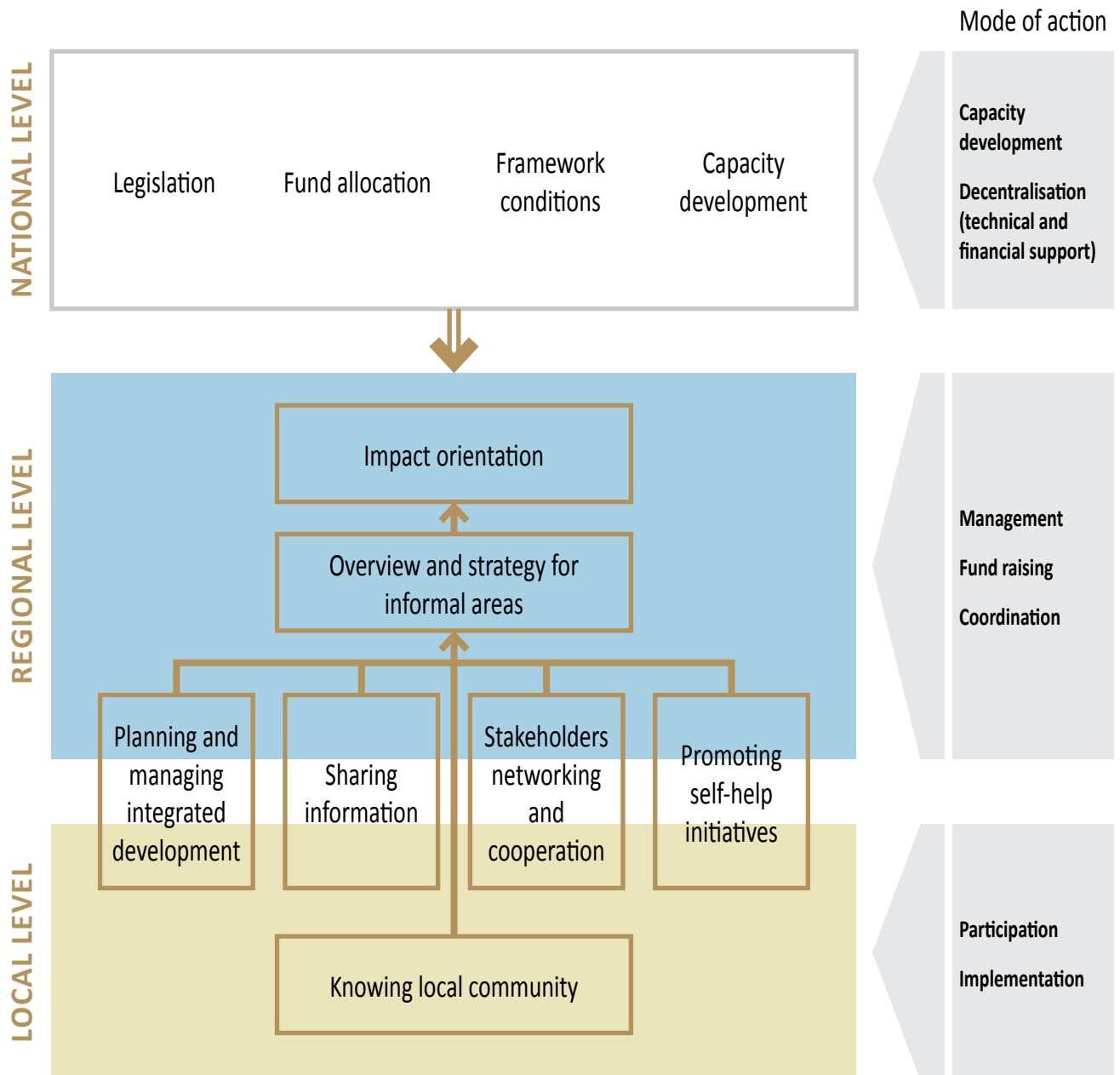
The mechanisms of participatory upgrading require actions from decision-makers and stakeholders on the three levels – the local level (e.g. communities and districts), the regional level (e.g. governorates) and the national level (e.g. ministries). For example, governors may find the following procedure useful: Prepare an overview and a clear intervention strategy for each informal area and prioritise interventions according to resources and public interest; create a database of informal areas and encourage information sharing; provide funds to support small-scale local initiatives; request district administrations to conduct participatory needs assessments, stakeholder analysis and participatory planning in each informal area; Allocate resources for implementation; and monitor implementation and impact. For district chiefs, another procedure of the mechanisms and tools may be more relevant to their operation, for example: Manage a participatory needs assessment and participatory planning process in each informal area; analyse stakeholders and mobilise their participation and resource input; support the promotion of local initiatives; and manage the implementation of upgrading projects and the management of public facilities in a participatory way. The ministerial level can support such efforts of informal area upgrading through financial and technical inputs and capacity development.

The tools of participatory upgrading lead to each other and together apply the principles behind participation (highlighted in brown and defined in the boxed below). The sequence of applying the mechanisms and tools is flexible and changeable, but some can be seen as prerequisite for others, such as the needs assessment in relation to planning. The second part of these guidelines explains how each of the mechanisms and tools can be implemented on the local, regional and national levels.

A participatory approach to upgrading and local development aims at achieving the globally-agreed upon objectives of social inclusion, sustainable urban development, poverty alleviation, good governance and rights-based development. These objectives are formed by the elements or **principles** explained here, which form at the same time crucial prerequisites for the participatory upgrading mechanisms to function effectively and to unfold their beneficial impact.

### Effectiveness and efficiency

While effectiveness is doing the 'right' targeted interventions, efficiency means doing them the 'right' way, in the sense of pursuing a target in the best and most economical way. Effectiveness and efficiency are lately promoted as principles of good governance. Public administration or NGOs are 'effective' when they implement development projects according to agreed-upon targets; i.e. fulfil service delivery according to community needs. They do this 'efficiently' when they minimise waste of human, environmental or monetary resources. Effectiveness serves participatory development as it considers its success measure the satisfaction of community needs. Efficiency comes along when the community optimises the use of the scarce resources to do most with what is available.



Application of participatory upgrading mechanisms on three levels

### Local ownership

Local ownership means that the residents of an informal area have a sense of belonging to and responsibility for their locality. This feeling grows stronger when they are allowed to participate in the processes of local decision-making, planning, project implementation, public services management and maintenance. Local ownership may result in residents caring and taking responsibility for local assets and investing their own resources to complement public funding. Local ownership is a key concept of sustainable development and participatory governance.

### Transparency

As a measure of good governance, transparency refers to processes and decisions that are made accessible to the public and easy to understand and monitor. Making information available concerning plans, budgets, projects, interventions, procurement, etc. assures citizens of local government performance against corruption and hidden agendas. Transparent rules, decisions and operations are needed to practice accountability. A transparent local government allows for communication and dialogue, hence promotes participation of local stakeholders in the development process. This informative and transparent attitude is a key for trust building and partnership.

## 1. Sharing information

Information flow among development stakeholders is like blood flow in the body; blood needs to reach every organ, for the body to stay healthy and alive. Thus, sharing information is one of the main mechanisms of participatory upgrading of informal areas, whereby decisions about plans, allocated budgets and projects and their time frames and output are communicated from the governmental side, while needs, priorities, local resources and actions are communicated from community-based stakeholders. Sharing information among all stakeholders at all levels helps to create a common, unified, accurate and recent database for informal areas. This contributes to **effectiveness and efficiency** in decision-making at all levels regarding dealing with informal areas. It also improves the government's recognition of the conditions and priorities of local communities in informal areas, thus supports **transparency** and facilitates **accountability** as main elements of good governance. The mechanism can be applied through the following tools:

### GIS database of informal areas

The Geographic Information System (GIS) is a technical tool to be used for compiling a database with information on informal areas using available information at the local (district), regional (governorate) and national level. The GIS database is interactive and easy to use by non-professionals to visualise information and analyse it to support decision-making.

### Information sharing systems and protocols

The availability of an information database does not serve participatory upgrading and **trust building** except when shared. Information sharing agreements, protocols and exchange systems are essential tools to formalise information sharing among all stakeholders at all levels (local, regional and national).



Residents from Manshiet Nasser participating in creating GIS maps for their area

Photo by GTZ/PDP



Information sharing among stakeholders from regional (Giza governorate) and national level (GOPP)

Photo by GTZ/PDP



Using conventional existing maps to collect information

Photo by GTZ/PDP

### Subsidiarity

Subsidiarity means that decision-making and actions should be handled by the lowest-level competent authority, thus delegating responsibilities, but also freedom to act, to the closest level of decision-making to the people. This brings development processes down to the local level and thereby enhances local participation. Taking decisions closest to the people allows a community focus and leads to sustainable development. However, it requires effective communication and information sharing among all levels to ensure resource allocation according to decisions made locally.

### Empowerment

Empowerment is giving local residents the right to take decisions concerning upgrading their neighborhood. It also means to enable residents by increasing the capacity and skills of local individuals and institutions to transform their choices into desired actions and to drive the processes of collective action for improving their living conditions. Empowerment is essential for forming competent partnerships, whereby local communities are seen on equal level with other official stakeholders. Empowerment has to be fostered with equity and fairness; giving the groups that are least represented equal chance to participate in decision-making.

## 2. Overview of and strategy for informal areas

Decision-makers need to have an overview of informal areas to report to other stakeholders within the state, the media or the general public. To do so, they need data on the size, population, and other characteristics of informal areas. When such data is visualised on an information map, this helps to create 'layers' of analysis that guide intervention efforts and allow their coordination. The overview is not complete without developing a classification of informal areas and agreeing on appropriate intervention strategies for each type. To make such an overview **transparent**, an official register of informal areas should be made available to the public. This contributes to sustainable urban development and supports good governance. This mechanism can be applied through the following tools:

### Redefining and classifying informal areas

Utilising field knowledge of local stakeholders to redefine boundaries and characteristics of informal areas, while using clear and nationally unified criteria. The resultant definitions and classifications are then provided to the regional and national levels.

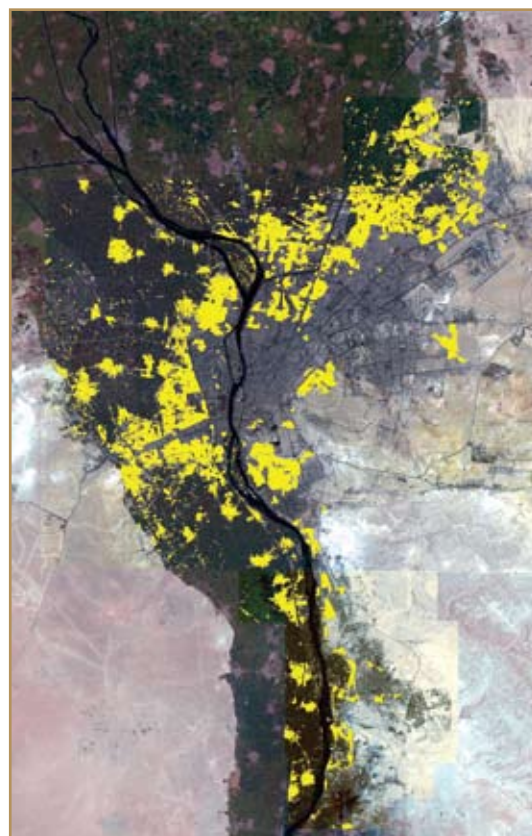
### Official register and information map

Including all relevant information regarding informal areas which can be considered an official recognition of informal areas. Publishing this register and information map among all stakeholders on the three levels supports **transparency** and **accountability**.

### Intervention strategies and priorities

Based on the previously defined and officially recognised typology. Coordinating intervention strategies and priorities on the regional and national levels based on the priorities on the local level contributes to achieving sustainable urban development on the three levels.

*Sharing information provides a reliable base for creating an overview of informal areas and deciding on appropriate intervention strategies. The overview generates the official position on informal areas which, in turn, becomes subject of information sharing.*



Map classifying formal and informal areas in GCR



Areas in Manshiet Nasser classified as unsafe by ISDF

## Trust building

Trust is the firm belief in the reliability and truthfulness of others. In such human relationships, there are reciprocal expectations and behavior that make people vulnerable to disappointment if expectations are not met. Trust in governments as well as among people and institutions is problematic but crucial. In informal areas, this feeling is emphasised by a sense of neglect and marginalisation. In the absence of trust, trust building measures are essential. Participatory processes, therefore, can become important avenues for trust building. Trust with local communities is built through consistent efforts of fulfilling promises, putting plans into action and being responsive to the needs of people, particularly when they are urgent. Participatory upgrading improves trust in the government and the political system through ensuring adherence to the law, accountability, transparency and equitable access to resources. On the other hand, it also requires the promotion of trust among local stakeholders.

### 3. Stakeholders networking and cooperation

Each activity within a participatory upgrading process is negotiated, planned, implemented and steered by a large number of diverse stakeholders who act and interact on different levels. On the local level, NGOs, residents and their representatives, private sector and local administration have different agendas and play varying roles in the activities of upgrading informal areas. On the regional and national levels, governmental entities, private sector, civil society organisations and donors are involved on a different level of planning and decision-making. All stakeholders form a dynamic system of mutual relationships and dependencies. It is crucial for decision-makers to have a clear understanding of the positions, roles and tasks of the diverse stakeholder groups in order to facilitate stakeholders networking and cooperation in the process of participatory upgrading. This understanding forms the basis for creating and promoting **partnership** and encouraging input from all stakeholders. For this purpose, the two following tools can be used:

#### Stakeholder analysis and management

Analysing the stakeholders means to map out all actors involved in the process and their relations to one another and to represent them in a diagram. This stakeholders' map visualises alliances and conflicts among stakeholders with a view to manage their relationships towards networking and cooperation.

#### Mobilising and coordinating resources

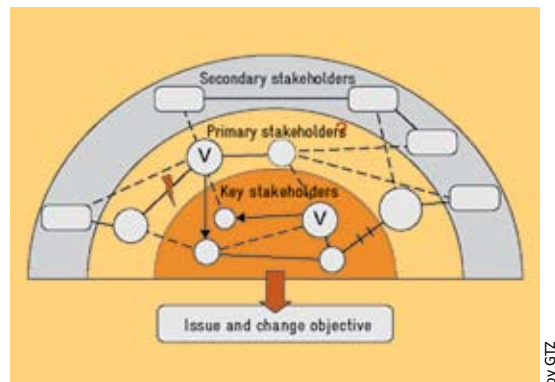
Stakeholders map can be used by decision-makers to map out existing resource inputs and to mobilise additional resources from all stakeholders. Thus, it is a tool that helps coordinating resources for informal areas upgrading.

*The network of stakeholders should share information and participate with their knowledge and experience in creating the overview of informal areas. At the same time, stakeholders' cooperation becomes more realistic when trust is built through sharing information.*



Stakeholders meeting in el Nasseriya, Aswan

Photo by GTZ/PPD



Stakeholder map used for stakeholder analysis

by GTZ



Public day in Boulaq el Dakroul

Photo by GTZ/PPD

### Partnership

Partnership is a cooperative relationship between people and organisations that agree to share responsibility for achieving a specific goal. Partnership requires mutual trust, respect and the sharing of rights and duties. In the business world, partnership contracts usually involve the pooling of money and other resources as well as sharing of profits and losses. In the context of governance and development, partnership includes multi-level partnerships between different levels of government, public-private partnerships between governmental organisations and private companies, organisations or actors from civil society. Partnerships have the potential to facilitate coordination, reduce duplication, gain synergy effects and improve understanding between local stakeholders. It therefore enhances community participation and increase local ownership and empowerment. Partnerships are an essential element of good governance and sustainable development.

## 4. Promotion of self-help initiatives

The residents of informal areas take action trying to solve their problems and improve their living conditions but often fall short of resources, official support and guidance. These self-help initiatives, when supported, become an effective measure for poverty alleviation with a **community focus**. The promotion of and support to local initiatives can take the form of facilitating administrative procedures for community action, improvement of a public service upon request from residents or immediate upgrading of a physical condition disturbing the local community, such as the removal of accumulated garbage. Another form is to provide grants to local communities for implementing highly visible projects responding to local priority needs. These actions, although contributing to **trust building** between local communities and the local administration in the short run, should be followed by structured upgrading interventions. The promotion of local initiatives can be achieved through the following tool:

### Local initiative projects through NGOs

The promotion of local initiatives can take the form of projects proposed and implemented by NGOs through **partnership** with targeted communities, local government and the private sector. Local initiative projects are implemented through NGOs working in informal areas in various sectors including health, education, general environmental improvement, income generation, etc. according to priority community needs. They contribute to filling gaps in the provision of social services and the improvement in living conditions for residents through expanding economic opportunities and contributing to the creation of a clean living environment. Local initiative projects represent concrete examples of grassroots community approaches to sustainable urban development utilising participatory methodologies. They expand opportunities for the participation of local communities in the upgrading process through their **empowerment** to identify and prioritise their needs, participate in the various phases of a **transparent** process of planning, implementation and monitoring, and take responsibility for ensuring sustainability.

*The promotion of local initiatives puts networking and cooperation of stakeholders into action. It encourages local communities and NGOs to share information and get mobilised for other mechanisms of participatory upgrading.*



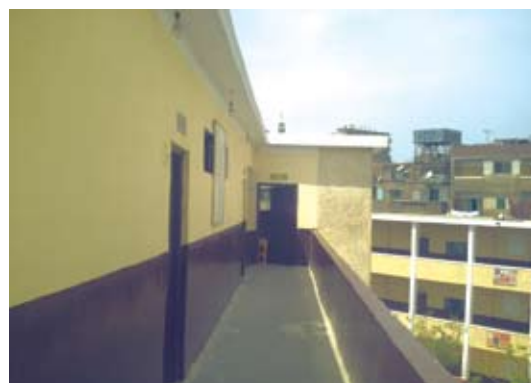
The upgraded cultural center and amphitheatre of Manshiet Nasser

Photo by GTZ/PDP



The productive schools initiative in Misr el Qadima, Cairo

Photo by GTZ/PDP



An upgraded school in Manshiet Nasser

Photo by GTZ/PDP

### Community focus

It is widely accepted that human capital is the most important element of development. When upgrading informal areas, the local community should be seen as the main asset as well as the reference for the process. Community focus refers to directing attention to the concerns, problems and capacities of local communities, which they can communicate best through their involvement and participation in the upgrading processes. In upgrading efforts with a community focus, the 'recipients' are put in the 'driver's seat'. This is how the expertise and capacities of community members as well as social networks are utilised for community-based development. In this sense, community focus leads to local ownership and has become a key aspect of sustainable development initiatives at the local level.

## 5. Knowing local community

Participatory upgrading requires knowledge on each informal area about local problems, resources and organisational capacities. Local residents know their communities best: their locality, its physical environment, attitudes towards planned interventions, common and diverging interests and priorities. They can provide innovative solutions to suit their local needs. Knowing local communities through direct consultation with the local population assists local stakeholders to create an image of their community and enable local government and other external support agencies to target them more effectively with their upgrading interventions. Furthermore, assessing the capacities of NGOs is essential in considering them a qualified partner in the local development process. Such **community-focused** mechanism produces authentic information for local planning and development and puts the concept of **subsidiarity** into action. It contributes to **trust building** and **empowerment** of local communities to articulate and communicate their demands. Knowing local communities can be applied through the following tools:

### Participatory Needs Assessment (PNA)

PNA is a process that brings local stakeholders (local administration, NGOs, local businesses, natural leaders, and residents' representatives) together to discuss their needs and problems, to assess community resources, to negotiate a common vision for future development and to agree upon solutions and actions. This tool allows for better understanding among local stakeholders, hence encouraging **partnerships**.

### Assessing capacity of local stakeholders

An essential part of knowing a local community is to define the capacities of local stakeholders in order to coordinate their roles and contributions in the upgrading process. An organisational assessment method is available for assessing the capacity of NGOs and similar methods can be developed for other stakeholders (see appendix).

*Knowing local communities in each informal area provides a wealth of accurate information that can be used as a data base for informal areas. Sharing such information creates a realistic overview of informal areas, a profile of stakeholders and their potential cooperation and a starting point for planning and managing upgrading efforts.*

## 6. Planning and managing integrated development

Once there is an agreed-upon knowledge of local development needs in one informal area based on an information database, a clear intervention strategy reflecting political will to develop this informal area and dialogue among stakeholders based on winning their trust through the promotion of local initiatives, participatory planning can begin. Planning is an essential mechanism that allows the coordination of upgrading interventions in a targeted informal area. It is a process of translating priority community needs into required actions (projects or procedures), employing local and other available resources to satisfy such needs and identifying resource gaps and lists of projects that require investment. If all local stakeholders participate in this process with a sense of **local ownership**, they will mobilise their own resources to the maximum and will work hard to attract external funding, be it governmental or non-governmental. The direct participation of the local community, local administration, NGOs and the private sector in the budget planning process makes the allocation of public funds more **effective** and **transparent**. This, in turn, will lead to citizens' **empowerment** and **build trust** in their own capabilities and in the credibility of governmental agencies and NGOs. The continuity of such spirit of community participation is crucial also throughout the implementation of upgrading measures in order to emphasise **partnership** and to ensure **efficiency**

### Accountability

Accountability is an important element of good governance according to which the government on all levels is held responsible for its actions by its citizens. Therefore, the local government needs to be transparent and communicate effectively with local population to ensure they understand its decisions and actions. The same applies to other local stakeholders such as NGOs and managers of public services that have to stand up to local public inquiry. Acting upon the results of practicing accountability by rectifying procedural or financial shortcomings requires decentralisation of liabilities to the local level. Accountability is a key to participation as it emphasises trust among local partners based on information sharing and tangible evidence.

and **accountability**. The involvement of local stakeholders in operating the improved public services ensures that the physical improvement has been effectively used in satisfying community needs. This mechanism can be applied through the following tools:

### Participatory planning and budgeting

This is a tool for organising the participation of local stakeholders in meetings to come up with a shared vision and an upgrading plan of their locality based on the priority needs coming out of the PNA. The participants elaborate on the upgrading plan, which is naturally integrated, to produce a budget plan, an implementation plan that coordinates sectorial interventions and a legal detailed plan of the physical upgrading. This requires independent facilitation and good management of the negotiation process.

### Participatory management of public facilities

It would be disappointing to the local community if they participated in the process from needs assessment to implementation and then the provided public facilities did not deliver the expected service because it is run a centralised way that does not take account of particular local needs. The tool promotes e.g. the model of youth centers: A public service run by a management board formed of community leaders and representatives of the beneficiary group, but supervised and supported by the relevant service directorate.



Action planning workshop in Manshiet Nasser

Photo by GTZ/PDP

## 7. Impact orientation

If the **partnership** built between local stakeholders through the participatory mechanisms is to be maintained, a review of upgrading plans and interventions has to be conducted regularly. Because local development is a continuous process and the government **accountability** should be sustainable, such review does not aim to tick the box for spending investments and implementing projects, but rather to evaluate how far these projects improved the living conditions of the community in a comprehensive way. Interventions to solve one problem may create other problems and projects built to provide a certain service may be run in a way that does not provide the needed service. This is why the focus on the impact of upgrading interventions is more important than on their direct output. Such mechanism of impact orientation can be applied through the following tool:

### Impact monitoring and evaluation

Impact monitoring and evaluation can be done through a variety of simple and easy-to-use methods by going back to the beneficiaries and asking them about the felt improvement for each intervention or improved service. Other local stakeholders can be asked about the mode of operation of such service and its sustainability. Such evaluation has to be conducted by a non-biased agency and the results have to be well analysed and made available to local stakeholders to take it into account in future plans and interventions. The relevant departments can act upon the recommendations of such evaluation, hence improving the **effectiveness and efficiency** of public services and maintaining the **trust built**. Taking **gender equality** into consideration in such an evaluation is important to ensure that all gender groups in the community benefit from development efforts in an equitable way.

## Gender equality

Gender describes the differences between men and women according to the sociocultural characteristics and role given to each in a certain society. Gender equality thus refers to the equality of men and women in rights and duties. It is a human right and one of the United Nations' Millennium Development Goals. In local development, gender equality entails the effort to promote equal participation of women and men in decision-making, supporting women to fully exercise their rights and ensuring equal access and control of local resources and the benefits of development by men and women. The principle of gender equality is an integrative element in all practices of local governance to achieve empowerment and sustainable development.



Photo by Mohammad Abou Samra

*General view of el Munib and Old Giza*

## **Part two: Guidelines for Action**

**Application of participatory upgrading mechanisms on three levels**

- 1. Sharing information**
- 2. Overview of and strategy for informal areas**
- 3. Stakeholder networking and cooperation**
- 4. Promoting self-help initiatives**
- 5. Knowing local community**
- 6. Planning and managing integrated development**
- 7. Impact orientation**

**Interrelations of mechanisms on the three levels**

# Application of participatory upgrading mechanisms on three levels

## LOCAL LEVEL

### Managing conventional upgrading on the local level

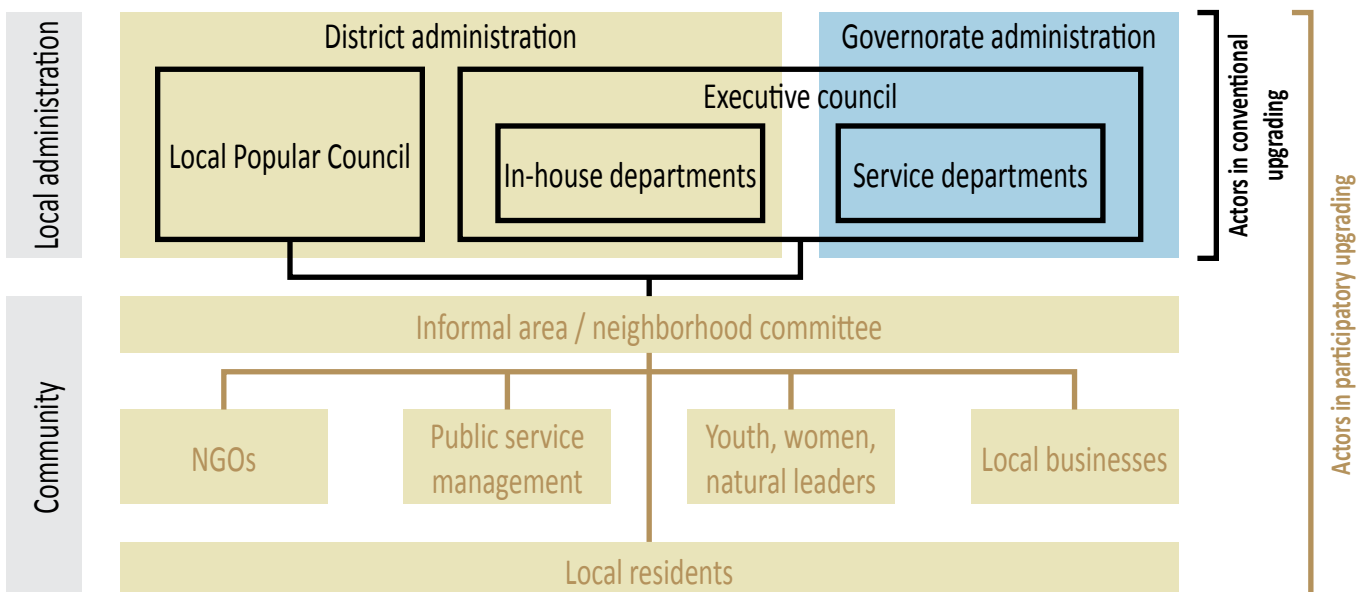
Conventional upgrading interventions are planned and administered by governmental institutions alone. Plans and projects are proposed by the relevant district departments and then approved by the Local Popular Council (LPC) or vice versa. Projects are communicated to the governorate and, when budgets are allocated, the relevant departments tender for contractors, supervise implementation and monitor budgets. In isolated spheres, NGOs implement their own projects through local resources. Local businesses operate formally or informally without knowledge of or coordination with local government plans and interventions. Residents are not involved in the planning and monitoring processes and their level of awareness of the directives of local upgrading is limited by the poor communication between the different stakeholders.

### Applying participatory upgrading on the local level

The local level is the main level for stakeholders to participate in the upgrading process. For this to happen, the local government on the district level needs to cater for and support the participation of local stakeholders in the decisions and actions regarding the upgrading of the informal area. Hence, participatory upgrading means structured and continuous dialogue involving NGOs, natural leaders, women and youth, representatives from local businesses and interested residents all on equal footing with executive local administration staff and elected representatives. This dialogue is initiated, administered and sustained through the tools for participatory upgrading explained in the following pages. Yet, this dialogue requires an enabling culture of governance and institutional arrangements formalising the new modes of interaction among local stakeholders and local government, which can take the form of a local stakeholder committee with a wider scope of representation than the LPC. Whether this committee is affiliated with the LPC or independent, LPC members will need to get into the routine of perceiving participatory mechanisms as an instrument for their operation in the community.

### Introduction

Part two of this book presents guidelines for actions to be taken by decision-makers concerning participatory upgrading of informal areas. Each of the seven mechanisms of participatory upgrading (numbered in big brown numbers) and the tools (in sub-numbers under the mechanisms) are explained in detail in terms of their application on the local and regional level. To make it visually clear, the local level is in the first column in beige background and the regional level is in the second column in blue background. The support from the ministerial or national level is in the third column in white. This means that each of the actors on a certain level can read this part two of the book in two ways: vertically (to follow the implementation of the tools on their level) and horizontally (to follow how the application of the tool interacts on the three levels).



Local actors within the conventional and participatory upgrading approach

## REGIONAL LEVEL

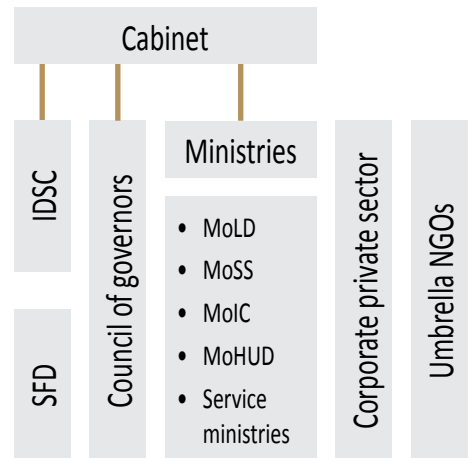
### Managing conventional upgrading on the regional level

The regional government plays a pivotal role in matching local needs with national resources. Governorate administrations receive upgrading plans and budget requests from district administrations in an annual cycle of budget planning, coordinate these needs in regional plans, review them with the governorate-level LPC and send them to the national level to obtain funding. There may be separate projects through cooperation with certain ministries, umbrella NGOs or international cooperation agencies. The coordination with these entities in the implementation of upgrading measures, however, is usually weak and does rarely involve the district administrations or local stakeholders.

### Applying participatory upgrading on the regional level

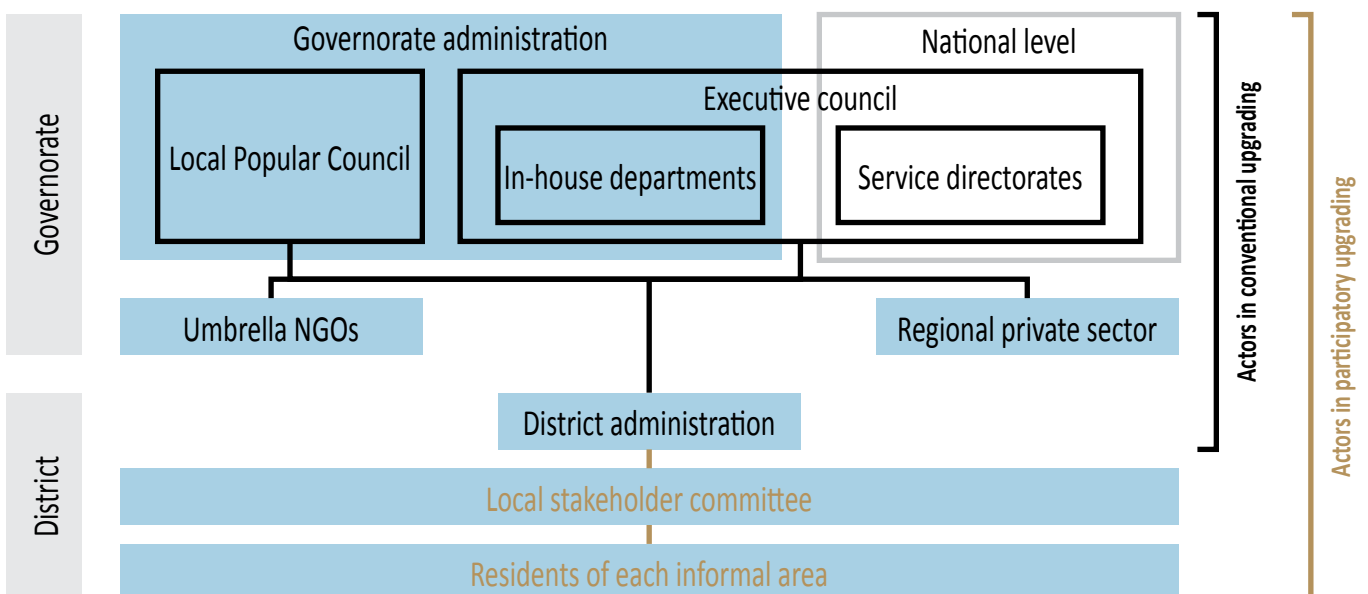
Applying participatory upgrading on the local level requires the initiation and continuous support from the regional level. The governorate is the top of the pyramid in the local government system. Its authority can be used to promote participatory upgrading as the routine approach and every-day practice for all levels of local government. It is the role of the governorate to make the administrative and legal arrangements necessary for the application of the participatory upgrading tools explained on the following pages and ensure the training of relevant staff on how to apply them. Requesting participatory needs assessment from district administrations, setting up a local initiatives fund or commissioning participatory planning exercises and approving the resulting plans: all these measures depend on actions that are initiated and steered from the regional level. However, the coordination role of the governorate with other stakeholders on the regional and national levels is as important as the steering function with the local-level government. Mapping out potential partners such as umbrella NGOs, the corporate private sector, donors, technical support agencies, etc. is an important step towards networking with them, mobilising their resources and efforts, and coordinating their actions in upgrading informal areas. Since these functions do not fit under the role or responsibility of a certain department, it is most efficient that the governorates establish special units for managing the upgrading of informal areas in accordance with measure taken by the governorates of Greater Cairo with technical support from PDP. The measure of establishing urban upgrading units is also recommended by ISDF for governorates nationwide.

## NATIONAL LEVEL



Ministries and central-government agencies play different roles in upgrading informal areas. In addition to these government efforts, umbrella NGOs, the corporate private sector and donor agencies start to engage more and more in this field on the national level. Roles and efforts of all these actors on the national level require careful coordination in order to become a source of support to participatory upgrading on the local and regional levels. Partners on the national level can provide the following to facilitate participatory upgrading:

- Laws, unified standards and tools
- Financial and other resources
- Technical expertise
- Capacity development measures



Actors within the conventional and participatory upgrading approach on the regional level

# 1 Sharing Information

## 1.1. GIS database of informal areas

### LOCAL LEVEL

#### Sharing information

Create and make available a GIS database for each informal area and share it with local stakeholders as a base for PNA, LIs and participatory planning.

Compile GIS database of informal areas as a base for having an overview of dealing with informal areas.

#### Overview of and strategy for informal areas

#### Stakeholder networking and cooperation

#### Promoting self-help initiatives

#### Knowing local community

#### Planning and managing integrated development

#### Impact orientation

Relation of sharing information to other participatory mechanisms

Mechanisms interrelated to sharing information



Mapping out the immediate interventions in Manshiet Nasser

### Objectives

- ◆ Creating and making available a unified, recent and accurate database for each informal area
- ◆ Providing the base for supporting information sharing within local administration and with other stakeholders, decision-making, participatory planning and monitoring local development between local stakeholders
- ◆ Provide the basis for achieving transparency as a main element of good governance

### Process

- ◆ Obtain existing maps and create a base-map of the area using a satellite image. . . . . [4]
- ◆ Collect data on the informal area from district departments. . . . . [5]
- ◆ Collect and verify data from the field (surveys by the governorate local development information center, NGOs, community task forces, etc.). . . . . [6]
- ◆ Revise and edit the data in preparation for further usage. . . . . [7]
- ◆ Create a GIS database relating the data to the map and visualising the layers of the database. . . . . [8]
- ◆ Fill the gaps in data according to the regional level review. . . . . [11]
- ◆ Regularly update the database and communicate the updated version to other levels. . . . . [4-13]
- ◆ Analyse and visualise data for local decision-making. . . . . [15]

### Partners

#### Implementing partners

- ◆ District information centre, local development information centre

#### Supporting Partners

- ◆ Other district-level departments, local NGOs, LPC and community members, governorate information center and GIS unit, UUU, IDSC, etc.

## REGIONAL LEVEL

- ◆ Creating, analysing and making available a unified, recent and accurate database for all informal areas on the governorate level
- ◆ Providing the base for supporting information sharing (vertical and horizontal), decision-making (planning and budget allocation) and monitoring informal areas upgrading
- ◆ Contribute to enhancing the government’s recognition of the conditions and priorities of local communities in informal areas

- ◆ Introduce and agree upon the set strategy and procedures for creating GIS databases. . . . . [2]
- ◆ Training of trainers on GIS database creation and usage. . . . . [3]
- ◆ Receive data on informal areas from local level in a format compatible with GIS software. . . . . [9]
- ◆ Review and unify collected data, apply quality control and define missing data. . . . . [10]
- ◆ Receive revised data from the local level and add regional-level information (approved plans, budgets, etc.) . . . . . [12]
- ◆ Provide revised databases to districts and national entities. [13]
- ◆ Analyse and visualise data for decision-making on informal areas. . . . . [14]

### Implementing partners

- ◆ UUU, governorate information centre, GIS unit

### Supporting Partners

- ◆ Governorate local development information centre, umbrella NGOs, IDSC, etc.

## NATIONAL LEVEL

- ◆ Making available a unified, recent and accurate database of informal areas on the national level
- ◆ Using GIS databases to support decision-making concerning national strategies and resource allocation for informal areas upgrading
- ◆ Contribute to enhancing the government’s recognition of the conditions and priorities of local communities in informal areas

- ◆ Set criteria for data categorisation and GIS methodologies. . . . . [1]
- ◆ Using visualised and analysed data for decision-making on informal areas. [16]

### Implementing partners

- ◆ IDSC, MoLD

### Supporting Partners

- ◆ GOPP, other ministries

# GIS databases of informal areas

## LOCAL LEVEL

### Framework conditions

- ◆ Get all the local cooperation partners on board and agree on roles and responsibilities
- ◆ Suitable hardware (computers) and software (licensed GIS application)
- ◆ Capacities of staff of information center and local development information center to handle the GIS tool
- ◆ Good communication among different district departments

### Capacity development requirements

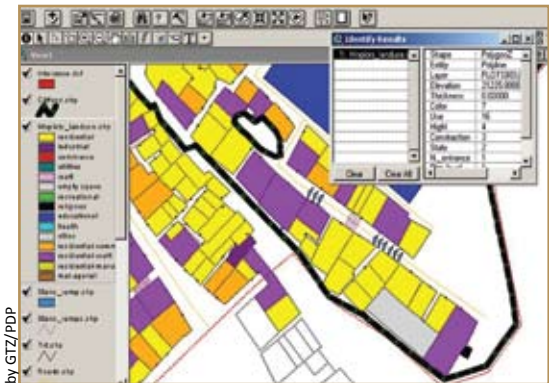
- ◆ Introduction to GIS for technical staff
- ◆ Obtaining recent satellite image of informal areas
- ◆ Creating of maps of a priority areas
- ◆ Data manipulation
- ◆ Data collection from the field
- ◆ Creating GIS databases
- ◆ Using ArcGIS (new version)

### Output

- ◆ An accurate base map of the area
- ◆ A unified, recent and accurate database of the informal area
- ◆ Integrated official socioeconomic data together with locally-available information from community members



Example of using GIS for mapping areas of intervention



Example of how data relates to maps



Example of a GIS training course



Example of a detailed GIS map for el Anrawi , Alexandria



Example of using GIS for mapping the land use

## REGIONAL LEVEL

- ◆ Political commitment of the governorate to the GIS tool, evident in creating and maintaining database
- ◆ Suitable hardware (computers) and software (licensed GIS application)
- ◆ Capacities of the relevant staff of information center and UUU

- ◆ General introduction to GIS
- ◆ Introduction to GIS for technical staff
- ◆ Data manipulation
- ◆ Creating GIS databases
- ◆ Data analysis using GIS
- ◆ Using ArcGIS (new version)

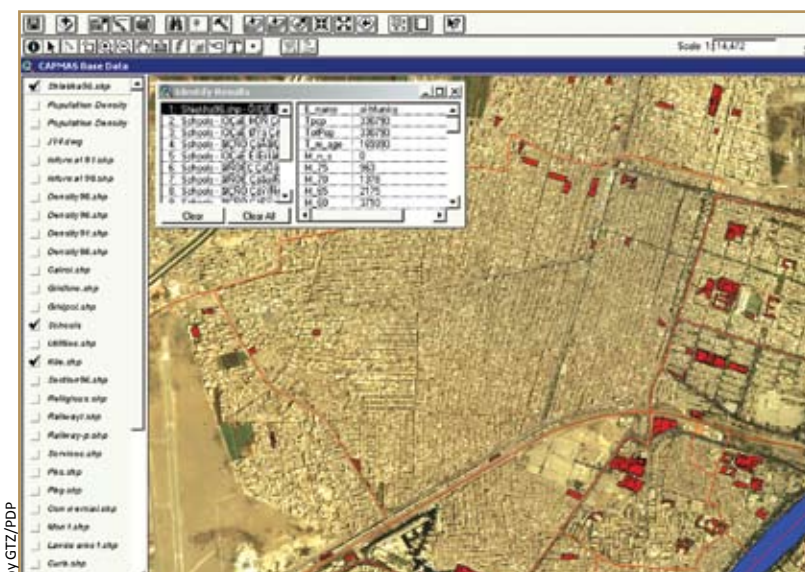
- ◆ A unified, recent and accurate database for informal areas in the region, with satellite images combined with latest GIS technology
- ◆ Integrated official data on each informal area available on the regional level together with locally-available data from district and community

## NATIONAL LEVEL

- ◆ Political commitment of ministries to information sharing concept and process (prerequisite for unification of database format)
- ◆ Putting decentralisation in action: good communication with governorates
- ◆ Staff and capacities for:
  - Setting criteria for data collection and GIS methodologies
  - Using visualised and analysed data for decision-making

- ◆ General introduction to GIS
- ◆ Data manipulation
- ◆ Using ArcGIS (new version)

- ◆ A unified, recent and accurate database for informal areas on the national level
- ◆ Integrated locally-verified data together with other data available at ministries and national entities



Example of layers of information in a GIS map



Creating detailed, plot-by-plot maps using satellite images

## 1.2. Information sharing systems

### LOCAL LEVEL



Photo by GTZ/PDP

*Analysing a GIS map by local administration*



Photo by GTZ/PDP

*Sharing information on informal areas among stakeholders*



Photo by GTZ/PDP

*Discussing information on informal areas among stakeholders*



Photo by GTZ/PDP

*Using GIS in displaying information to decision makers*

### Objectives

- ◆ Sharing the unified, recent and accurate GIS database on each informal area among district administration, LPC and service departments
- ◆ Sharing the GIS database among local stakeholders within each informal area (NGOs as information terminals for citizens or interactive info screen at district building entrance)
- ◆ Local decision-makers have access to unified and correct information on informal areas
- ◆ Empowering local stakeholders by gaining information to participate in decision-making, planning and monitoring of local development

### Process

- ◆ Provide a regularly-updated database on informal areas from district administration to regional level. . . . . [6]
- ◆ Coordinate the GIS database with the e-government system. . . [7]
- ◆ Regularly update district building info screen and NGOs information terminals. . . . . [8]

### Partners

#### Implementing partners

- ◆ Information center, local NGOs

#### Supporting partners

- ◆ District administration, LPC, natural leaders, UUU, governorate information center

## REGIONAL LEVEL

- ◆ Governor and relevant departments have access to unified and accurate information used in dealing with informal areas (data analysis, intervention strategies, development packages, budgets)
- ◆ Improving decision-making mechanisms based on information sharing
- ◆ Sharing analysed local information with ministerial level to coordinate national policies and interventions
- ◆ Promote and support inter-departmental cooperation

- ◆ Introduce and agree upon the strategy, mechanism and procedures for sharing information on informal areas. . . . . [3]
- ◆ Training of trainers at relevant governorate departments (e.g UUU, information center or GIS unit) for training local level personnel and supporting the application of the GIS system. . . . . [5]
- ◆ Collecting the regularly updated database on informal areas from districts administration to regional level. . . . . [9]
- ◆ Analyse, visualise and use data for decision-making on informal areas (UUU, inter-departmental committees). . . . . [11]

### Implementing partners

- ◆ UUU, GIS unit, governorate information centre, service directorates, other governorate departments

### Supporting partners

- ◆ Umbrella NGOs, LPC, IDSC

## NATIONAL LEVEL

- ◆ Making available a unified, recent and accurate database of informal areas on the national level (can be used for a national program for informal areas upgrading and/or ministerial support)
- ◆ Provide the base for sharing information in GCR (can be used in GCR strategic master plan, city development strategy, sector planning)
- ◆ Contributing to transparency and trust building between government and citizens

- ◆ Develop information sharing strategy on informal areas on all levels. . . . . [1]
- ◆ Setting GIS information sharing system including unified file structure, naming and coding. . . . . [2]
- ◆ Training of trainers at relevant ministries (e.g IDSC) for training regional level personnel and supporting the application of the system. . . . . [4]
- ◆ Collecting the regularly-updated database on informal areas from governorates to ministerial level. . . . . [10]
- ◆ Using visualised and analysed data for decision-making (inter-ministerial committees). . . . . [12]

### Implementing partners

- ◆ GOPP, ISDF

### Supporting Partners

- ◆ MoLD, CAPMAS, INP, UTI, IDSC

## Information sharing systems

### LOCAL LEVEL



Photo by GTZ/PDP

Information sharing among national level stakeholders



Photo by GTZ/PDP

Using maps for data collection encourages participation



Photo by GTZ/PDP

Information sharing on the regional level: Cairo governorate

#### Framework conditions

- ◆ Agree on roles and respective responsibilities regarding information sharing among local stakeholders
- ◆ Suitable hardware (computers and/or visualising devices) and needed software (licensed GIS application)
- ◆ Capacities of information center staff to activate information sharing between district departments, NGOs and local community
- ◆ Communication among different departments at the district administration

#### Capacity development requirements

- ◆ Introduction to GIS for technical staff and exchange information systems
- ◆ Data manipulation skills

#### Output

- ◆ A local information sharing system that allows accessibility to a unified, recent and accurate database for the informal area by local stakeholders (through NGOs information terminals and/or interactive info screen at district building entrance)

## REGIONAL LEVEL

- ◆ Political commitment of the governorate to information sharing process, evident in inter-departmental cooperation and coordination
- ◆ Capacities of the relevant staff of information centre, informal areas upgrading units and GIS unit for collecting, analysing, visualising information and making it available to all stakeholders on all levels

- ◆ General introduction to GIS and exchange information systems
- ◆ Introduction to GIS for technical staff
- ◆ Data manipulation skills
- ◆ Data analysis using GIS
- ◆ Using ArcGIS (new version) advanced

- ◆ A unified, recent and accurate information base of informal areas in the region, with satellite images combined with latest GIS technology
- ◆ A system for sharing information on all informal areas within local administration (on governorate and district levels) and with other regional partners (umbrella NGOs, private sector) as well as the ministerial level

## NATIONAL LEVEL

- ◆ Political commitment of ministries to information sharing concept and process
- ◆ Putting decentralisation into action by enhancing good communication with governorates
- ◆ Central system with authorised access and updating process from all levels
- ◆ Staff and capacities for:
  - Setting criteria for information sharing
  - Using visualised and analysed data for decision-making

- ◆ General introduction to GIS and exchange information systems
- ◆ Data manipulation skills
- ◆ Using ArcGIS (new version)

- ◆ A system for sharing information on all informal areas among ministries and national entities

# 2 Overview of and strategy for informal areas

## 2.1. Redefining and classifying informal areas

### LOCAL LEVEL

Sharing information

Overview of and strategy for informal areas

An overview of informal areas and intervention strategies is formed on the basis of a GIS database, stakeholder analysis and PNA in addition to feedback from planning and impact evaluation

Stakeholder networking and cooperation

Promoting self-help initiatives

Knowing local community

Planning and managing integrated development

Impact orientation

Relation of overview of and strategy for informal areas to other participatory mechanisms

Mechanisms interrelated to overview of and strategy for informal areas

### Objectives

- ◆ Redefining boundaries of each informal area by utilising field knowledge of local stakeholders

### Process

- ◆ The UUU holds workshops with relevant district departments (with field experience) and other local stakeholders to review the boundaries and type of each informal area using available data. [6]
- ◆ Conduct field visits to investigate unclear and/or missing information and verify characteristics, boundaries and type of each informal area..... [7]
- ◆ Demark newly defined boundaries for each informal area (including enlarging, splitting, combining informal areas). . . . . [8]
- ◆ Adjust database of each informal area according to the new boundaries, verified characteristics and potential (area, population, services, etc.). . . . . [9]



Boulaq el Dakroun as a typical unplanned area

## REGIONAL LEVEL

- ◆ Update definition of the boundaries of informal areas within the governorate and have a corresponding database
  - ◆ Ensure quality of the redefinition of boundaries of informal areas on the local level
  - ◆ Use updated boundaries as base for a clear overview of informal areas within the governorate to inform strategies and further actions
- 
- ◆ UUU manages the process of redefinition and classification of informal areas in coordination with districts according to the set criteria. . . . . [3]
  - ◆ Prepare and create layers of analysis of urban areas within the city and each district, whereby each layer indicates: . . . . . [4]
    - Planned areas and approved land subdivisions. Other areas are unplanned zones (information is obtained from urban planning department and with reference to any plans for the city/district)
    - Housing development on public land. These are illegal housing developments on basis of land tenure (information is obtained from land titling department)
    - Unsafe areas based on the ISDF criteria and indicators. Other areas are safe areas
    - Main characteristics for each zone within the city/district based on general observation and satellite images (e.g. access points, urban fabric, etc.)
    - Information about services and infrastructure networks and their coverage. A layer can indicate deprived areas (information is obtained from services departments in the governorate/district and infrastructure authorisations maps)
  - ◆ Communicate preliminary classification to local level for verification and adding detailed information. . . . . [5]
  - ◆ Receive data on the informal areas from local level including new boundaries and adjusted database. . . . . [10]
  - ◆ Update the governorate’s database of informal areas regarding number, size (km<sup>2</sup>) and population. . . . . [11]
  - ◆ Disseminate the updated redefinition and classification of informal areas. . . . . [12]

## NATIONAL LEVEL

- ◆ Setting and disseminating unified criteria (set by ISDF and GOPP) for defining and classifying informal areas for adoption by stakeholders on all levels
- 
- ◆ ISDF and GOPP set criteria for defining and classifying informal areas. . . . . [1]
  - ◆ Communicate the criteria to governorates and relevant stakeholders on the national level. . . . . [2]
  - ◆ Collect updated database from regional level and compile a national database of informal areas. . . . . [13]

## Redefining and classifying informal areas



Urban fabric of a planned area versus an informal area



A typical unsafe area in Manshiet Nasser

### 2.2. Information map and official register

El Omraneya District - Fakha area			Available data
Borders	North		Terna st
	South		New el Talatny st
	East		Abdel Rahim Abbas st
	West		El Muhawelat st
area			0.24 km2
Land ownership			Private
Population			19502
Infrastructure	Water	Percentage	100%
		Situation	Good
	Sewage	Percentage	100%
		Situation	Good
	Street paving	Percentage	11%
		Situation	Good
Street lighting	Percentage	75%	
	Physical characteristics		
Buildings type		Concrete structure	
Number of units		3250	
Structural situation			
Site	Accessibility		Easy
	Extendibility		Not extendible

Example of table containing detailed data of an informal area

### LOCAL LEVEL

#### Partners

##### Implementing partners

- ◆ Relevant district departments, information centre, LPC

##### Supporting Partners

- ◆ Other departments on the district level, UUU, NGOs, natural leaders

#### Framework conditions

- ◆ Commitment of the district administration to mobilise experienced staff in relevant departments to participate in the redefinition of informal areas
- ◆ Good communication among different district departments

#### Capacity development requirements

- ◆ Reading and analysing maps and satellite images for relevant departments
- ◆ Information center using GIS for demarking boundaries and adjusting database

#### Output

- ◆ Redefined boundaries, verified characteristics and potential of each type of informal areas
- ◆ Adjusted database for newly defined informal areas

### LOCAL LEVEL

#### Objectives

- ◆ Publishing the official register and information maps of informal areas locally
- ◆ Supporting transparency regarding the information related to informal areas and the proposed strategies

## REGIONAL LEVEL

### Implementing partners

- ◆ UUU

### Supporting Partners

- ◆ Information centre, GIS unit, urban planning department, LPC

- ◆ Political commitment of the governorate to redefine informal areas according to nationally-set criteria
- ◆ Capacities of UUU staff to manage the redefinition and classification process

- ◆ UUU staff should develop the following capacities:
  - Process management and quality control
  - Communication and coordination skills
  - Reading and analysing maps and satellite images

- ◆ Map and tabulation of the newly demarked and classified informal areas and a corresponding database
- ◆ Reviewed information on informal areas within the governorate

## REGIONAL LEVEL

- ◆ Setting, publishing and updating unified register and information maps for informal areas in each governorate agreed upon on all levels, including basic information and intervention strategies
- ◆ Using the information map and official register as a base for a clear overview of informal areas within the governorate that informs strategies and further actions and intervention scenarios
- ◆ Supporting transparency regarding the information related to informal areas and the proposed strategies

## NATIONAL LEVEL

### Implementing partners

- ◆ ISDF, GOPP

### Supporting partners

- ◆ CAPMAS, IDSC, MoLD, MoED

- ◆ Political commitment of ministries to agree on unified criteria for defining and classifying informal areas
- ◆ Putting decentralisation in action: good communication with governorates
- ◆ Capacities for setting criteria for defining and classifying informal areas

- ◆ High technical expertise for setting the criteria of defining and classifying informal areas (ISDF, GOPP, consultants)

- ◆ Unified criteria for defining and classifying informal areas

## NATIONAL LEVEL

- ◆ Setting unified register for informal areas including basic information and intervention strategies nationwide that has been agreed-upon on all levels
- ◆ Approving the official register of informal areas in the governorates and disseminating it to ministries
- ◆ Supporting transparency regarding the information related to informal areas and the proposed strategies
- ◆ Providing a base for an overview of informal areas and decision-making on how to deal with them

# Information map and official register

## LOCAL LEVEL

### Process

- ◆ UUU holds workshops with relevant district departments (with field experience) to organise and sort data of each informal area sectorially according to the unified format. . . . . [3]
- ◆ Create information maps and official registers of informal areas for each sector according to the unified format. . . . . [5]
- ◆ Approve the data shown in the information maps and official registers by local stakeholders.. . . . [6]
- ◆ Publish the information maps and official registers locally. [13]

### Partners

- Implementing partners**
- ◆ Information centre
- Supporting Partners**
- ◆ Other district-level departments, UUU

### Framework conditions

- ◆ Good communication with governorates
- ◆ Suitable visualisation and presentation tools and hardware for presenting the register and information maps



Information map of Boulaq el Dakroul



Classification of residential built-up areas in GCR

Governorate	Total no. of IAs	Area Status								Current IAs	Date	Population of IAs
		non-upgradeable & to be redeveloped				Upgradeable						
		Total areas	Removed	On-going removal	Removal not started	Total areas	Upgraded	On-going upgrading	Upgrading not started			
Cairo	81	13	7	5	1	68	0	68	0	74	Jul-07	3,004,380
Giza	36	0	0	0	0	36	7	27	2	29	Oct-07	1,909,705
Qalyoubeya	67	0	0	0	0	67	9	58	0	58	Aug-07	1,206,030
Alexandria	30	1	1	0	0	29	0	29	0	29	Sep-07	1,506,210
Beheira	90	2	0	0	2	88	19	30	39	71	Apr-08	203,847
Matruh	30	0	0	0	0	30	0	0	30	30	Sep-07	124,856

Statistics of informal areas in the Governorates of Egypt

## REGIONAL LEVEL

- ◆ UUU manages the process of creation of the local-level information maps and official registers based on the GIS database of informal areas in coordination with districts according to the unified format. . . . . [2]
- ◆ Receive, organise and sort data on the informal areas from local level sectorially, and adjust the data to the unified format. . . . [7]
- ◆ Create and approve governorate-level information maps and official registers of informal areas for each sector according to the unified format. . . . . [8]
- ◆ Communicate approved information maps and official registers of informal areas to the local level (districts). . . . . [12]

### Implementing partners

- ◆ Information centre, GIS unit, UUU

### Supporting Partners

- ◆ IDSC, GOPP, districts information center

- ◆ Political commitment of the governorate to issue the register and the information maps and communicate them to the districts
- ◆ Capacities for:
  - Producing the official register and the information maps on the governorate level
  - Managing the process at the local level

## NATIONAL LEVEL

- ◆ Set unified format for information maps and registers of informal areas for each level of application and communicate it to the relevant level. . . . . [1]
- ◆ Creation of the regional/local-level information maps and official registers of informal areas according to the unified format. . . . . [4]
- ◆ Receive, organise and sort data on the informal areas from regional level sectorially and adjust the data to the unified format. . . . . [9]
- ◆ Create and approve officially the national-level information maps and the registers of informal areas by IDSC and GOPP with the relative sectorial layers of information. . . . . [10]
- ◆ Communicate approved information maps and official registers of informal areas to relevant national entities and the regional and local level. . . . . [11]

### Implementing partners

- ◆ IDSC, GOPP

### Supporting partners

- ◆ ISDF, MoLD, MoED

- ◆ Political commitment of ministries to agree on unified informal areas register
- ◆ Putting transparency into action by enhancing good communication of the register and the information map with governorates and districts
- ◆ Capacities for:
  - Managing the production of the register and the information map at the regional and local levels
  - Producing the national official register and information maps

# Information map and official register

## LOCAL LEVEL



Information map for Helwan district

### Capacity development requirements

- ◆ Introduction to GIS for technical staff and exchange information systems
- ◆ Data manipulation

### Output

- ◆ Unified and published register for each informal area including basic and detailed information for each informal area
- ◆ Information maps (general and sectorial) including basic and detailed information for each informal area

## 2.3. Intervention strategies and priorities

## LOCAL LEVEL



Detailed information about Ezbet Abu Hashieh that suggests appropriate intervention strategy

### Objectives

- ◆ Defining intervention strategies for each informal area in the framework of the general strategy defined at the higher levels (regional and national)
- ◆ Defining priorities for upgrading of each informal area based on the PNA and the priorities defined at the regional and national level

### Process

- ◆ Apply intervention strategies to each informal area and priorities according to the PNA. . . . . [5]
- ◆ Set plan and time frame for implementation of proposed interventions according to the priorities and available resources. [8]
- ◆ Update the official register and information maps according to the defined intervention sub-strategies and priorities. . . . . [9]

## REGIONAL LEVEL

- 
- ◆ General introduction to GIS and exchange information systems
  - ◆ Introduction to GIS for technical staff
  - ◆ Data manipulation
  - ◆ Data analysis using GIS
  - ◆ Using ArcGIS (new version) advanced
- 
- ◆ Unified and published register and information maps (general and sectorial) for informal areas within the governorate including basic information, classification and intervention strategies

## NATIONAL LEVEL

- 
- ◆ Introduction to GIS for general information & exchange information systems
  - ◆ Data Manipulation
  - ◆ Using ArcGIS (new version)
- 
- ◆ Unified and published register and information maps (general and sectorial) of informal areas including basic information, classification and intervention strategies approved by relevant national entities

## REGIONAL LEVEL

- 
- ◆ Classification of informal areas within the governorate according to their definition and the adjusted database
  - ◆ Proposing and coordinating strategies for dealing with informal areas based on their classification
  - ◆ Defining priorities for upgrading informal areas within the governorate referring to the classification and the intervention packages
- 
- ◆ Apply intervention strategies to the situation of informal areas within the governorate. . . . . [4]
  - ◆ Package interventions and set priorities according to the available resources based on PNA and prioritisation coming from the local level. . . . . [6]
  - ◆ Communicate agreed-upon interventions to the local level according to the set priorities. . . . . [7]
  - ◆ Set and coordinate plan (time frame) for implementation of proposed strategies according to the priorities and available resources within the governorate. . . . . [10]
  - ◆ Update the official register and information maps according to the defined strategies/sub-strategies and priorities. . . . . [11]

## NATIONAL LEVEL

- 
- ◆ Setting preset intervention strategies based on the classification of informal areas agreed-upon on all levels
  - ◆ Defining priorities for upgrading informal areas on the national level referring to the classification
  - ◆ Providing a base for decision-making on informal areas on regional and local level
- 
- ◆ Set and approve appropriate intervention strategies. . . . . [1]
  - ◆ Set criteria for defining priorities. . . . [2]
  - ◆ Communicate the defined intervention strategies and prioritising criteria to the governorates and relevant national entities. . . . . [3]
  - ◆ Update the official register and information maps according to the defined strategies and priorities. . . . [12]
  - ◆ Set and coordinate a national plan (time frame) for the implementation of proposed interventions according to the priorities and available resources . . . [13]

# Intervention strategies and priorities

## LOCAL LEVEL

### Partners

#### Implementing partners

- ◆ Relevant district departments
- ◆ Information centre
- ◆ LPC

#### Supporting partners

- ◆ Other technical departments on district-level, UUU, NGOs, natural leaders

### Framework conditions

- ◆ Capacities for defining interventions and setting priorities for each informal area according to general strategies and the PNA

### Capacity development requirements

- ◆ Capacity for working on maps and GIS database
- ◆ Technical expertise in urban planning

### Output

- ◆ Proposed intervention strategy for each informal area
- ◆ Defined priorities on how to deal with each informal area according to intervention strategy and the PNA

by Community Design Collaborative for GTZ/PDP



Defining priorities in informal areas upgrading

by GOPP

Criteria / Value	1	2	3	4	5
Size	< 1000	1001 - 5000	5001 - 10000	10001 - 30000	> 30000
Services / person	Totally unmet	Almost unmet	Average	almost met	Met
% Good buildings	0 - 20%	21 - 40%	41 - 60%	61 - 80%	81 - 100%
Housing typology % concrete buildings	0 - 20%	21 - 40%	41 - 60%	61 - 80%	81 - 100%
Densities - % private ownership	0 - 20%	21 - 40%	41 - 60%	61 - 80%	81 - 100%
Congestion rate	> 3 persons / room	2 persons / room	4 persons / room	3 persons / room	2 persons / room
Pollution	Very polluted	Above average	Average	Below average	Slightly polluted
Location & accessibility	Prime	Semi - prime	Average	Semi - marginal	Marginal
Land prices	> 1000	2000 - 1000	2000 - 3000	500 - 2000	< 500
Infrastructure networks	Totally unmet	Almost unmet	Average	almost met	Met
Total	20	Towards removal ←	50	Towards upgrading →	100

A matrix for deciding on intervention strategy proposed by GOPP

by GTZ/PDP



Classification of informal areas for intervention according to priority needs, 2008

## REGIONAL LEVEL

### Implementing partners

- ◆ UUU

### Supporting partners

- ◆ Information center
- ◆ Urban planning department

- ◆ Political commitment of the governorate to determine intervention strategies for informal areas within the governorate according to nationally-set strategies
- ◆ Capacities of UUU staff for defining intervention strategies and setting priorities

- ◆ Capacity for working on maps and GIS database
- ◆ Technical expertise in urban planning

- ◆ Proposed intervention strategies for informal areas within the governorate
- ◆ Defined priorities on how to deal with informal areas within the governorate according to intervention strategies and the PNA
- ◆ Reviewed information of informal areas within the governorate including proposed interventions and priorities

## NATIONAL LEVEL

### Implementing partners

- ◆ ISDF
- ◆ GOPP

### Supporting partners

- ◆ IDSC, MoLD, MoED

- ◆ Political commitment of ministries to agree on unified criteria for setting priorities according to intervention strategies
- ◆ Putting decentralisation in action: good communication with governorates
- ◆ Capacities for defining intervention strategies and setting criteria for defining priorities

- ◆ Capacity for working on maps and GIS database
- ◆ Technical expertise in urban planning and knowledge of international experience and best practices in dealing with informal areas

- ◆ Set of general strategies for dealing with informal areas
- ◆ Unified criteria for prioritising interventions regarding informal areas upgrading, in the framework defined within intervention strategies

# 3 Stakeholder networking and cooperation

## 3.1. Stakeholder analysis and management

### LOCAL LEVEL

Sharing information

Overview of and strategy for informal areas

Stakeholder networking and cooperation

Mapping out local stakeholders and potential development partners on all levels and mobilise and coordinate their roles and resource inputs feeding to the overview of informal areas.

Promoting self-help initiatives

Knowing local community

Planning and managing integrated development

Impact orientation

*Relation of stakeholder networking and cooperation to other participatory mechanisms*

*Mechanisms interrelated to stakeholder networking and cooperation*

Stakeholder mapping, analysis and management is a tool that can be used on each level independently from its application on other levels. Nevertheless, the exchange of stakeholder analysis among the three levels makes the situation of upgrading informal areas clearer for all parties. The stakeholder map is a key starting point for upgrading interventions and may be useful at various points in time as stakeholders and their relationships change over time. It can thus also be used as a monitoring tool to show how relationships among stakeholders have changed.

### Objectives

- ◆ Identify existing and potential stakeholders involved in the participatory upgrading of an informal area, their interrelations, and their relations with partners on the regional and national level
- ◆ Identify gaps, conflicts and synergies in the local stakeholder network
- ◆ Fit the stakeholder analysis on the local level within the overview of informal areas on the regional level in a way that harmonises and coordinates efforts and eliminates conflicts

### Process

- ◆ Visualise all stakeholders involved in the upgrading of an informal area using a stakeholder mapping technique. . . . . [1]
- ◆ Obtain stakeholder maps generated on other levels. . . . . [2]
- ◆ Categorise stakeholders into key, primary and secondary stakeholders and identify among them veto players who can stop or enhance the planned activity. . . . . [3]
- ◆ Recognise the role and interest of each stakeholder as well as the relevance for the planned activity. . . . . [4]
- ◆ Identify and characterise the relationships between the different stakeholders in regard to their strength and overlapping interest, e.g as alliance, formalised cooperation, conflict, weak or informal relation or as non-existent, in addition, show the direction of dominant relationships. . . . . [5]
- ◆ Define gaps and weak or tense relations and work on putting them on the desired state. . . . . [6]

## REGIONAL LEVEL

- ◆ Identify local stakeholder networks and partners on the regional level involved or potentially interested in the participatory upgrading of informal areas
- ◆ Identify gaps, conflicts and synergies in the stakeholder network
- ◆ Fit the stakeholder analysis on the regional level within the overview of informal areas in a way that harmonises and coordinates efforts and eliminates conflicts

- 
- ◆ Visualise all stakeholders involved in the upgrading of informal areas within the governorate using a stakeholder mapping technique. . . . . [1]
  - ◆ Obtain stakeholder maps generated on other levels. . . . . [2]
  - ◆ Categorise stakeholders into key, primary and secondary stakeholders and identify among them veto players who can stop or enhance the planned activity. . . . . [3]
  - ◆ Recognise the role and interest of each stakeholder as well as the relevance for the planned activity. . . . . [4]
  - ◆ Identify and characterise the relationships between the different stakeholders in regard to their strength and overlapping interest, e.g as alliance, formalised cooperation, conflict, weak or informal relation or as non-existent, in addition, show the direction of dominant relationships. . . . . [5]
  - ◆ Define gaps and weak or tense relations and work on putting them on the desired state. . . . . [6]

## NATIONAL LEVEL

- ◆ Identify existing stakeholders involved in the participatory upgrading of informal areas on the national level, their interrelations, and their relations with stakeholders on the regional and local level
- ◆ Identify gaps, conflicts and synergies in the stakeholders network
- ◆ Update policies on upgrading informal areas of roles of stakeholders on all levels

- 
- ◆ Visualise all stakeholders involved in upgrading of informal areas on the national level. . . . . [1]
  - ◆ Obtain stakeholder maps generated on the local and regional level. . . . . [2]
  - ◆ Categorise stakeholders into key, primary and secondary stakeholders and identify among them veto players who can stop or enhance the planned activity. . . . . [3]
  - ◆ Recognise the role and interest of each stakeholder as well as the relevance for the planned activity. . . . . [4]
  - ◆ Identify and characterise the relationships between the different stakeholders in regard to their strength and overlapping interest, e.g as alliance, formalised cooperation, conflict, weak or informal relation or as non-existent, in addition, show the direction of dominant relationships. . . . . [5]
  - ◆ Define gaps and weak or tense relations and work on putting them on the desired state. . . . . [6]

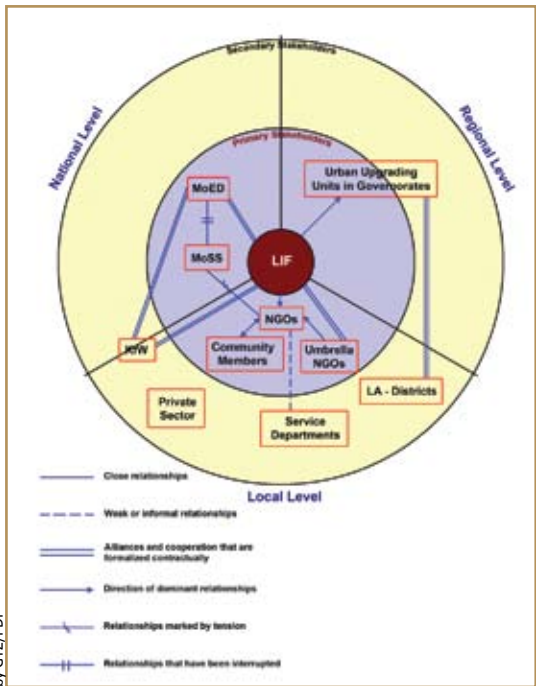
# Stakeholders analysis and management

## LOCAL LEVEL



Photo by GTZ/PDP

Stakeholders meeting in Cairo governorate



BY GTZ/PDP

Example of a stakeholder map



Photo by GTZ/PDP

Stakeholders meeting in Helwan district

### Partners

- ◆ Partners vary according to an upgrading activity in one informal area, nevertheless they must include local administration, NGOs and community representatives

### Framework conditions

- ◆ It is crucial to begin the process with a clearly defined activity such as the upgrading of an informal area or interventions within it
- ◆ Transparency that allows obtaining information about stakeholders and their relationships

### Capacity development requirements

- ◆ The tool is easy to use. Knowledge of different visualisation techniques of stakeholder mapping is needed
- ◆ A stakeholder analysis can be done with a group of up to six people. From six participants upward, it is appropriate to form smaller working groups.

### Output

- ◆ A stakeholder map and analysis of local stakeholders involved in upgrading an informal area or a certain intervention within it
- ◆ A list of activities focusing on the improvement and strengthening of damaged or non-existent relationships, if required for a certain activity

## REGIONAL LEVEL

- 
- ◆ Partners vary according to the scope of upgrading activities, nevertheless they must always include local administration and NGOs
- 
- ◆ It is crucial to begin the process with a clearly defined focus such as upgrading informal areas in the governorate or the upgrading of particular priority areas
  - ◆ Transparency that allows obtaining information about stakeholders and their relationships
  - ◆ Political considerations when sharing information on stakeholders and their agendas and relationships
- 
- ◆ The tool is easy to use. Knowledge of different visualisation techniques of stakeholder mapping is needed
  - ◆ A stakeholder analysis can be done with a group of up to six people. From six participants upward, it is appropriate to form smaller working groups
- 
- ◆ A stakeholder map showing all relevant stakeholders on all levels for upgrading informal areas within the governorate and their relationships to each other
  - ◆ A list of activities focusing on the improvement and strengthening of damaged or non-existent relationships, if required for a certain activity

## NATIONAL LEVEL

- 
- ◆ Partners vary according to an upgrading activity, nevertheless they must include line ministries, central governmental agencies, the private sector, donor agencies and NGOs
- 
- ◆ It is crucial to begin the process with a clearly defined focus such as upgrading informal areas on the national level
  - ◆ Transparency that allows obtaining information about stakeholders and their relationships
  - ◆ Political considerations when sharing information on stakeholders and their agendas and relationships
- 
- ◆ The tool is easy to use. Knowledge of different visualisation techniques of stakeholder mapping is needed
  - ◆ A stakeholder analysis can be done with a group of up to six people. From six participants upward, it is appropriate to form smaller working groups
- 
- ◆ A stakeholder map showing all relevant stakeholders on all levels involved in upgrading informal areas and their relationships to each other
  - ◆ A list of activities focusing on the improvement and strengthening of damaged or non-existent relationships, if required for a certain activity

## 3.2. Mobilising and coordinating resources

### LOCAL LEVEL



by GTZ/PDP

World Bank model of partnership and participation



Photo by GTZ/PDP

Community meeting to negotiate roles and resource mobilisation for street cleaning campaign in Boulaq el Dakrou



Photo by GTZ/PDP

Resource input from Giza governorate: manpower and equipment



Photo by GTZ/PDP

Collaborative work as a result of resource mobilisation

#### Objectives

- ◆ Identification of potential roles and inputs of each development partner on the local level in the upgrading of informal areas based on the local stakeholder analysis
- ◆ Support implementation of coordination plans set on the regional level for upgrading interventions in informal areas

#### Process

- ◆ Identify potential roles and inputs of local stakeholders in the upgrading of each informal area based on the local stakeholder analysis. .... [1]
- ◆ Facilitate the negotiation with local stakeholders on their roles and resource inputs. .... [4]
- ◆ Support implementation of coordination plans set on the regional level. .... [11]

#### Partners

##### Implementing partners

- ◆ District administration

##### Supporting partners

- ◆ All local stakeholder groups

#### Framework conditions

- ◆ Trust among local stakeholders
- ◆ Communication channels
- ◆ Legal framework for agreements and commitments among partners

#### Capacity development requirements

- ◆ No requirements needed

#### Output

- ◆ Resources allocated to the upgrading of informal areas
- ◆ Coordination plan of roles and resource inputs of development partners for each informal area

## REGIONAL LEVEL

- ◆ Identification of potential roles and inputs of each development partner on the national, regional and local levels in the upgrading of informal areas based on the stakeholder analysis
- ◆ Securing commitment of different development partners in upgrading of informal areas
- ◆ Coordination of resource inputs and development efforts of different partners in each informal area and within all informal areas within the governorate

- ◆ Use stakeholder maps and analysis of all levels to identify potential roles and inputs of each development partner in the upgrading of informal areas within the governorate. . . . . [3]
- ◆ Communicate with potential development partners and negotiate proposed roles and resource inputs. . . . . [5]
- ◆ Secure commitment of different development partners in upgrading of informal areas. . . . . [7]
- ◆ Prepare a coordination plan of resource inputs and development efforts of different partners in each informal area and among informal areas within the governorate. . . . . [8]
- ◆ Communicate coordination plans of partners and their roles and inputs to the local and national level. . . . . [9]

### Implementing partners

- ◆ Governorate administration, UUU

### Supporting partners

- ◆ All potential regional partners

- ◆ Trust among regional stakeholders
- ◆ Communication channels
- ◆ Legal framework for agreements and commitments among partners

- ◆ Mediation, negotiation and coordination skills, fund-raising skills

- ◆ Resources allocated to the upgrading of informal areas
- ◆ Coordination plan of roles and resource inputs of development partners for informal areas within the governorate

## NATIONAL LEVEL

- ◆ Identification of potential roles and inputs of each development partner on the national level in the upgrading of informal areas based on the stakeholder analysis
- ◆ Commitment of partners on the national level to informal areas upgrading
- ◆ Enable coordination of development partners for informal areas upgrading on the national level

- ◆ Identify potential roles and inputs of national partners in the upgrading of informal areas based on the stakeholder analysis. . . . . [2]
- ◆ Facilitate the negotiation with national partners on their roles and resource inputs. . . . . [6]
- ◆ Support implementation of coordination plans set on the regional level. . . . . [10]

### Implementing partners

- ◆ MoLD

### Supporting partners

- ◆ All potential partners on the national level

- ◆ Trust among national stakeholders
- ◆ Communication channels
- ◆ Legal framework for agreements and commitments among partners

- ◆ No requirements needed

- ◆ Resources allocated to the upgrading of informal areas
- ◆ Coordination plan of roles and resource inputs of development partners for informal areas nation-wide

# 4 Promoting self-help initiatives

## 4.1. Local initiative projects through NGOs

### LOCAL LEVEL

Sharing information

Overview of and strategy for informal areas

Stakeholder networking and cooperation

Promoting self-help initiatives

Implementing tangible projects by NGOs potentially using the GIS tool, PNA and an overview of informal areas, coordination and management of LI and fund allocation and management.

Knowing local community

Planning and managing integrated development

Impact orientation

Relation of promoting self-help initiatives to other participatory mechanisms

Mechanisms interrelated to promoting self-help initiatives



Income generating activities

### Objectives

- ◆ Empowering local communities and promoting common action with public administration
- ◆ Building the capacity of local NGOs
- ◆ Fulfilling urgent community needs in underserved areas
- ◆ Trust building between people, civil society and the government generated from quick tangible results

### Process

- ◆ LI projects' committee and relevant local partners (social solidarity department, local administration, LPC, umbrella NGOs, public facilities) announce availability of a LI fund, explain fund criteria to local NGOs and support the process... [6]
- ◆ Mobilise local NGOs to identify priority needs, take initiative towards satisfying them and present good quality proposals for the LI fund... [7]
- ◆ Conducting verification visits to assess the capacity of NGOs using the capacity assessment tool and prospects of success of the LI project... [8]
- ◆ Implement tangible projects through local NGOs and build the capacity of the implementing NGO (by the intermediary organisation, expert NGOs or consultants)... [9]

### Partners

#### Implementing partners

- ◆ Implementing NGO supported by umbrella NGOs (if any)
- ◆ Local staff of relevant line-ministries, MoSS department, social units and district administration

#### Supporting Partners

- ◆ District administration, LPC, other local NGOs, community members, local businesses, local public facilities, UUU, LI projects committee, etc.

## REGIONAL LEVEL

- ◆ Improving communication and cooperation within and between relevant governmental entities and civil society organisations
  - ◆ Institutionalising mechanisms and capacities for LI fund management
  - ◆ Using LI projects to trigger participatory upgrading activities in priority areas
- 
- ◆ Present and market the LI concept to key and relevant partners to mobilise their support (the governor, head of MoSS directorate). . . . . [3]
  - ◆ Establish LI projects committee to coordinate the tendering process, engage in stakeholder’s networking, screening proposals, supervising and monitoring and evaluation. . . . . [4]
  - ◆ Adapt the general criteria to local conditions and set strategy for granting LI projects (geographical or sectorial) in accordance with the governorate strategy for dealing with informal areas. . . . . [5]
  - ◆ The LI projects’ committee in consultation with intermediary NGOs (if any) conducts initial screening of proposals and supervises and monitors the process implemented on the local level. . . . . [7-9]

### Implementing partners

- ◆ Governorates (governors, UUU), organisational, political support and complementing resources allocation
- ◆ MoSS directorate, contact with NGOs and permits for LI projects
- ◆ LI projects’ committee, management of LI process

### Supporting partners

- ◆ Service directorates, technical support to LI projects throughout and comanagement of facilities
- ◆ Umbrella NGOs

## NATIONAL LEVEL

- ◆ Institutionalising mechanisms and capacities for LI fund allocation (funds for supporting community initiatives from, e.g. MoSS, MoED, MoLD, EEAA, MoHUD, etc.)
- ◆ Contribute to enhancing the government’s responsiveness to people’s priority needs (good governance)

- 
- ◆ Ministries adopt LI concept and set general criteria for LI fund. . . . . [1]
  - ◆ Allocate a LI fund on a regular basis. . . [2]
  - ◆ Apply operational and quality control of the management of the fund. . . . . [10]
  - ◆ Commission impact assessment of LI projects. . . . . [11]
  - ◆ Fund-raising for LI fund(s) from national-level, private sector and donors. [Ongoing]

### Implementing partners

- ◆ Ministries adopting LI concept and process (MoED, MoSS, MoLD, EEAA, etc.), allocating and management of a national LI fund

### Supporting partners

- ◆ Private sector and donors funding LI projects

## Local initiatives projects through NGOs

### LOCAL LEVEL



Photo by GTZ/PDP

LI projects empowering women economically and socially



Photo by GTZ/PDP

Support of community-based income-generating initiatives



Photo by GTZ/PDP

Improved educational facilities through LI projects



Photo by GTZ/PDP

Improved health care facilities and services through LI projects

#### Framework conditions

- ◆ Motivation of local staff of relevant line-ministries, MoSS (department and social units) and district administration and their capacities to handle local process steps in support of LI projects' committee
- ◆ Communication among local stakeholders and potential cooperation
- ◆ Capacities of local NGOs and umbrella NGO for:
  - Assessing community needs
  - Developing project proposals
  - Mobilising local resources
  - Implementing and monitoring LI projects
  - Managing LI fund according to criteria (technical and financial)
  - Ensuring documentation and reporting
  - Ensuing sustainable management
  - Contractual relations between local NGOs and the umbrella NGO

#### Capacity development requirements

- ◆ Awareness-raising on the concept of LI
- ◆ Capacity development/training of local NGOs on implementation of LI projects (through umbrella NGO) including the above list
- ◆ Capacity development/training of local staff of MoSS (department and social units), relevant line-ministries and district administration for handling LI projects process and coordinate among local stakeholders

#### Output

- ◆ Some priority development needs are met
- ◆ Sustainable community services
- ◆ Increased community ownership of the LI projects
- ◆ Increased capacities of implementing NGOs and local staff of MoSS
- ◆ Improved trust, relationships and communication channels among local stakeholders, particularly local administration and civil society
- ◆ Local contributions and mobilised local resources

## REGIONAL LEVEL

- ◆ Laws and regulations allow governorates to establish and flexibly manage a LI fund according to LI project criteria
- ◆ Political commitment of the governorate to LI process, evident in issuing a decree for forming the LI projects' committee, supporting its operation, additional fund allocation/raising, etc.
- ◆ Capacities of the relevant staff of MoSS directorate, UUU and LI projects committee for managing LI process
- ◆ Availability of financial resources to create LI funds

- ◆ Awareness-raising on the concept of LI
- ◆ Orientation/training to LI projects' committee on its tasks

- ◆ Decentralised LI fund for tangible projects
- ◆ Established implementation mechanism (LI projects' committee)
- ◆ Increased capacities of NGOs and local staff of Social Solidarity
- ◆ Improved relationships and communication channels among stakeholders on the local and regional levels, particularly local administration and civil society
- ◆ Partnership between government, private sector and civil society on the regional and local level

## NATIONAL LEVEL

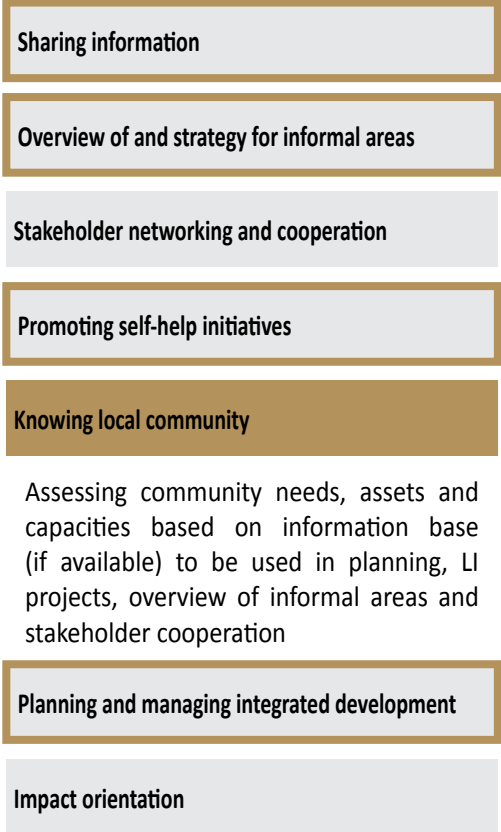
- ◆ Political commitment of ministries to LI concept and process
- ◆ Good communication with governorates
- ◆ Staff and capacities for:
  - Monitoring fund and process
  - Impact assessment
  - Fund-raising
- ◆ Availability of financial resources to create LI funds

- ◆ Awareness-raising on the concept of LI
- ◆ Capacity development/training on:
  - Monitoring LI fund and process
  - Impact assessment
  - Fund-raising

- ◆ LI budget(s) made available on a sustainable basis directed to informal areas
- ◆ A bottom-up approach of development is adopted responding to urgent development needs
- ◆ Partnership with the private sector for funding LI

# 5 Knowing local community

## 5.1. Participatory needs assessment



Relation of knowing local community to other participatory mechanisms

Mechanisms interrelated to knowing local community



Residents of Manshiet Nasser

Photo by GTZ/PDP

### LOCAL LEVEL

#### Objectives

- ◆ Identifying and prioritising problems and development needs within each informal area
- ◆ Formulating a shared understanding of the community among local stakeholders (self-image, potential, strengths, weaknesses)
- ◆ Building and maintaining a cooperative relationship (networking) among local stakeholders (local administration staff, LPC members, community members, NGOs, etc.)

#### Process

- ◆ Mobilise the support of official stakeholders on the local level: district administration and the LPC. . . . . [4]
- ◆ Compose a team of district coordinators including representatives of the local administration and experts to coordinate and manage the process and train them on using different methods for needs assessment. . . . . [6]
- ◆ Compose a team of district facilitators including community members and representatives of the local administration to carry out the process and train them on using different methods for needs assessment. . . . . [7]
- ◆ Obtain recent maps and secondary data, update them through exploratory community walks and indicate on them landmarks, problems and resources as mentioned by the community. . . . . [8]
- ◆ Develop with the facilitators team a work plan for the different steps of the process. . . . . [9]
- ◆ Collect information on the community through community walks, including street interviews, questionnaires and in-depth guided interviews. . . . . [10]
- ◆ Conduct focus group discussions with relevant subgroups to gain in-depth information on certain problems and to brainstorm possible solution scenarios. . . . . [11]
- ◆ Analyse and document the collected information to: . . . . . [12]
  - Compile lists of problems and potential
  - Map out community structures and relationships
- ◆ Present the results of the process in a public day (meeting) and discuss and agree on the problems, priorities and steps forward. . . . . [13]

## REGIONAL LEVEL

- ◆ Knowing priority needs, problems and potential of communities in each informal area as a basis for planning and equitable budget allocation and improved targeting of development efforts
- ◆ Better coordination of development and upgrading interventions within each informal area and between informal areas

- 
- ◆ Mobilise the support of official stakeholders on the governorate level (governorate administration and the LPC). . . . . [3]
  - ◆ Compose a team of governorate coordinators including representatives of the governorate administration and experts to coordinate and manage the process and train them on using different methods for needs assessment. . . . . [5]
  - ◆ Collect the results of the process and update the database of informal areas within the governorate and approve the needs and priorities by governorate administration and the LPC. . . . . [14]
  - ◆ Communicate the PNA results to the urban planning department as a base for preparing detailed plans and to the planning and monitoring department as a base for preparing budget plans. [15]

## NATIONAL LEVEL

- 
- ◆ Provide empirical information as a basis for more effective policy-making
  - ◆ Inform sectorial planning within ministries of accurate information about local communities' priority needs towards more effective budget allocation

- 
- ◆ Commission PNA in priority informal areas according to national programs. . . . . [1]
  - ◆ Provide capacity development on applying PNA methodology. . . . . [2]
  - ◆ Collect the results of the PNAs in informal areas nation-wide. . . . . [16]

## Participatory needs assessment



Photo by GTZ/PDP

PNA process in Manshiet Nasser



Photo by GTZ/PDP

Women group discussion in Manshiet Nasser



Photo by GTZ/PDP

Focus group discussion in Manshiet Nasser



Photo by GTZ/PDP

Open day for presenting PNA results in Manshiet Nasser

### LOCAL LEVEL

#### Partners

##### Implementing partners

- ◆ Local administration staff (representatives):
  - ◆ Planning and monitoring department
  - ◆ Citizen service department
  - ◆ Social solidarity department
  - ◆ Social development experts
  - ◆ Universities
  - ◆ National research institutes
  - ◆ International organisations
  - ◆ Big NGOs
  - ◆ Social consultancy firms

##### Supporting partners

- ◆ Other district departments

#### Framework conditions

- ◆ Official request or mandate for conducting the PNA
- ◆ Financial and human resources to implement the PNA
- ◆ Political support from regional level

#### Capacity development requirements

- ◆ PNA training for district facilitators, including:
  - Training on reading maps
  - Training on data collection techniques
  - Training on identifying and analysing problems and their causes and effects
- ◆ PNA training for district coordinators, including:
  - Training on reading maps
  - Training on data collection techniques
  - Training on identifying and analysing problems and their causes and effects

#### Output

- ◆ Community develops a shared vision of itself and its priority problems and potentials
- ◆ Active members of the community mobilised
- ◆ Organisational capacity for the community is built in order to assess needs and decide on priorities
- ◆ Data and information about community attitudes are available and can be used as a basis for information sharing and participatory planning

## REGIONAL LEVEL

### Supporting partners

- ◆ UUU
- ◆ Other governorate service directorates as needed

- ◆ Commitment for responding to priority needs resulting from PNA
- ◆ Budgets allocated to respond to some of the priority needs identified by communities

- ◆ PNA training for governorate coordinators including:
  - Training on reading maps
  - Training on data collection techniques
  - Training on identifying and analysing problems and their causes and effects

- ◆ A shared vision of communities within the governorate and their priority problems and potentials
- ◆ Active members representing communities within the governorate mobilised
- ◆ Organisational capacity for the communities representatives is built in order to assess needs and decide on priorities on governorate level
- ◆ Data and information about community attitudes are available and can be used as a basis for information sharing and participatory planning

## NATIONAL LEVEL

### Supporting partners

- ◆ CAPMAS
- ◆ IDSC
- ◆ GOPP
- ◆ MoLD

- ◆ Institutionalising PNA as prerequisite to local planning and upgrading interventions

- ◆ Training of trainers on PNA at national training institutes

- ◆ A shared national vision of communities and their priority problems and potentials
- ◆ Active members of the governorate representatives mobilised
- ◆ Organisational capacity for the governorate representatives is built in order to assess needs and decide on priorities
- ◆ Data and information about community attitudes are available and can be used as a basis for information sharing and participatory planning

## 5.2. Assessing capacity of stakeholders

### LOCAL LEVEL

NGO capacity assessment form for funding decisions

#### Objectives

- ◆ Assess the capacity of local stakeholder groups in each informal area
- ◆ Assess the roles that each local stakeholder group can play in upgrading according to their capacity
- ◆ Feed into stakeholder analysis, networking and cooperation

#### Process

- ◆ Identify all local stakeholder groups during the PNA process and/or through dialogue with known stakeholders..... [3]
- ◆ Support regional level in applying organisational assessment methods with local stakeholders (see Appendix for an institutional assessment form for NGOs)..... [4]

#### Partners

##### Supporting partners

- ◆ District administration
- ◆ MoSS department
- ◆ Local development information center

#### Framework conditions

- ◆ Support from district administration and MoSS

#### Capacity development requirements

- ◆ Organisational assessment methods and knowledge of how to apply them

#### Output

- ◆ Profile of local stakeholder groups
- ◆ Organisational assessment of local stakeholders in each informal area

#### Main criteria for assessment:

- ◆ Strategic orientation
- ◆ Internal governance
- ◆ Technical capacity
- ◆ Financial management
- ◆ Representation and membership
- ◆ Gender
- ◆ Human resources management

## REGIONAL LEVEL

- ◆ Overview of capacity of local stakeholders in each informal area
  - ◆ Assessment of the overall capacity of stakeholders for upgrading informal areas on the regional level
  - ◆ Feed into stakeholder analysis, networking and cooperation
- 
- ◆ Commission the assessment of the stakeholders' capacities in priority informal areas for intervention either together with PNA or independently. . . . . [2]
  - ◆ Apply organisational assessment methods for NGOs, district administration, LPC and any other local organisation. . . . . [5]
  - ◆ Analyse the organisational assessment results for each local stakeholder to identify strengths and weaknesses in internal organisation and management as well as external networking. [6]
  - ◆ Feed the analysis of organisational assessments into stakeholder analysis, networking and cooperation. . . . . [7]

### Implementing partners

- ◆ MoSS directorate
- ◆ Personnel department
- ◆ UUU

### Supporting partners

- ◆ IDSC information center
- ◆ Local development information center
- ◆ Umbrella NGOs

- 
- ◆ Organisational assessment methods
  - ◆ Technical knowledge and capacity to use them

- 
- ◆ Organisational assessment methods and knowledge of how to apply them

- 
- ◆ Profile of stakeholders in upgrading informal areas on the regional level
  - ◆ Organisational assessment of local stakeholders in all informal areas

## NATIONAL LEVEL

- 
- ◆ Give orientation for policies and strategies for the upgrading of informal areas on basis of the capacity of local and regional stakeholders
- 
- ◆ Develop and promote organisational assessment methods and techniques and provide capacity development for local administration on how to use them (MoSS, IDSC, MoLD, etc) - (see Appendix for an institutional assessment form for NGOs). . . . . [1]
  - ◆ Collect assessments of stakeholders in informal areas and feed back into policies of dealing with informal areas. . . . . [8]

### Supporting partners

- ◆ MoLD
- ◆ MoSS
- ◆ IDSC
- ◆ MoIC
- ◆ MoAD

- 
- ◆ Political will to know the capacity of stakeholders for upgrading informal areas
  - ◆ Transparency to communicate results publicly

- 
- ◆ Training of trainers on organisational assessment methods

- 
- ◆ Profile of stakeholders in upgrading of informal areas on the national level

# 6 Planning and managing integrated development

## 6.1. Participatory planning and budgeting

### LOCAL LEVEL

Sharing information

Overview of and strategy for informal areas

Stakeholder networking and cooperation

Promoting self-help initiatives

Knowing local community

Planning and managing integrated development

Conduct participatory planning on the basis of PNA, a GIS database and an overview of informal areas and install a participatory project monitoring and management of public facility systems

Impact orientation

*Relation of planning and managing integrated development to other participatory mechanisms*

*Mechanisms interrelated to planning and managing integrated development*

The expected output of the action planning workshops is as follows:

- ◆ A shared vision for the development of the area (optimum state)
- ◆ Problem analysis, classification and proposed solutions
- ◆ Coordinated priority interventions (projects and procedures)
- ◆ Agreed upon roles among local stakeholders (who does what)
- ◆ Cost of proposed interventions and decision on who should pay for what
- ◆ Mechanisms for participatory monitoring and follow-up of the plan

### Objectives

Enable local stakeholders of an informal area (neighborhood-scale) based on PNA results to do the following in a participatory way:

- ◆ Consolidate a shared vision for the development of their area
- ◆ Agree on development priorities and interventions
- ◆ Mobilise public, private and community resources to implement development activities (some immediate and some just the start of long-term projects)
- ◆ Mobilise cooperation and participation of local stakeholders
- ◆ Produce a development plan of the informal area that becomes the basis for legal and budget plans

### Process

- ◆ Get prepared with the results of the PNA (problems and assets), available surveys and database. . . . . [3]
- ◆ Hold a public day to confirm priority problems and announce the kick off of the planning process. . . . . [4]
- ◆ Form local stakeholder council (LSC) or committee from representatives of the local administration, the LPC, NGOs, local businesses, natural leaders, women and youth and form sub-committees for priority issues. . . . . [5]
- ◆ Prepare a meeting place within the community for conducting the planning workshops and displaying information and results. . . [6]
- ◆ Hold action planning workshops (see box). . . . . [8]
- ◆ Conduct verification field visits during the planning workshops to check the problems or proposed solutions on site. . . . . [9]
- ◆ Organise meetings between local stakeholders and experts during the planning workshops in order to integrate external support and to obtain expert technical inputs (e.g for cost calculation and technical specifications of upgrading interventions). . . . . [10]
- ◆ Hold a final public day to present the action plan to the community and make it available for feedback collection at the meeting place and adjust the plan accordingly. . . . . [11]
- ◆ Approve the action plan by the LPC and the district chief to be considered in preparing the budget plan of the district. . . . . [12]
- ◆ Present the detailed and budget plans to the LSC for information, collecting feedback and dissemination in the community. . . . [14]

## REGIONAL LEVEL

- ◆ Coordinate the development plans of informal areas within the strategic plans of the district, the city and the governorate, hence ensuring the compatibility of local and regional plans
- ◆ Mobilise and coordinate public and private resources on the regional level to implement development activities coming up from development plans of informal areas
- ◆ Request budgets and do fund-raising from national and international development agencies on solid grounds according to local development plans

- 
- ◆ Commission participatory planning for each informal area based on PNA results. .... [2]
  - ◆ Hold a training session for local stakeholder committees on participatory planning and budgeting. .... [7]
  - ◆ Approve the action plan by the urban planning department and commission a planning consultant (approved by GOPP) to prepare a legal detailed plan based on the action plan. .... [13]
  - ◆ Integrate the legal detailed plan and the budget plan in regional plans and the city development strategy. .... [16]
  - ◆ Manage and monitor the process of participatory planning to ensure quality. .... [4-15]
  - ◆ Monitor the approval of plans, the allocation of resources and implementation and direct district administration to provide regular feedback to the local stakeholders and the community, so that residents get the right information in the right time (how much a project costs, when it does start and is expected to end, why it did stop or change course, etc.) .... [15]

## NATIONAL LEVEL

- 
- ◆ Inform ministries and other development partners on the national level of local visions and development priorities for the upgrading of informal areas
  - ◆ Negotiate the agreement on development needs and priorities for informal areas nation-wide
  - ◆ Mobilise the allocation and coordination of public, private and civil society resources for implementing development plans of upgrading informal areas

- 
- ◆ Develop and disseminate planning standards for upgrading informal areas to governorates. .... [1]

# Participatory planning and budgeting

## LOCAL LEVEL

### Partners

#### Implementing partners:

- ◆ District chief, deputies and assistants
- ◆ Planning and monitoring department
- ◆ Urban planning department (if there is one)

#### Supporting partners:

- ◆ Information center
- ◆ District departments: social solidarity, field monitoring
- ◆ LPC
- ◆ Local NGOs

### Framework conditions

- ◆ The level of trust and communication between the community of the informal area and the local administration
- ◆ Motivation of the local administration staff and compensation for field work and extra effort
- ◆ For the mobilisation of the participation of local stakeholders to continue and be sustainable, the representatives of local stakeholder groups have to be involved in monitoring and supporting the implementation of development plans through any possible representation mechanism whether it is the LPC or with direct community involvement (local stakeholder committee)

### Capacity development requirements

- ◆ Capacity development and training of relevant local administration staff on the participatory planning methods and processes
- ◆ Moderation and negotiation skills
- ◆ Capacities and skills are needed for using maps, simplifying drawings and visualising decisions, planned interventions and their implications to local stakeholders
- ◆ Budgeting of projects and preparation of budget plans

### Output

- ◆ Shared knowledge about and within the local community
- ◆ Self-organisational capacity at the community of the informal area (LSC and committees)
- ◆ An action plan (local development plan) and a legal detailed plan for the informal area that guides future interventions
- ◆ Consideration of action plans in the budget plan of the district



Detailed plan for Ezbet Bekhit, Manshiet Nasser



Action planning workshop in Manshiet Nasser



Action planning workshop in Manshiet Nasser



Action planning workshop in Boulaq el Dakroul

By GTZ/PDP

Photo by GTZ/PDP

Photo by GTZ/PDP

Photo by GTZ/PDP

## REGIONAL LEVEL

### Implementing partners:

- ◆ UUU
- ◆ Urban planning department
- ◆ Planning and monitoring department

### Supporting partners:

- ◆ Information center
- ◆ LPC
- ◆ Social solidarity directorate

- 
- ◆ Authority to influence budget allocation in sectorial interventions according to participatory planning
  - ◆ Motivation of the local administration staff and compensation for field work and extra effort
  - ◆ Capacity to manage action, legal and budget planning processes in an integrated way

- 
- ◆ Capacity development and training of relevant governorate administration staff on participatory planning methods and processes
  - ◆ Monitoring and process management skills

- 
- ◆ Action plans (local development plans) for informal areas within the governorate that guides future intervention
  - ◆ Legal detailed plans and budget plans for informal areas within the governorate aligned with the regional plans and city development strategy

## NATIONAL LEVEL

### Supporting partners:

- ◆ GOPP

- 
- ◆ Agreeing on planning standards and norms for upgrading informal areas
  - ◆ Technical support and capacity development of urban planning departments at governorates

- 
- ◆ Offering training at national training institutes on participatory planning tools

- 
- ◆ An account of development needs and budgets for upgrading informal areas nation-wide
  - ◆ Activation of the Building and Planning Law (no. 119 for 2008) concerning the preparation of detailed plans

## 6.2. Participatory management of public facilities

### LOCAL LEVEL

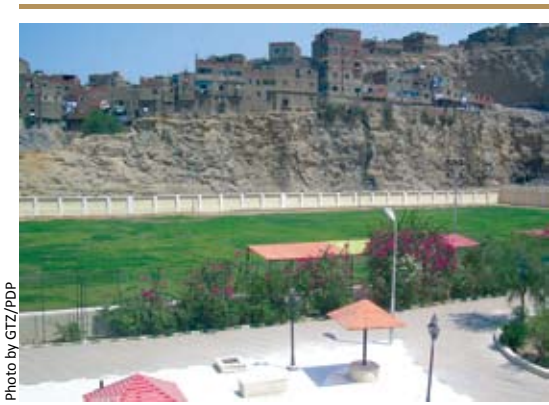


Photo by GTZ/PDP

Youth center in Manshiet Nasser



Photo by GTZ/PDP

Cultural center in Manshiet Nasser



Photo by GTZ/PDP

School in Helwan



Photo by GTZ/PDP

Youth center in Helwan

#### Objectives

- ◆ Increase efficiency in managing public facilities
- ◆ Improve transparency in managing public facilities
- ◆ Mobilise community-based capacities and resources in the management of public services
- ◆ Reduce burden on government of managing public facilities

#### Process

- ◆ Communicate the tasks and responsibilities of management boards of public facilities and rules of their operation to the local community. . . . . [2]
- ◆ Select representatives from different local stakeholder groups in the informal area to participate in the management board of public facilities in their locality. . . . . [3]
- ◆ Management boards of public facilities perform their mandated tasks and regularly report to the local stakeholders on the performance of public facilities. . . . . [5]
- ◆ Monitor the management boards of public facilities and apply backstopping when needed. . . . . [6]

#### Partners

##### Implementing partners:

- ◆ Community members nominated for the management boards
- ◆ Service departments

##### Supporting partners:

- ◆ District administration and managers and staff of public facilities
- ◆ NGOs

#### Framework conditions

- ◆ Motivation of local stakeholders to participate in managing public facilities and mobilise additional local resources
- ◆ Capacities with regard to communication, negotiation and comanagement of local services
- ◆ Capacities to set up and monitor participatory management boards of public facilities

#### Capacity development requirements

- ◆ Capacity development on management skills, financial management, fund-raising and resource mobilisation, governance and participation within organisations, communication and negotiation skills and monitoring skills

#### Output

- ◆ Management boards for all public facilities composed of local stakeholders
- ◆ More transparent and responsive management of public facilities

## REGIONAL LEVEL

- ◆ Reduce burden on public and local administration of managing public facilities
- ◆ More efficient resource management
- ◆ Improve transparency in managing public facilities

- ◆ Train and coach the elected management boards of public facilities on management skills, good governance practices and fund-raising and resource mobilisation skills. . . . . [4]
- ◆ Review the monitoring and evaluation of the management boards of public facilities. . . . . [7]

**Supporting partners:**

- ◆ Service directorates

- ◆ Trust in the local stakeholders to be able to adequately and efficiently handle the responsibility entailed in the management of local public services
- ◆ Capacities to monitor participatory management boards of public facilities
- ◆ Resources for training of management boards

- ◆ Train staff of service directorates as trainers and coaches on participatory management, monitoring and evaluation
- ◆ Training of trainers for service department staff on forming, supporting and monitoring management boards of public facilities

- ◆ Participatory management system of public facilities

## NATIONAL LEVEL

**Support partners:**

- ◆ Reduce burden on line-ministries in terms of managing public facilities
- ◆ More efficient and transparent resource management

- ◆ Issue necessary legislation to legalise the representation of all local stakeholders in the management boards of public facilities. . . . . [1]
- ◆ Review the monitoring and evaluation of the management boards of public facilities. . . . . [8]

**Supporting partners:**

- ◆ Line ministries (education, health, youth and sports, social solidarity, etc.)

- ◆ Political will to legislate and support participatory management of public facilities (similar to youth centers and schools)

- ◆ Training of trainers for service department staff on monitoring management boards of public facilities

- ◆ Participatory management system of public facilities
- ◆ Enabling legislation for participatory management of public facilities

# 7 Impact orientation

## 7.1. Impact monitoring and evaluation

### LOCAL LEVEL

Sharing information

Overview of and strategy for informal areas

Stakeholder networking and cooperation

Promoting self-help initiatives

Knowing local community

Planning and managing integrated development

**Impact orientation**

Assess impact of upgrading projects of informal areas with reference to planning and implementation and feeding into the overview of informal areas

### Objectives

- ◆ Inform local stakeholders about the benefits, effectiveness and impact of upgrading interventions
- ◆ Provide evidence-based information to facilitate accountability mechanisms by local stakeholders

### Process

- ◆ Support impact monitoring and evaluation mission from the regional level and facilitate access to local stakeholders, beneficiaries, local administration staff and project documentation files. .... [4]
- ◆ Receive the results of impact monitoring and make them publicly available to the local stakeholders. .... [12]

*Relation of impact orientation to other participatory mechanisms*



*Mechanisms interrelated to impact orientation*

## REGIONAL LEVEL

- 
- ◆ Assess the outcome of development and upgrading interventions and their effectiveness in satisfying priority needs and improving living conditions
  - ◆ Demonstrate the impact of government investment in upgrading informal areas
  - ◆ Regular update the official register and information map of informal areas
  - ◆ Assess the effectiveness of intervention strategies and policies for dealing with informal areas
- 
- ◆ Commission impact monitoring and evaluation for upgrading interventions after one year of finalisation. . . . . [3]
  - ◆ Collect information and documentation about the development interventions from the local level. . . . . [5]
  - ◆ Conduct field visits for verification of information, observation and interviews of beneficiaries. . . . . [6]
  - ◆ Conduct structured interviews and focus group discussions with local stakeholders asking them about their views of the positive and negative aspects and the extended effects of the development interventions. . . . . [7]
  - ◆ Write an impact monitoring and evaluation report. . . . . [8]
  - ◆ Discuss the results of the report and their implications for future decisions on interventions. . . . . [9]
  - ◆ Update the register and information map of informal areas for the overview on the regional level. . . . . [10]
  - ◆ Disseminate the results to all relevant stakeholders on the national, regional and local level. . . . . [11]

## NATIONAL LEVEL

- 
- ◆ Adjust policies of dealing with informal areas according to evaluation of their impact on upgrading
  - ◆ Orientation of budget allocation according to impact evaluation
- 
- ◆ Develop, set standards and promote simple impact monitoring and evaluation methods. . . . . [1]
  - ◆ Provide training and technical support for implementing impact monitoring and evaluation. . . . . [2]
  - ◆ Receive results of impact monitoring and amend policies and budget allocation based on them. . . . . [13]
  - ◆ Compile monitoring results from all governorates to integrate upgrading into national urban development strategies. . . . . [14]

## Impact monitoring and evaluation

### LOCAL LEVEL

#### Partners

##### Supporting Partners:

- ◆ Staff from district administration and service departments
- ◆ LPC
- ◆ NGOs
- ◆ Local business associations and networks
- ◆ Local residents

#### Framework conditions

- ◆ Belief in the genuine cause of impact monitoring and trust in the implementing entity
- ◆ Support of district administration and cooperation of local stakeholders
- ◆ Transparency in terms of accessibility to documents and other information

#### Capacity development requirements

- ◆ Awareness and general understanding of impact orientation and result-based management

#### Output

- ◆ Information on the upgrading status of the informal area
- ◆ Awareness of the benefits, effectiveness and impact of the conducted upgrading measures

## REGIONAL LEVEL

### Implementing partners:

- ◆ Consultants, experts from national agencies, universities, trained staff from relevant departments such as planning and monitoring department and information center

### Supporting partners:

- ◆ Relevant departments such as planning and monitoring department and information center
- ◆ Universities and research centers

- ◆ Political will based on the belief in the value of impact orientation
- ◆ Technical expertise of impact monitoring and evaluation design and techniques
- ◆ Objective and neutral attitude

- ◆ Methods of impact monitoring and evaluation for relevant staff
- ◆ Result-based management for heads of departments to integrate results of impact monitoring into their operations

- ◆ Information on the upgrading status of the informal area
- ◆ Awareness of the benefits, effectiveness and impact of the conducted upgrading measures

## NATIONAL LEVEL

### Supporting partners:

- ◆ One or more of the following can be interested in taking up the role of support partners to governorates in implementing impact monitoring such as IDSC, MoLD, PEMA (MoIC), MoSS, MoED or GOPP

- ◆ Political will based on the belief in the value of impact orientation
- ◆ Technical expertise of impact monitoring and evaluation design and techniques
- ◆ Availability of funds for impact monitoring and evaluation activities

- ◆ Training of trainers on impact monitoring and evaluation methods

- ◆ Impact assessment of government expenditure on upgrading of informal areas
- ◆ Improved upgrading policies for dealing with informal areas

## Interrelations of mechanisms on the three levels

Mechanism	LOCAL LEVEL
Sharing information	Create and make available a GIS database for each informal area and share it with local stakeholders as a base for PNA, local initiatives and participatory planning
Overview of and strategy for informal areas	
Stakeholder networking and cooperation	Mapping out local stakeholders and mobilise and coordinate their roles and resource inputs
Promoting self-help initiatives	Trust building through implementation of tangible projects by NGOs, potentially using a GIS database, PNA and overview for informal areas
Knowing local community	Assessing community needs, assets and capacities based on an information base (if available) to be used for planning, local initiatives, overview of informal areas and stakeholder cooperation
Planning and managing integrated development	Conduct participatory planning on basis of PNA, a GIS database and overview of informal areas and install a participatory project monitoring and management of public facility system
Impact orientation	

### REGIONAL LEVEL

Compile GIS database of informal areas as a base for having an overview for dealing with informal areas

An overview of informal areas and intervention strategies is formed on basis of GIS database, stakeholder analysis and PNA in addition to feedback from planning and impact evaluation

Mapping out stakeholders and potential development partners on all levels and mobilise and coordinate their roles and resource inputs, feeding to the overview of informal areas

Coordination and management of local initiatives process and fund allocation and/or management

Prepare a budget plan, detailed legal plans and city development plans/strategy on basis of local plans

Assess impact of upgrading projects in informal areas with reference to planning and implementation and feed into the overview of informal areas

### NATIONAL LEVEL

National database of informal areas  
Information sharing system on the three levels

- ◆ Unified criteria for the definition and classification of informal areas
- ◆ Official register for all informal areas nation-wide
- ◆ Development priorities coordinated on the national level

Stakeholder map of all development partners working in informal areas and coordination plan for roles and resource inputs on the national level

Potential funding for local initiatives

Supporting PNA in technical knowledge and capacity development

Legislation of participatory planning, planning norms of upgrading informal areas and integration of local plans in national planning

Impact monitoring tools and system leading to an overview of informal areas on the national level

## Conclusion

These guidelines for decision-makers presented in part one the issues related to informal areas as well as the participatory approach to upgrading. Part two described in detail mechanisms and tools for applying participatory upgrading of informal areas on the local and regional level and supporting them from the national level. PDP's experience demonstrates that in order to obtain results or generate a positive impact on upgrading of informal areas through participation and good governance it is crucial to be active on the local level (mobilizing local stakeholders and implementing participatory measures), on the regional level (managing participatory upgrading and empowering local practices), and on the national level (providing institutional and policy reforms that enables participatory upgrading processes on the regional and local level).

One important concluding note is that these mechanisms and tools need to be used in a flexible way in terms of their sequencing and packaging according to the situation in which they are applied. As long as we are not losing sight of the participatory approach and the objectives and principles behind it, it is possible to adapt the presented mechanisms and tools to suit different conditions. It is also possible to add to them new methods, to try to reach the same results with different methods and to innovate in the techniques of implementing them. The ultimate objective is that these guidelines become a useful base for the further and continuous development of the participatory upgrading approach and its methods.

The guidelines address decision-makers involved in the upgrading of informal areas in Egypt by promoting a participatory approach. However, the participatory development mechanisms and tools presented here can be seen as measures of good local governance and municipal management; i.e. they can be used to manage participatory development in any type of urban or rural areas. For example, participatory planning, stakeholders mapping or information sharing systems are as relevant in and useful for village or city development as much as for informal areas upgrading.

However convincing the guidelines may be for decision-makers to adopt these participatory tools, the challenges to implement them are not overlooked or oversimplified. It has to be acknowledged that a participatory approach can be widely implemented only when decentralisation is taken into consideration seriously by all levels of government. Another challenge is institutionalising participatory practices in the structure and functions of local government, given the shrinking public sector and rigid bureaucracy in Egypt that is not lending itself easily to reform and innovation. Other systems also need to be adjusted in line with the participatory approach, such as the contracting system of constructing infrastructure and services and the management system of public services, in ways that gives roles to local stakeholders. In conclusion, the challenges for adopting a participatory upgrading approach in Egypt are closely connected to the challenges of good governance and sustainable urban development.



# Abbreviations

<b>CAPMAS</b>	Central Authority for Public Mobilisation and Statistics
<b>CDA</b>	Community Development Association
<b>EEAA</b>	Egyptian Environmental Affairs Authority
<b>GCR</b>	Greater Cairo Region
<b>GIS</b>	Geographic Information System
<b>GOPP</b>	General Organisation for Physical Planning
<b>GTZ</b>	German Technical Cooperation
<b>ICS</b>	Integrated Care Society
<b>IDSC</b>	Information and Decision Support Center
<b>INP</b>	Institute of National Planning
<b>ISDF</b>	Informal Settlements Development Fund
<b>KfW</b>	KfW Entwicklungsbank (German Development Bank)
<b>LI</b>	Local Initiative
<b>LPC</b>	Local Popular Council
<b>LSC</b>	Local Stakeholders Council
<b>MoAD</b>	Ministry of Administrative Development
<b>MoED</b>	Ministry of Economic Development
<b>MoHUD</b>	Ministry of Housing and Urban Development
<b>MoIC</b>	Ministry of International Cooperation
<b>MoLD</b>	Ministry of Local Development
<b>MoSS</b>	Ministry of Social Solidarity
<b>NGO</b>	Non-governmental Organisation
<b>PDP</b>	Participatory Development Programme in Urban Areas in Egypt
<b>PEMA</b>	Center for Project Evaluation and Macro Economic Analysis
<b>PNA</b>	Participatory Needs Assessment
<b>SFD</b>	Social Fund for Development
<b>UN</b>	United Nations
<b>UNDP</b>	United Nations Development Programme
<b>UN-HABITAT</b>	United Nations Human Settlements Programme
<b>UTI</b>	Urban Training Institute
<b>UUU</b>	Governorate's Urban Upgrading Unit
<b>WB</b>	World Bank





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