Community Participation as an Approach in Development Initiatives

(A comparative study of development projects)

A Thesis submitted in the Partial Fulfillment for the Requirement of the Degree of Master of Science in Integrated Urbanism and Sustainable Design

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Abstract

The thesis delves into examining the process & methodologies adopted in development initiatives to maximize/limit participation in the process and question how participation is effective as an approach in such initiatives and where it creates a hindrance in the development initiatives. It investigates the impact of citizen participation in project timelines and compares the trajectory of two different levels of participation in the development initiatives while identifying the power dynamics that play a pivotal role in the process both from the institutional level and citizen level.

The chosen initiatives have GIZ as an important stakeholder to draw out the differences in the approach adopted by the same implementing body in two different contexts. The case study in India is part of the Inclusive Cities Partnership Program which supports the Beneficiary Led Development in the state of Odisha in India. The objective of the Inclusive Cities Partnership Programme (ICPP) is to support national ministries, states, and cities in implementing measures for housing the urban poor in a socially inclusive and environment-friendly manner. The project strives to synergize with other ongoing Indian urban development programs in order to promote more integrated planning and development of Indian cities. The case study in Egypt is part of the Participatory Infrastructure project implemented by GIZ in Cairo. The initiative aims to establish and operate basic public infrastructure and related public services in nine informal urban settlements in the Greater Cairo Region. The focus of the study is in Bahary El Seka El Hadid, Qalyubia Governorate-Egypt.

Keywords: Participatory Planning, Urban Development, Urban Poor, Urban Politics

Acronyms

AHP	Affordable Housing in Partnership
BLC	Benificiaries Led Construction
BMZ	German Federal Ministry for Economic Cooperation and Development
CBO	Community Based Ogranisation
CBUID	Capacity Building through Urban Infrastructure Development
CDA	Community Development Association
CfP	Call for Proposal
CLSS	Credit Link Subsidy Scheme
CSO	Civil Society Organisations
DA	Direct Awards
DUHS	District Urban Housing Society
EEAA	Egyptian Environmental Affairs Agency
EUD	European Union Delegation to Egypt
GAEB	General Authority for Educational Building
GB	Grant Benificiaries
GIS	Geographical Information Systems
GIZ	German Cooperation Development
GOPP	General Organisation for Physical Planning
H&UDDD	Housing and Urban Development Department
HBRC	Housing & Building National Research Centre
ICPP	Inclusive Cities Partnership Programme
IDSC	Information and Decision Support Center
IIU	Infrastructure Implementation Unit
INP	Institute of National Planning
INR	Indian Rupee
ISDF	Informal Settlements Development Fund
ISSR	In-Situ Slum Redevelopment
KfW	German Development Bank
LADP	Local Area Development Plan
LIF	Local Initiative Fund
LHC	Legal Heir Certificate
LIG	Low Income Group
M&E	Monitoring & Evaluation
MoE	Ministry of Environment
MoHUUC	Ministry of Housing, Utilities & Urban Communities
MoHUPA	Ministry of Housing and Urban Poverty Alleviation
MoHUA	Ministry of Housing and Urban Affairs
MoIC	Ministry of International Cooperation
MoLD	Ministry of Local Development
MoSS	Ministry of Social Solidarity
NBC	National Building Code
NUCA	New Urban Communities Authority
OVI	Objectively Verifiable Indicators
PDFU	Participatory Development Framework Unit
PDP	Participatory Development Programme in Urban Areas
PIP	Participatory Infrastructure Project
PMO	Project Management Office
PMAY	Pradhan Mantri Awas Yojna
PNA	Participatory Needs Assessment
PWD	Public Works Department
RAY	Rajiv Awas Yojna
RoR	Record of Right
SECC	Socio-Economic Caste Census
SLAC	State Level Nodal Agency
SMV	Sources & Means of Verification
UDC	Urban Development Cluster
ULB	Urban Local Body
UTI	Urban Institute Training
UUU	Urban Upgrading Unit

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Introduction

1.1 Defining Participation

Lane (1995) defines participation as “a broad concept that signifies different things to different people” (Hussein 1995; Kelly 2001). People of various ideological backgrounds frequently use the word differently, giving it quite different connotations (Nelson and Wright 1995). Participation, according to Pelling (1998), is an ideologically contested notion with a variety of opposing definitions and applications. As a result, there are many different perspectives on what participation is, who it should involve, what it should achieve, and how it should be achieved (Agarwal 2001).

The ambiguity and lack of conceptualization of the concepts of participation and empowerment lead to misunderstandings about expectations and evaluation of participatory development achievements (Lyons, Smuts, et al. 2001). Throughout the literature, the term “participation” has been defined in a variety of ways.

A common factor observed among all the definitions of participation, is the role of the community in the decision-making process. Community encloses numerous factors like geographic location, norms, and interests. While some definitions primarily hint at the participation continuum and levels of community involvement, others are focussed on the involvement of all stakeholders, outcomes, empowerment and even the disadvantaged groups such as women and the poor.

Chamala (1995) and Ndekha, Hansen, et al. (2003) gave solid comprehensive

beginning points for defining participation:

‘a social process whereby specific groups with shared needs living in a defined geographic area actively pursue identification of their needs, take decisions and establish mechanisms to meet these needs’ cited in (Ndekha, Hansen, et al. 2003) page 326.

‘in true participation, even at the highest level, power and control are shared by the participants … similarly, scientists, managers, politicians, financial institutions and farmers collectively are also involved in controlling (rather guiding) these projects’ (Chamala 1995) page 7.

The core criterion of involvement in decision-making is emphasized in White’s (1981), Eyben and Ladbury’s (1995), and Devas and Grant’s (2003) definitions:

‘involvement of the local population actively in the decision-making concerning development projects or in their implementation’ (White 1981) page 3.

‘a process whereby those with a legitimate interest in a project influence decisions which affect them’ (Eyben and Ladbury 1995) page 192.

‘citizen participation is about the ways in which citizens exercise influence and have control over the decisions that affect them’ (Devas and Grant 2003) page 309.

Tikare, Youssef, and, et al (2001) broaden the notion of decision-making:

‘*Participation is the process through which stakeholders influence and share control over priority setting, policy-making, resource allocations and access to public goods and services’ (Tikare, Youssef, et al. 2001) page 3.*

Lane (1995) provided a similar definition adding the importance of involvement at different stages of action:

‘meaningful participation of individuals and groups at all stages of the development process including that of initiating action’ (Lane 1995) page 183.

'the only way to ensure that individuals have the power to attack the root causes of underdevelopment is to enable them to influence all decisions, at all levels, that affect their lives' (Lane 1995) page 191.

Price and Mylius (1991) detailed not only the importance of participation in all stages of the intervention but also the level of participation in their definition: Paul (1987) included details of the motivation behind participatory methodologies, while Price and Mylius (1991) detailed not only the importance of participation in all stages of the intervention but also the level of participation in their definition:

'In the context of development, community participation refers to an active process whereby beneficiaries influence the direction and execution of development projects rather than merely receive a share of project profits' (Paul 1987 cited in (Bamberger 1988) page 5).

'Participation means the involvement of intended beneficiaries in the development intervention's planning, design, implementation, and subsequent maintenance. It means that people are mobilized, manage resources and make decisions that affect their lives' (Price and Mylius 1991) page 6.

In his definition, Agarwal (2001) incorporated an understanding of several levels of participation:

'At its narrowest, participation is defined in terms of nominal membership and at its broadest in terms of a dynamic interactive process in which all stakeholders, even the most disadvantaged, have a voice and influence in decision-making' (Agarwal 2001).

The World Bank (1995) recognized the necessity of disadvantaged populations' participation in their definition.

'the [genuine] participation of the poor and others who are disadvantaged in terms of wealth, education, ethnicity or gender' cited in (Warner 1997) page 414.

According to Ndekha, Hansen, et al. (2003), the overarching goal of community participation is twofold: it is a method to empower and encourage improvements in the lives of the world's disadvantaged people. Kelly (2001:15) does not explicitly state the necessity of communal decision-making, but she does state the relevance of power in decision-making:

'participation is a range of processes through which local communities are involved and play a role in issues that affect them. The extent to which power is shared in decision-making varies according to the type of participation.

Various other definitions of participation are found in the literature for example (Bamberger 1988; van Asselt Marjolein and Rijkens-Klomp 2002; Warner 1997). The key finding for Fals-Borda (1991) is that participation is a real and endogenous experience of and for the common people, that reduces the differences between experts and community and between mental and manual labor. O'Neill and Colebatch (1989) identified that participation is real when participants are able to determine their outcomes (cited in (Sarkissian, Walsh, et al. 1997) page 17).

The most common misinterpretation occurs when people fail to understand the difference between participation and consultation (Coakes 1999). Sarkissian, Walsh, et al (1997: 17) made the distinction: 'community participation indicates an active role for the community, leading to significant control over decision' while consultation is taken to mean 'sharing of information but not necessarily power'. Often the terms participation and consultation are used interchangeably, particularly in Australia (Sarkissian, Walsh, et al. 1997). Coakes (1999:1) provided an example when she used the term consultation inappropriately stating that 'consultation is about involving the public in decision making in a structured and rigorous way'.

There has been a lot of confusion regarding what the actual meaning of participation is, owing to the otherwise prevalent complicated definitions, Therefore, an easy-to-understand, baggage-free definition is certainly the need of the hour. Terminology that would replace participation is 'collective action' or 'collective governance', as these terms emphasize the power relationships and the need for equity which defines genuine participation in the development literature (Kelly 2001). 'Good governance' is another possibility although it is considered to be too broad a term to be of immediate operational relevance in its totality.

‘Participatory governance’ adopts a narrower perspective that is more useful in development situations (Schneider 1999).

1.2 Research Questions

Based on the various ambiguous and multi-faceted definitions of participation, this study aims to investigate the participatory methods in different development initiatives focusing on three major questions.
1. What role does community participation play in urban development initiatives?
2. How far does participation support the overall project goals?”
3. In what ways does participation hinder/delay the trajectory of development initiatives?

1.3 Research Objectives

The thesis aims to examine the case studies through three major lenses of inquiry mentioned below and later discuss the advantages and disadvantages of each case study finally reflecting upon the commonalities and learning opportunities.

Process & Methodology: Study the process & methodologies adopted in development initiatives to maximize/limit participation in the process and question if participation is effective as an approach in all such initiatives.

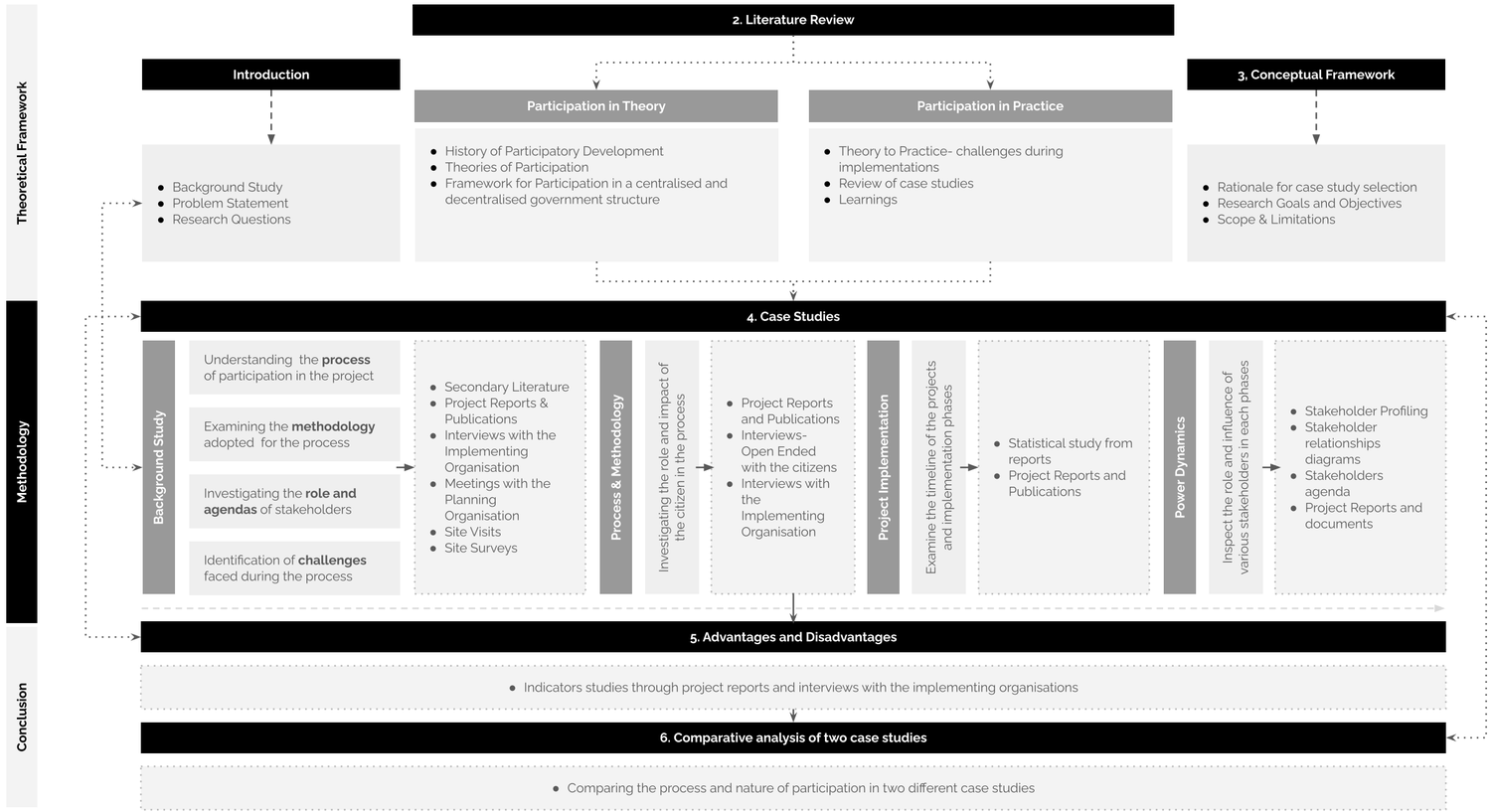
Project Implementation: Investigate the impact of citizen participation in project timelines and compare the trajectory of two different levels of participation in the development initiatives.

Power Dynamics: Identifying & testing the power dynamics that play a pivotal role in the process both from the institutional level and citizen level

Advantages and Disadvantages: Examining the advantages, disadvantages, and challenges of citizen participation in two different contexts (centralized vs decentralized system of government)

DEFINING PARTICIPATION

1.4 Research Methodology *(to be printed in A3 and folded while prinitng)*



(fig.01)— Research Methodology **Source**: Author

Questioning Participation

It is a popular belief that increased community participation in government decision-making has a plethora of benefits, and that criticism or dissent is rare. Citizens joining the policy process, collaborating with others, and reaching common conclusions resulting in positive social and environmental changes, seem to yield positive outcomes. Another considerable factor is that an engaged citizen is better than a passive citizen. (King, Feltey, and Susel 1998; Putnam 1995; Arnstein 1969). Another benefit is that the formulated policies might be more inclined towards citizen preferences thereby making the public more sympathetic towards the decisions made by the government. Increased cooperation and support from the public might result in a less divisive, combative populace to govern and manage. This seemingly easy task of getting the public involved in the decision-making process comes with a lot of issues making the process extended, along with creating institutional, political, and management hurdles.

2.1 The Advantages of Participation

The major reasons behind community participation being crucial are enclosed in the benefits of the process itself. Nelson and Wright (1995), considered participation as a transformative tool, with the potential to bring about social changes. Moreover, it comes with the benefit of producing better decisions and consequently prove to be more efficient for the society, as a whole. (Beierle 1999; Thomas 1995). Therefore, two tiers of benefits are considerable (process and outcomes) and two beneficiaries (government and citizens) in order to decide the relevance of community participation.

Education

Another important factor is the role of citizen-participation in making the citizens more informed, and capable individuals with an understanding of technically difficult situations and coming up with holistic and effective solutions. Pateman (1970), Sabatier (1988), and Blackburn and Bruce (1995) all lay emphasis on the educational benefits of community participation. It would certainly help administrators become better at explaining various policies , which would otherwise have been unpopular among the public. Not to say, more participants with a greater level of understanding regarding various technical and social aspects guarantees positive social and environmental outcomes. Consistent communication among the policy-makers and regularly involved citizens would provide an idea regarding policies that might result in an explosive backlash from the public, and would provide a hint as to how such failures might be avoided. A policy, well-grounded in citizen preferences is bound to be implemented in a smoother fashion, owing to increased community cooperation (Thomas 1995; Vroom and Jago 1988)

Political Suasion

The major factor behind government entities abdicating the decision-making responsibilities to the involved group might not be a desire to yield better results, instead the greater motivation might have been a more cooperative public. Thomas explains, “ More often than not, the impetus for public involvement comes from a need to obtain acceptance as a prerequisite to successful implementation” (1995,113). Howard, Lipsky, and Marshall (1994) illustrate this in the historical context of urban politics, where federal and local policy formed and scheduled citizen participation as a response to the urban protest movement of the 1960s.

Government concern regarding the public reaction to a policy is undoubtedly, an improvement. However, some of the programs are majorly concerned with marketing, where government representatives make the citizens aware of the decisions the administrator would have made. As Rourke puts it, “ “The truth of the matter is that agencies in the field of national security affairs give a good deal of lip service to the idea of consulting with the public, but in practice, this consultation commonly consists of getting groups of citizens together so that they can be indoctrinated with the official point of view” (1984, 54). Whether the government genuinely works for citizen betterment, or the sole purpose is

to win over the sentiments of the public, social impact of citizen participation is a key assumption. If they are influential (not necessarily elite) community members, their enthusiasm for the policy will spread throughout the community and opposition will be diffused (Howell, Olsen, and Olsen 1987)

Empowerment

Persuasion in politics can also work in the opposite direction. Community activists may have regular contact with key government decision-makers and be able to persuade them of their points of view in a non-aggressive manner. Applegate describes citizen advisory boards as a "opportunity to meet face to face with and personally persuade decision-makers" (1998, 923), and others advocate participation as a way of teaching otherwise powerless citizens how to interact with other groups in society and gain legitimacy as political actors (Fox 1996; Valadez 2001). In contrast, Howard, Lipsky, and Marshall (1994) propose that the routinization of citizen engagement in the 1970s and 1980s may have calmed the situation.

Breaking Gridlock

Traditional political dialogue can devolve into obstructionist strategies in some groups, halting decision-making. Weeks (2000) describes a successful deliberative democracy effort that compelled refractory city council members to enact hard budget cuts based on the mandate of hundreds of individuals who participated in workshops and responded to surveys. A participatory initiative can substantially enhance societal results in such instances, since balanced input from citizen participants allows factions to compromise and find solutions to previously unsolvable problems (Reich 1990). Government agencies can get significant political support to change course:"By opening the process to meaningful public input, the department [of energy] is empowered to make decisions it could never make unilaterally" (Applegate 1998, 931).

Avoiding Litigation Costs

Public engagement is frequently thought to be cost-effective since it lowers the likelihood of lawsuit (Randolph and Bauer 1999). "Managers should expect protracted conversations, breaks in trust, and conclusions into which not

everyone will buy," O' Leary et al. write, notwithstanding the cost of participatory processes. Indeed, unsatisfied parties may withdraw from the process or take the matter to court. However, weigh these possibilities against the larger risk of lengthy lawsuit delays if a company ignores genuine stakeholder input entirely (1999, 139). Coglianese (1997), on the other hand, concludes that collaborative efforts in regulatory talks did not lead to fewer lawsuits, and that genuine litigation rates may have been inflated.

2.2 The Disadvantages

If resources allow, the following sections describes some of the challenges with citizen participation processes that can be solved by good structuring. Other issues are contextual, implying that some communities are poor prospects for citizen involvement projects and that quantifiable objectives may be better attained through alternative decision-making techniques.

Cost

Many debates about the importance of public engagement overlook a major stumbling block: expense. Even if the citizen participants' time costs are omitted, the low end of the per-decision cost of citizen-participation groups is arguably more expensive than the decision-making of a single agency administrator, despite the fact that comparable prices have not been examined. A single administrator, technically trained and politically smart enough to realise the likely repercussions of his or her decision, may reach the same conclusion as the community group—and it could take one month, one day, or even one hour of thought. Lawrence and Deagen (2001) point out the significant time commitments that public participation methods necessitate, while Echeverria (2001) proposes a collaborative approach that is purposefully slow.

Government institutions make decisions slowly enough without holding a public forum to educate the public on the complexities of the subject (Rourke 1984). An complex public engagement procedure, especially if litigation is improbable, may divert resources away from the agency's objective and limit on-the-ground results. The expenses detailed here, on the other hand, do not account for the social-capital value that citizens acquire by participating, nor do they account for the likelihood of more effective policy implementation if public participation

leads to smarter solutions. When the political climate is uncertain and top-down decision-making is unpopular (if not impossible), the upfront expense of citizen engagement may be worth the extra cash because the costs of a difficult implementation of the decision are likely to be higher. Weeks warns, "...a community dialogue of the sort described here is neither cheap, fast, nor easy. Its application is limited to instances where the issue is critical, the political process is deadlocked, and there remains sufficient time to complete a yearlong public process" (2000, 371).

The Difficulty of Diffusing Citizen Goodwill

Obtaining individuals' confidence and friendship by meeting with them on a regular basis may be the only method for environmental regulators to push new rules in places where anti-government sentiment is high. Collaborative decision-making, according to Ostrom (1990), works best when the group is small and homogeneous, which is most commonly found in rural areas. Expecting 10 or 20 citizen representatives to turn around popular opinion in larger areas, on the other hand, may be foolish. The citizen participants make up a small percentage of the population, and there is no guarantee that each citizen participant is powerful in his or her town unless they are known to represent a constituency.

Complacency

Much has been written about public alienation from the political process (Berman 1997), and most of the literature implies that if citizens were given the correct vehicle for empowerment and engagement, they would lose their cynicism toward government and actively support democratic processes. Theorists must accept, however, that most citizens prefer to avoid working out policy decisions and implementation issues over a long series of sessions. When people are complacent, there is a strong case to be made for top-down management simply because it is more efficient. In their examination of public involvement approaches, Lawrence and Deagen (2001) propose that in circumstances where the public is likely to accept the mandate of an agency decision-maker, a participatory procedure is not required.

According to Williams et al. (2001), even when members of the public expressed an interest in participating, just a small percentage (less than 1% in their study) followed up by calling for more information to participate in a participatory

process. Members of the public may opt to pay taxes to hire an astute public administrator to make decisions rather than devoting time to participate in the governing process themselves.

Representation

Because often citizen members are not compensated for their time, committees may be dominated by strongly partisan members whose livelihood or values are directly affected by the decisions being made, or by those who live comfortably enough to attend on a regular basis. According to Smith and McDonough (2001, 245), citizen participants identified inequity in representation and resented what they viewed as an unfair public participatory process in their research of 53 focus groups. Citizens were dissatisfied with the process: "...some of the meetings I stopped going to because they were loaded and orchestrated, so why attend when you knew the outcome would be what they wanted?"

Some participants are compensated for their time spent on the effort, particularly those representing commercial and government interests. Curry criticises citizen participation for allowing special-interest viewpoints to dominate decision-making: "A number of aspiring CP participant groups were clearly not acting in a representative capacity, or even perceiving themselves to be, and some had an openly declared intent to pursue vested interests..." (2005), pp. 573–74. Surprisingly, Curry defines the most typical single-interest participants as people concerned with the environment and opposed to growth, despite the fact that some environmentalists oppose citizen participation processes (McCloskey 1996)

Kenney (2000) reports that environmentalists are concerned that collaborative processes frequently exclude well-known environmental activists, leaving any remaining volunteer participants sympathetic to environmental concerns powerless in the face of well-paid professionals representing the extractive industries.

Weber shows how people of the top socioeconomic category are frequently overrepresented on public involvement committees. Weber also discovers that core members have higher median salaries than the general population, and that core members are frequently full-time homemakers. Russell and Vidler (2000) demonstrate the lack of low-income participants in a developing-world

context, finding that citizen participants were difficult to engage since their major concerns were to provide for their families, not to spend time in meetings. As a result, while many support community participation as a way to "incorporate community values into decisions that may otherwise be dominated by a tiny elite" (Kinsley 1997, 40), it appears that the participatory process can be ruled by another small, nonelected elite (Abel and Stephan 2000).

Some have claimed that citizen juries could serve as an alternate form of participation, where citizens are randomly picked from the population, to overcome the representation problem that is typical in voluntary participation programmes (Kathlene and Martin 1991). Crosby (1995), Dienel (1996), and Smith and Wales (2000) make theoretical and practical justifications for a large jury system to foster participatory democracy. Petts (2001) discovered that, while citizen juries were more representative, voluntary citizen-participation panels were better at educating participants and making more effective decisions than citizen juries. Furthermore, it is well acknowledged that the U.S. criminal justice jury system, with its preponderance of older, white, and higher-income jury members, lacks the diversity we desire (Domitrovich 1994; Bilecki 1994). Finally, even if a jury or panel system provides appropriate representation of demographic categories, representatives of key special-interest organisations are unlikely to be included.

Lack of Authority

"These approaches [have] little efficacy in changing policy, as most have only addressed concerns outside the framework of an actual policy choice," Konisky and Beierle lament in their essay extolling participatory environmental decision-making (2001, 823). Davis (1996) also warns about the risks of citizen participants' unrealistic expectations. If citizens are encouraged to believe that their decisions will be executed, but then those decisions are ignored or only taken into consideration, resentment will grow over time. "In retrospect, it was fairly clear that the administrator had decided to cut the programme before the [participatory] evaluation ever began, and that we were merely going through bureaucratic motions to justify that decision," King says of the demoralising effect of such predetermined decision-making. (1998, p. 57).Participatory approaches appear to be backfiring and actually increase public unhappiness due to a lack of representation and decision-making authority (also referred to as "voice")

(Smith and McDonough 2001; Julian et al. 1997).

The Power of Wrong Decisions

On the other hand, some planners fear that collaborative planning committees could generate authoritative decisions that are disproportionately influenced by local economic interests due to insufficient representation of environmental issues (Echeverria 2001). "Where will the route that substitutes schmoozy consensus groups and sham partnerships for effective administration and oversight of our laws finally lead us?" Britell wonders. (7, 1997). Because these judgments were made by a citizen committee, it may be politically hard for government representatives—including environmental regulatory agencies—to overturn them. Although a citizen group's mandate can be a strong weapon for breaking political impasse, it is feared for its potential to endorse selfish judgments that favour the collaborative group's more powerful or persuasive members above the general public. (Kenney 2000).

Persistent Selfishness

A assumption that participatory decision-making will naturally lead to more altruistic care for others is implicit in certain citizen-participation writings. Others, on the other hand, consider local decision-making as a way to influence policy for personal gain. Economists have been reprimanded for their Hobbesian premise of the "economic man" as a selfish creature (Barber 1984; deLeon and Denhardt 2000). (Levy 1995). As repulsive as economic man may look to certain theorists, it would be naïve to ignore self-persistence—that interest's is, friendship and persuasion may still fall short of personal or financial incentives.

The History of Participatory Development

Decentralization and participatory development share intellectual roots. Most religious and cultural traditions place a premium on deliberative decision-making. Important decisions were decided in public deliberative forums in Athenian democracy, for example, in which all citizens (a category that excluded all women, slaves, and minors) were required to participate. Modern concepts of participation are arguably derived from the work of Rousseau and John Stuart Mill in the 18th and 19th centuries.

The US Agency for International Development (USAID) and other donors fueled the first wave of interest in participatory development in the 1950s and 1960s by sponsoring and promoting cooperative institutions, community-based development, and decentralisation. Interest in participatory development had diminished by the 1970s, as it became clear that cooperatives had largely failed and that government change was difficult to execute and maintain. Large-scale investments in agricultural and industrial growth became the focus of policy. However, by the mid-1980s, activists and academics were railing against this strategy, describing it as "top-down," intrinsically disempowering, and prejudiced against the poor's interests.

Economists like Sen and Ostrom argued vehemently for a more bottom-up and deliberative approach to development, allowing communities' "common sense" and "social capital" to play a prominent role in decisions that affect them. Their research sparked increased interest in community-based development, decentralisation, and donor and government participation. By the early 1990s,

donors had realised the social costs of structural adjustment programmes and began to actively sponsor participatory initiatives to assure minimal levels of investment in public services and infrastructure, as well as social programmes to assist the most vulnerable.

This newfound policy interest in participatory initiatives, as well as increased funding, has occurred in large part due to a lack of systematic effort to understand the specific obstacles of generating involvement or to learn from prior programme failures. As a result, the process is still arguably driven by ideology and optimism rather than rigorous, theoretical or empirical investigation

3.1 A Conceptual Framework for Participation

The shortcomings of the market and the government are now fairly well understood. Policymakers are less inclined to believe that markets are ideal or that governments can always provide effective solutions to market failures than they once were. The policy literature, on the other hand, is replete with solutions to market and government failures based on the assumption that groupings of people—village communities, urban neighbourhood associations, school councils, and water user groups—will always strive toward the common good. The idea of "civil society failure" is hardly considered. In fact, assembling a group of people to address market and government failures is fraught with coordination issues, asymmetric information, and widespread inequalities.

Civil society failure at the local level can be defined as a situation in which groups of people living in close proximity are unable to work together to achieve a viable and desired result. It encompasses inefficient coordinated actions—or efficient actions that reduce welfare on average—as well as the incapacity to take any coordinated action at all. Policymakers who use participatory procedures in development must be informed by a careful assessment of potential civil society failures so that they may properly appreciate the tradeoffs involved in devolving choices to local people and propose potential solutions.

Consider local development policy as a result of market, government, and civil society failings, and you'll gain a better understanding of the situation. Culture, politics, and social structure all influence these encounters, and they differ from

place to place. In one country, or even one town, a policy that works well may fail badly in another. Furthermore, effective collective action is typically conditioned by a "cooperative infrastructure" that implies functioning state institutions—and is likely to be significantly more difficult in the absence of this infrastructure.

Empowering civic groups may yield positive results. However, it is unclear if instilling civic empowerment is always preferable to a purely market-based plan or one that expands the role of central bureaucrats. When considering how to best harness the power of communities, policymakers must keep all of these factors in mind.

Despite the current spike in interest, there is a lack of conceptual coherence in participatory development policy. Hundreds of millions of dollars are allocated based on buzzwords like "empowering the poor," "increasing accountability," "creating social capital," and "enhancing demand side governance." Understanding what these concepts represent, how they integrate into broader conceptions of development policy, and how they differ between settings and through time is part of the conceptual challenge.

3.2 Why Does Participation Matter?

The World Bank alone has committed about $85 billion to local participatory development over the last decade. Other development agencies, such as bilateral donors and regional development banks, have likely spent as least as much as most developing country governments. The present wave of interest in participation, which began as a reaction to the highly centralised development techniques of the 1970s and 1980s, has given activists and nongovernmental organisations (NGOs) the impression that "top-down" development aid is ineffective, utterly unconcerned about the needs of the impoverished, oppressed, and excluded.

The assumption that giving the poor a greater say in decisions that affect their lives by including them in at least some parts of project design and implementation will result in a tighter relationship between development aid and its intended beneficiaries underpinned this trend.Over the last decade, local participation has taken on a life of its own. It is now being recommended as a means of achieving a range of objectives, including better poverty targeting, community-level social capital building, and increased demand for good governance.

One of the main goals of participation is to include local knowledge and preferences into government, private provider, and donor decision-making processes. Participation becomes self-initiated action when potential beneficiaries have the ability to make crucial decisions—what is known as "voice and choice," or "empowerment." Better-designed development initiatives, more effective service delivery, and better benefit targeting are predicted as a result of participation. It is projected to result in a more equitable distribution of public resources and a reduction in corruption in the long run.

Community development and decentralisation of resources and authority to local governments are the two key methods for increasing local participation. Without relying on technically created local governments, community development supports attempts to incorporate villages, urban neighbourhoods, and other household groupings into the process of managing development resources. Community-driven development, community-based development, community livelihood programmes, and social funds are all terms used to describe community development projects.

Participatory education and health projects, which share some of the same characteristics as community-driven and community-based development projects, have been implemented in recent years as part of the push to increase community engagement in service delivery. Community-based targeting, in which just the selection of beneficiaries is decentralised, to initiatives in which communities are involved to varied degrees in project design, project administration, and resource management are all possibilities for this sort of aid.

3.3 Crisis in participatory planning

Participatory Planning is a political act. Citizens' engagement, as widely defined within planning theory and practiced across state and non-state landscapes, can be politically motivated if they express dissatisfaction with planning plans that will impose an environmental, social, and distributive injustice on people. Most recently, in his analysis of growth-led planning in Scotland, Inch (2014) emphasizes residents' political subjectivity as articulated through and in reaction to calls for citizen participation at specific points in the planning process.

The reasons that lead to citizen participation can vary depending on the actor group. Citizens who participate outside of formal participatory planning channels may be motivated to change or stop a planning proposal from being implemented, whereas other citizens and groups may wish to advocate and fight for a different set of plans to be developed. However, as participatory planning technologies gain traction in Western planning systems, criticism persists about their inability to address power inequities and institutional inertia; to capture the complexity that geographical scale, temporality, and political context introduce; and to accommodate more equity-oriented planning approaches (Krumholz, 1996/2003, 2013; Sandercock, 1998; Yiftachel and Huxley, 2000).

Arnstein's (1969) description of a Ladder of Citizen Participation illuminated the relationship that citizens have with the decision-making process, illuminating how citizen participation is shaped by different participatory planning technologies, as well as how it can be co-opted and captured by political interests. More recently, research on communicative, collaborative, and deliberative planning practice (Bond, 2011; Hillier, 2003; Inch, 2014; Lennon, 2016; Ploger, 2004; Purcell, 2009, 2016) has shed light on how consensus is achieved in the face of citizen opposition. The flexibility and political formation of participation are obscured when the two – adversarial and consensus-forming planning – are framed as incompatible.

The mechanics of participatory planning and how citizen engagement interacts with government decision-making have shown various limitations to citizen participation's transformative potential inside formal institutional planning procedures. Based on this understanding, the development of many 'best practice' participation techniques, such as large-scale town hall meetings (Hartz-Karp, 2005), the use of social media to reach a wider and more diverse range of participants (Kleinhans et al., 2015), and, in some Western planning contexts, the popularisation of citizen juries and citizen decision-making panels (Thompson, 2012), have resulted in fashionable participatory techniques that are perceived by the political class (Legacy et al., 2014).

The manner in which these participatory channels comprise only part of the planning and decision-making environment are highlighted in critiques of these processes. For example, Maginn (2007) describes participation as "designed in" by governments in order to create the impression that they are doing their

due diligence to ensure that residents and community-based groups voice their concerns, rather than actually changing how decisions are made and who is involved in them. However, governments' occasional use of these participatory technologies raises questions about who and what these formal engagement places are actually serving.

Monno and Khakee (2012) warn that government uses participatory planning only on occasion, and that when it does, it serves to disguise pro-growth logics and generate legitimacy for these decisions (Purcell, 2009). We perceive a skewed focus in consensus-oriented and outcomes-oriented planning that serves a narrow economic growth logic over more difficult problems like equitable distribution and access to key social and public infrastructure as the root of the participatory planning crisis. It is also claimed that governments use participatory methods to assist legitimise and secure political 'buy-in' for transportation, land use, or development decisions that have already been made by the political executive or do not question a dominant planning dogma (Mees, 2011).

According to Swyngedouw (2008), 'forced' participatory methods restrict politics to policy-making, portraying involvement as an add-on to the existing planning system. This presupposes that governments provide the motivations for involvement, and that the public is then summoned to engage in a well regulated procedure that necessitates a certain level of planning knowledge to be effective (Inch, 2014). This body of criticism and dialectical positioning of formal and consensus-oriented participatory practices against counter-hegemonic forms of agonism has led Monno and Khakee (2012) to declare a 'crisis of participatory planning,' lamenting the loss of citizen participation's transformative potential and critical influence in forging new policy and urban directives.

Critical Review of Participatory Projects: Parc Adula National Park, Switzerland and Berugak Dese, Lombok, Indonesia

6.1 Parc Adula National Park

One of Switzerland's largest areas with little to no major human involvement is the area around the Adula's tip. Unique geological formations, a diverse fauna, and alpine flora can all be found there. The Parc Adula was a multilingual and culturally diverse project that included communities from Walser German, German, and Romansh languages. According to Article 23f of the Federal Law on the Protection of Nature and Cultural Heritage, the Parc Adula was the vision for a second Swiss national park in the Alpine region of the Rheinwaldhorn between the cantons of Graubünden and Ticino (NHG). The majority of the populace rejected the park contract (charter), which had been in place since the end of June 2016, in a vote on November 27, 2016.

Based on a community bottom-up effort, Parc Adula used a participatory planning methodology. The national park was rejected in a communal (i.e., municipal) vote in late 2016 despite this setting suggesting a fair and promising park formation, making this instance all the more pertinent for enhancing our comprehension of local opposition to PAs. Previous research suggest a variety of factors, including

communication difficulties and people' concerns about limits, contributed to the proposed park's denial (Michel 2019b; Michel and Backhaus 2019; Michel and Bruggmann 2019).

Assessment of trust and the growth of trust networks are complicated by the conflicting interests of stakeholders in PA planning. Different actor groups frequently display varying degrees of confidence toward public officials or environmental organizations (Engen et al. 2019). Furthermore, because PAs frequently work across numerous governmental jurisdictions to address large-scale, landscape-scale concerns, trust is even more important (Lachapelle and McCool 2012, 332). The modern PA establishment is molded by integrated management approaches, economic justifications, and networks of many stakeholders. Project-based planning, in particular, calls for adaptable trust networks that can respond to sudden changes.

Representatives from 17 communes, started the project in 2001. A project management team handled the planning, participation, and communication starting in 2010. This specifically includes discussions about the park's geographical qualities in the impacted communes. The park crew was made up of locals, the majority of whom were university graduates and had grown up in the area. One person relocated to the area specifically for the project and is considered a "newcomer." As a pilot project, Parc Adula had well-known challenges that the park staff frequently referred to as "learning by doing."

The proposed buffer zone was intended to "maintain and manage the countryside in a nearly natural manner for its preservation against adverse interference". The majority of conversations were focused on limitations in the core zone, which is more severely protected, such as hunting bans, adhering to hiking trails, or controlling cultivation on alpine pastures. The park team invited many local actor groups—in particular farmers, hunters, tourism industry experts, and landowners—to participate in working groups to examine various issues pertaining to the planned park at the outset of the project. The park staff also frequently planned public informational sessions where members of the public might ask questions. The result of this deliberation was the creation of a "charta," which contained the park's rules and management strategy for the first ten years it was in operation (Michel 2019; Pichler-Koban and Jungmeier 2015). The charta dominated conversation for months. The final version of the charta was

released in September 2016 following a period of public consultation during which organizations and individuals could submit statements. Although it varied amongst communes, voter turnout was comparable high at over 60%, compared to the mean nationwide participation rate of between 40% and 50%. The proposal was no longer possible since a sizable portion of the core zone would have been situated in communes that opposed the park.

There hasn't been another national park created in Switzerland yet. Since the outcome of the public vote was not influenced by the same biases as research surveys, the unique environment, which included a communal vote to construct the park, gives us a comprehensive insight of the sentiments of local residents (e.g., overrepresentation of proponents). Understanding the reasons why the park failed, despite the fact that numerous modern ways were used in the project, is also crucial for considering how effective these procedures are.

Parc Adula was primarily viewed and pushed by local and regional players as a project for regional economic development. According to Michel and Bruggmann (2019), neoliberal discourses, which framed the proposed national park as an economic opportunity, influenced the park project. The justification that it will grow the economy motivated many to vote in favor. Voters were more inclined to reject the project idea if they believed that their region was doing well economically, as opposed to those who believed that tourism should be pushed for regional development. The instance of Parc Adula provides a glimpse into how (dis)trust can affect participation planning procedures and how a lack of trust—or even outright mistrust—recurs as a problem in a bottom-up, participatory national park project.

To sum up, a participatory approach should be open to failure because local ideas might not align with national park goals. The kind of nature conservation measure might be reconsidered in this situation. As an essential component of deliberative processes, disagreement must be respected. This openness can be achieved by deliberately including listening into discussions on protected areas. Otherwise, participatory approaches lose some of their strength.

6.2 Berugak Dese

Indonesia, the world's fourth most populous country, is one of the major receivers of foreign aid for development financing and technical support. The Sasak people of Lombok have a traditional structure called the Berugak. Its architecture has philosophical significance—each pillar supporting the roof stands for truth, assurance, virtue, and respect—and is supported by a set of traditions. The Berugak is a customary gathering place for group activities like collective care for the community's people and natural resources, as well as participatory planning and decision-making. The Berugak Dese institution was founded in 2006 and is based on these Sasak planning and development customs. Its purpose was to incorporate conventional, culturally acceptable governance principles into village-level planning, implementation, and assessment processes.

The lack of coordination between key actors (government, donors, industry, and civil society) in Indonesia's decentralization agenda was a source of frustration for the donor community, according to fieldwork interviews conducted in 2009 (Widianingsih 2014) in six villages on the island of Lombok in the province of West Nusa Tenggara. Local expertise and success stories were disregarded, particularly examples of sustained development that was culturally relevant and achieved in collaboration with local institutions of civil society.

GIZ started an award for exemplary governance in 2007. Despite not receiving a prize, recent Internet searches reveals that the Berugak Dese is one of the few organizations in the Indonesian province of West Nusa Tenggara that has continued to use a participatory governance, development, and advocacy project method for the past ten years. Even outside of central Lombok, in other parts of the island, the Berugak Dese has spread. A portion of this success can be attributed to village collaborations with the GIZ and other international development agencies, as well as the alignment of the Berugak Dese with the Paris Declaration Agenda's tenets of ownership, alignment, harmonization, managing for results, and reciprocal accountability. Additionally, the success of the Berugak Dese institution shows that decentralization goals may be attained by using pre-existing capacities at the local and village levels through collaboration with grassroots organizations and international funders.

Improvements to regional basic public services, slum area development planning,

and successful local legislation advocacy are some of the Berugak Dese's notable accomplishments. Understanding that decentralized processes, fair governance, and local knowledge are necessary components of the Paris Declaration Agenda is crucial when comparing the sustainability of the Berugak Dese to development approaches to Indonesia's decentralization efforts. Due to the Indonesian government's instability, it was not possible to provide concurrent technical assistance across government levels, and donors were unable to entice the counterparts required for the implementation of the Paris Declaration Agenda. Better results may be achieved by starting at the local level and leveraging the power of civil society networks. Additionally, the success of the Berugak Dese institution shows that decentralization goals may be attained by using pre-existing capacities at the local and village levels through collaboration with grassroots organizations and international funders.

One can argue that there are advantages to be had from the adoption of participatory planning and development methods given Indonesia's decentralization objective. These strategies are all-inclusive and have the ability to enlist the expertise of all tiers of government, foundations, businesses, communities, and people. The ownership, alignment, harmonization, management for results, and mutual responsibility tenets of the Paris Declaration Agenda rely on distributive, participatory governance. Top-down decentralization initiatives in Indonesia, however, have run the risk of escalating disparities in the appropriation of human rights, ignored local leadership and knowledge, failed to promote cooperative reforms across cities, districts, and villages, and so on. Growing inequality between the rich and the poor, the triumph of individualism over collectivism, and an increase in diversity and competition are however negative effects. These actions endanger the environment and world commons. They are unintended consequences of development.

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rights, ignored local leadership and knowledge, failed to promote cooperative reforms across cities, districts, and villages, and so on. Government-donor decentralization has fallen short of striking the correct balance in participative planning, which is essential for sustainable and long-lasting development in line with the ideals of the Paris Declaration Agenda. A "grassroots surge" in Indonesia's distributive governance is necessary for humanity, the global commons, and non-anthropocentric stewardship.

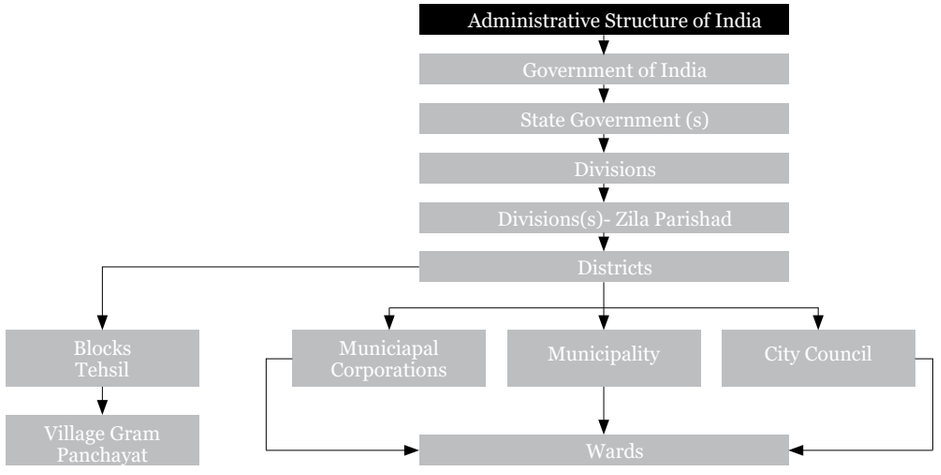
Inclusive Cities Partnership Programme (ICPP)

5.1 Setting up the Context

The Constitution of India, the country's primary legal constitution, governs India as a federation with a parliamentary system. It's a constitutional republic and representative democracy, with "majority power balanced by minority rights recognized by law." In India, federalism refers to the division of authority between the union and the states. The Indian Constitution, which went into force on January 26, 1950, described India as a "sovereign, democratic republic," but this was changed to "a sovereign, socialist, secular, democratic republic" in 1971. As a result of political, economic, and social changes, India's form of government, which has historically been defined as "quasi-federal" with a strong center and weak states, has become more federal since the late 1990s.

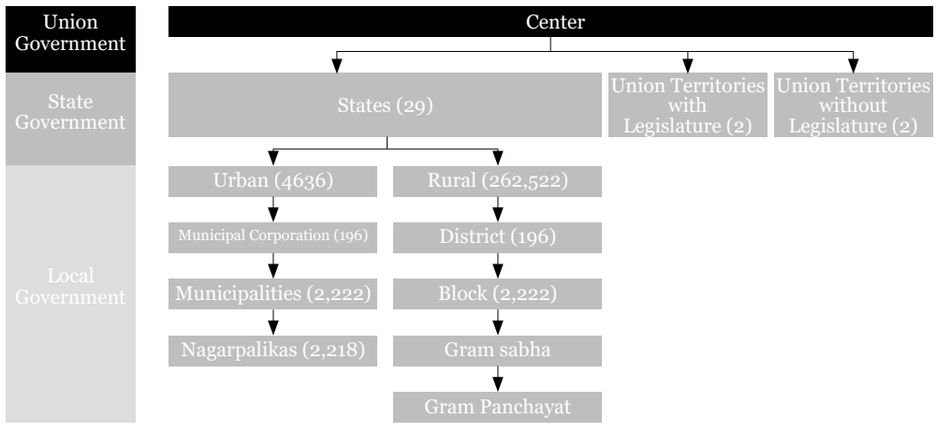
The Indian government, officially known as the Union of India (as per Article 300 of the Indian constitution), is based on the Westminster system. The Union government is primarily made up of the executive, legislature, and judiciary, with the prime minister, parliament, and supreme court each having powers conferred by the constitution. The president of India is the head of state and commander-in-chief of the Indian Armed Forces, while the elected prime minister leads the executive and is in charge of the Union government. The lower house, the Lok Sabha, is bicameral, while the upper chamber, the Rajya Sabha, is unicameral. Apex supreme court, 25 high courts, and various district courts, all lower to the supreme court, make up the judiciary.

India, a sovereign socialist secular democratic republic with a parliamentary system of government, is federal in nature and has unitary characteristics.



(fig.02)— Administrative Structure of India

Source: Author



(fig.03)— Federal Governance Structure of India

Source: Author

5.2 Case Study: Context

India has become more urban in recent years, and the demand for housing in cities has risen rapidly. The housing market has been unable to keep up, resulting in a severe demand-supply imbalance. People have been compelled to occupy marginal lands in and around cities as land and real estate values have risen. A major portion of the population in most Indian cities lives in slums or other informal settlements, which are marked by substandard housing and insufficient access to clean water and sanitation. This puts the population at risk of health problems and substantial environmental damage. In 2012, India's housing deficit was predicted to be 18.78 million dwellings, with the poor and low-income households in urban areas suffering the most.

It is widely recognized that, in order to meet the housing needs of the urban poor, it is critical to make housing markets more inclusive and transparent, to establish adequate standards for the delivery of housing and basic services, and to streamline private and public sector housing supply processes and procedures. Improvements in housing and living conditions in existing slums and other informal settlements, as well as their integration into nominally recognized parts of cities, are a particular challenge.

The Housing for All Mission is made easier through the Inclusive Cities Partnership Programme (ICPP) (Pradhan Mantri Awas Yojana - PMAY). The project aims to encourage more integrated planning and development of Indian cities in conjunction with other urban development programs in India.

5.2.1 Objective

National ministries, states, and cities are given assistance in putting in place socially inclusive and environmentally friendly housing for the urban poor.

5.2.2 Approach

The following work packages make up the ICPP:

- Support to the Ministry of Housing and Urban Affairs (MoHUA) and selected state governments in developing housing policies for the disadvantaged,

including the implementation of well-targeted support programs and the provision of financial resources.
- Assisting selected states and towns in designing and implementing initiatives to increase access to safe and environmentally appropriate housing.
- Development of knowledge products based on project lessons learned for future dissemination and capacity building.

This three-tiered system emphasizes vertical cooperation between the national, state, and municipal levels of government. Actors from all levels are involved in this way. Insights are gathered and further refined. Simultaneously, the ICPP promotes city networks and mutual advice services for information sharing among public sector agencies, private sector housing providers, and civil society (universities and think tanks).

5.2.3 Results

The following are the key outcomes of the project:

- Guidelines were supplied to national ministries and state governments to encourage the inclusion of the urban poor in their housing and rental housing strategies.
- State governments and municipal governments employed integrated techniques and mechanisms to develop and conduct urban upgrading initiatives aimed at improving urban poor housing conditions.
- National ministries and state governments enhanced their knowledge management on environmentally friendly and social housing alternatives.
- Housing solutions and integrated urban upgrading have been incorporated into the curricula of national and state-level training institutes.

The MoHUA got assistance at the national level in developing a national Urban Rental Housing Policy and a framework for developing State Housing Policies in urban regions. Furthermore, the New Urban Agenda was endorsed, which would help to achieve the Sustainable Development Goals (SDG). On 'World Habitat Day: 2017', the Ministry of Housing and Urban Affairs (MoHUA) devised and issued a strategy for implementing the Beneficiary-Led Individual Housing Construction/Enhancement (BLC) component of PMAY in Odisha.

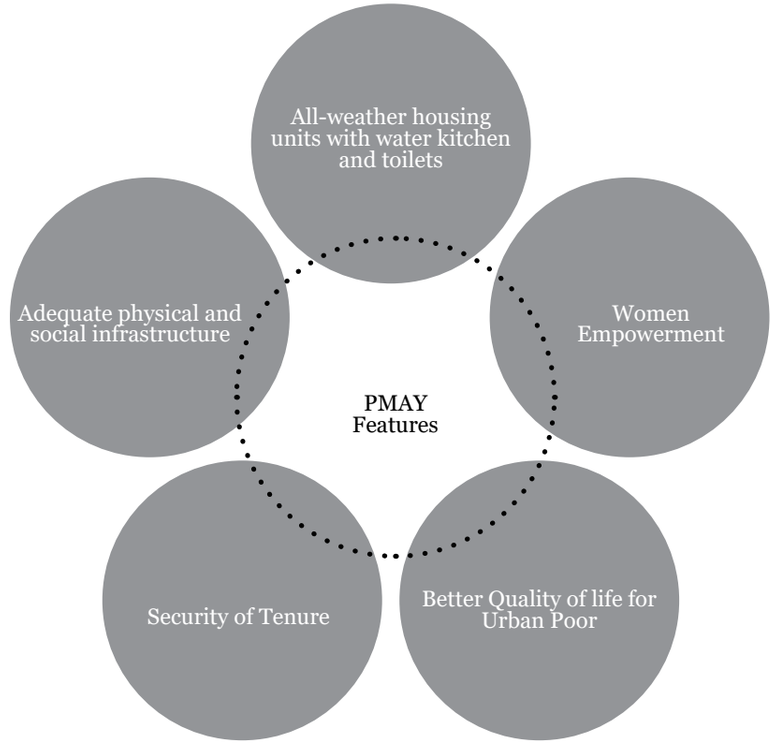
5.3 Pradhan Mantri Awas Yojana – Urban (PMAY-U)

On June 25, 2015, the Pradhan Mantri Awas Yojana – Urban (PMAY-U), a flagship Mission of the Government of India, was inaugurated by the Ministry of Housing and Urban Affairs (MoHUA). By 2022, as the country celebrates 75 years of independence, the Mission aims to address the urban housing crisis among the EWS/LIG and MIG categories, including slum dwellers, by ensuring a pucca dwelling for all qualified urban households. PMAY(U) takes a demand-driven approach, with States/Union Territories deciding on housing shortages based on demand assessments. The primary stakeholders in the execution and success of PMAY are State Level Nodal Agencies (SLNAs), Urban Local Bodies (ULBs)/ Implementing Agencies (IAs), Central Nodal Agencies (CNAs), and Primary Lending Institutions (PLIs) (U).

The Mission is responsible for the entire urban area, which includes Statutory Towns, Notified Planning Areas, Development Authorities, Special Area Development Authorities, Industrial Development Authorities, and any other authority entrusted with the functions of urban planning and regulation under State legislation. All PMAY(U) residences have basic utilities such as a toilet, running water, electricity, and a kitchen. The Mission encourages women's empowerment by allowing female members to purchase homes in their own names or in joint names. Differently abled people, senior folks, SCs, STs, OBCs, Minorities, single women, transgender people, and other weaker & vulnerable elements of the society are also given preference. A PMAY(U) house provides the beneficiaries with a dignified living environment, as well as a sense of security and ownership.

The Mission promotes the development of dwellings with a carpet surface of up to 30 square meters and minimum municipal infrastructure. States/UTs have flexibility in selecting the size of houses and other amenities at the state/UT level in agreement with the Ministry, but they do not receive any additional financial aid from the federal government. Basic civic infrastructure, such as water, sanitation, sewerage, roads, and power, should be included in slum redevelopment and affordable housing projects. Individual residences under Credit Linked Subsidy and Beneficiary Led Construction had to have provisions for these fundamental municipal services, according to ULBs.

PMAY(U) adopts a cafeteria approach to suit the needs of individuals based on the geographical conditions, topography, economic conditions, availability of land, infrastructure etc.



(fig.04)—Features of PMAY (U) Source: Author

Component of PMAY (U)			
ISSR In-situ Slum Redevelopment	**CLLSS** Credit Linked Subsidy Scheme	**AHP** Affordable Housing in Partnership	**BLC** Beneficiary-Led Construction
In-situ Slum Redevelopment (ISSR): This vertical aims to leverage the locked potential of land under slums to provide houses to eligible slum dwellers by formalising their settlements.	Credit Linked Subsidy Scheme (CLSS): Under this vertical, interest subsidy is provided to EWS and LIG households seeking housing loans from banks, Housing Finance Companies and other such institutions.	Affordable Housing in Partnership (AHP): This vertical involves partnership between state agencies and the private sector to create affordable housing projects by reserving at least 35 percent of houses for EWS in the projects developed by the private partner.	Beneficiary-Led Individual House Construction or Enhancement (BLC): To enable EWS households to either construct new pucca houses or enhance existing houses on their own.

(fig.05)—Components of PMAY (U) Source: Author

5.3.1 Verticals of PMAY (U)

In-situ Slum Redevelopment (ISSR): All dwellings created for eligible slum residents under the component of ISSR using land as a Resource with participation of private developers are entitled for Central Assistance of 100,000 rupees per house. The rules recommend that slums be de-notified by the state/UT government after reconstruction. States and cities have the option of using this Central Assistance to rebuild other slums. To make projects financially viable, states and cities offer additional FSI/ FAR or TDR. States/Cities grant additional FSI/FAR or TDR to land owners for slums on privately owned land, as per policy. In such a circumstance, no Central Assistance is permitted.

Credit Linked Subsidy Scheme (CLSS): Beneficiaries of the Economically Weaker Section (EWS)/Low Income Group (LIG), Middle Income Group (MIG)-I, and Middle Income Group (MIG)-II who seek housing loans from Banks, Housing Finance Companies, and other such institutions for the acquisition, new construction, or enhancement of houses are eligible for interest subsidies of 6.5 percent, 4 percent, and 3 percent on loan amounts up to 600,000 rupees, Rs. 900,000 rupees, and 1.2 million rupees. Housing and Urban Development Corporation (HUDCO), National Housing Bank (NHB), and State Bank of India (SBI) have been recognized as Central Nodal Agencies (CNAs) by the Ministry to channel this subsidy to beneficiaries through lending institutions and to track progress.

Affordable Housing in Partnership (AHP): The Government of India provides Central Assistance of 150,00 rupees every EWS dwelling under AHP. A mix of houses for different categories can be included in an affordable housing project, but it will be eligible for Central Assistance if at least 35% of the houses are for the EWS category. The states/UTs set an upper limit on the sale price of EWS dwellings in order to keep them inexpensive and accessible to the intended recipients. Other discounts offered by the state and cities include their State share, land at a low cost, stamp duty exemption, and so on.

Beneficiary-led Individual House Construction/ Enhancement: Central assistance of up to 150,000 rupees per EWS house is granted to qualified EWS families for individual house construction/improvement. The beneficiary's

information and building plan are validated by the Urban Local Bodies in order to determine land ownership and other elements such as economic standing and eligibility. Central Assistance, along with any State/UT/ULB portion, is transferred to beneficiaries' bank accounts via Direct Benefit Transfer (DBT) by States/UTs.

5.4 Status of PMAY in Odisha

Institutional framework for implementation of housing programs

In October 2015, the Housing & Urban Development Department (H&UDD) of the Government of Odisha announced the Odisha Urban Housing Mission (OUHM), recognizing the need for an effective and efficient institutional structure to achieve the goals of 'Housing for All' in urban areas. The OUHM State Level Mission Directorate has been appointed as the State Level Nodal Agency (SLNA) in charge of coordinating and implementing urban housing initiatives in the state's numerous cities. It is in charge of overseeing the implementation of national housing programs, formulating housing policies and guidelines, implementing these policies through administrative and legislative measures, providing technical assistance to ULBs in the preparation of Detailed Project Reports (DPRs), approving projects, and channeling national/state subsidies to cities and/or development authorities. The mission's High-Level Committees (HLC), chaired by the Chief Minister, and the State Level Sanctioning and Monitoring Committee (SLSMC), constituted within the mission, are in charge of policy decisions and project approval. District Urban Housing Societies (DUHS) have been established at the district level to ensure the planning, implementation, and monitoring of projects under the Housing For All program. The ULBs are in charge of generating Detail Project Reports (DPRs) and putting housing projects in place in their respective localities.

Currently, the OUHM is in charge of PMAY implementation in 41 cities across the state. The OUHM conducted demand surveys in all cities to determine the need for housing and households' willingness to engage in PMAY housing projects. Individual cities have created DPRs based on the results of demand surveys in three verticals: AHP, BLC, and in-situ slum redevelopment. Berhampur and Puri are two of the state's 40 cities where 'beneficiary led construction' is being implemented (BLC).

5.4.1 Implementing 'beneficiary led construction

Individual qualified families belonging to the economically weaker sections (EWS) are given financial support under the BLC vertical of the PMAY to either build new houses or upgrade/enhance existing houses on their own (provided they furbish adequate documentation regarding land ownership). The central government would pay a subsidy of 150,000 rupees, while the Odisha State Government will provide an extra subsidy of 50,000 rupees to qualifying households. The PMAY rules, developed by the Ministry of Housing and Poverty Alleviation (MHUPA), describe general qualifying criteria for the scheme. State governments develop final eligibility requirements based on these standards that apply to all cities in the state.

5.4.2 Eligibility criteria for BLC in Odisha

The Government of Odisha's OUHM has laid forth the following eligibility criteria for determining BLC beneficiaries:

- A patta/Record of Rights (ROR) document identifying the beneficiary as the primary landholder is required.
- The beneficiary must be a member of the Economic Weaker Section (EWS) with an annual income of less than 1.8 lakh and own no Pucca dwelling in his or her own name or in the name of any other family member.
- The beneficiary must not be enrolled in or covered by any other housing program.

5.4.3 Current status of DPRs for BLC

The OUHM has designated 40 cities within the state in which the BLC model will be implemented in two phases. In the first phase of the BLC, the Berhampur Municipal Corporation (BeMC) and the Puri Municipality produced and submitted DPRs. Both DPRs were created using data from the 2011 Socio-economic Caste Census (SECC). The SECC data gives a macro view of the number of households in a given city that fall into various income categories and socioeconomic groups. Based on this information, it was anticipated that 959 Berhampur families and 650 Puri families may be covered by the BLC scheme. The exact households, however, were not named. As a result, the two ULBs were unable to submit a list of beneficiaries (with with supporting data on their incomes, land ownership, and home ownership, among other things) as part of their DPRs. The national government accepted the DPRs in principle, but did not sanction any funding until a confirmed list of beneficiaries was provided.

In 2016, BeMC and Puri Municipality began accepting applications from homes interested in joining the BLC initiative. Advertisements in local newspapers, radio announcements, and hoardings/banners were used by the two local governments to raise awareness about the scheme. They also deployed Community Organisers (COs) in several wards throughout the city to assist interested homes in applying for the initiative.

The state government has agreed to provide an additional subsidy of 50,000 rupees per household at this time. The two ULBs agreed to extend/upgrade trunk infrastructure in these locations, as well as provide piped water and sewerage connections to the beneficiaries' homes. As of December 2016, Berhampur had received 1099 applications while Puri has received 616. The eligibility requirements specified by the State Government were compared to the applications received. Only 421 people were authorized in Berhampur and 371 in Puri, for a total of 792 out of 1,715 or 46.2 percent. Based on an examination of the failed applications, it appears that they were denied for the following reasons:

- There was no ROR document in the homes. Several of these households had other valid documentation of land ownership (such as registered sale deeds or proof of inherited property), but they were still turned down. Several households lived on Jagannath Temple Trust land in Puri. The settlement record listed their names, but the ROR did not.
- Households had a Pucca house that was larger than 21 square meters
- The residences were placed outside the city limits.
- Households were previously covered/listed for inclusion in earlier housing programs such as IHSDP or RAY.
- Applications were lacking information or were incomplete.

5.4.4 Framework for implementation

Creating demand in low-income households:

The current method of identifying disadvantaged homes in need of government housing/infrastructure assistance is based on 'demand from individual households.' Newspaper adverts, notices, and circulars in ward offices inform people about the housing project, its qualifying conditions, and the application process. In both cities, the administration has also dispatched community organizers (COs). COs are in charge of organizing communities, informing them about various government initiatives, and assuring their participation in these programs by assisting them in filling out applications and obtaining necessary paperwork.

In Berhampur, 8 COs are assigned to work in poor communities (both slum and non-slum) in the city, while in Puri, 5 COs are assigned to work in poor settlements (both slum and non-slum). Due to a lack of time, the COs are unable to devote much time to organizing communities, raising awareness, creating trust, resolving application challenges, and assisting applicants in obtaining necessary documentation to support their applications. In both cities, fewer applications were received than expected based on SECC statistics, indicating that the existing approach to identification and mobilization may need to be improved.

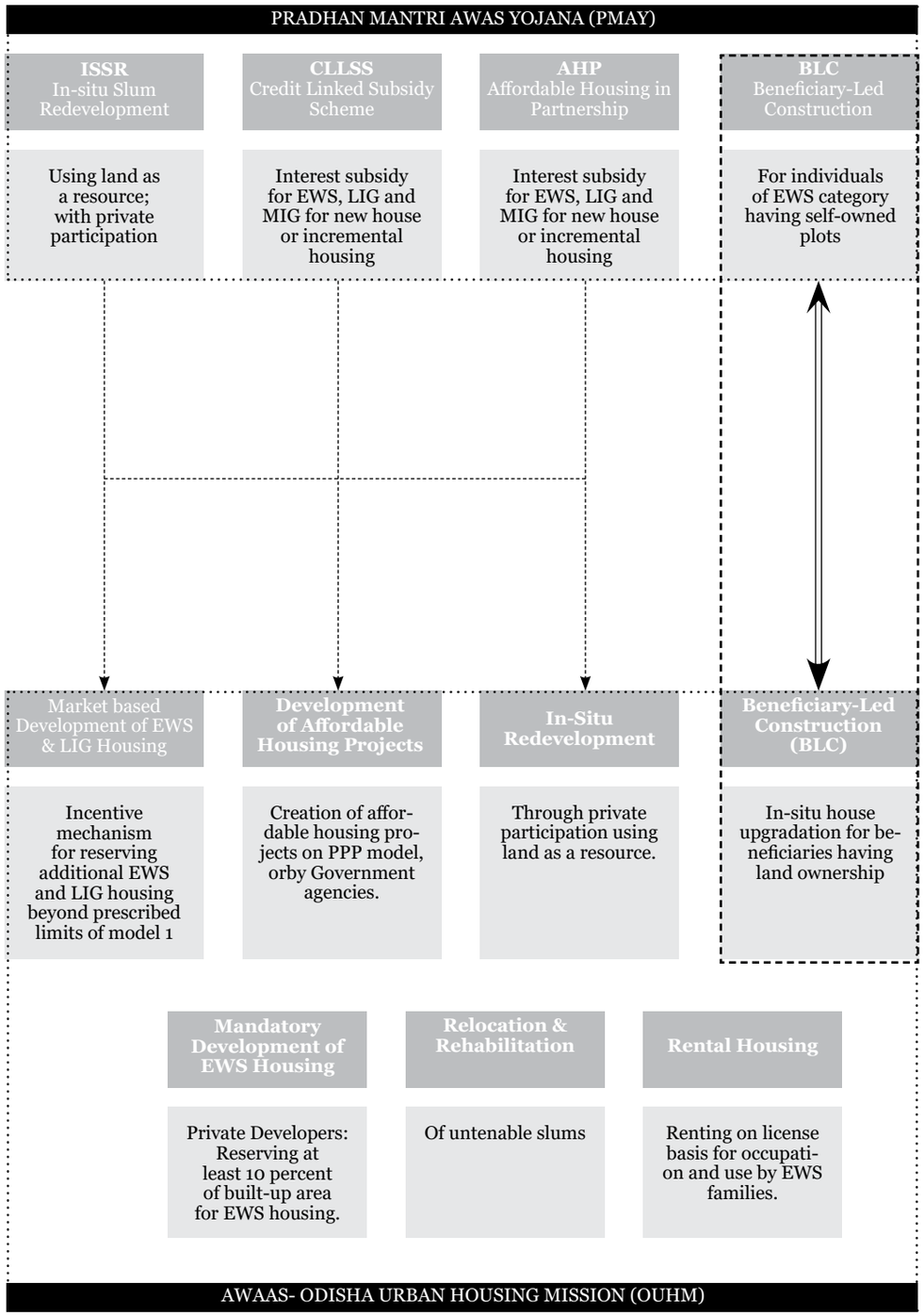
Linking housing improvement with infrastructure upgrades:

It is critical to ensure that upgraded homes have access to basic amenities (such as piped water, appropriate sewage disposal, and paved roads) in order to enhance the poor's habitat circumstances. According to the DPRs, the two ULBs will work together with infrastructure initiatives such as AMRUT to guarantee that essential trunk infrastructure is extended in locations where housing programs are being constructed. However, the technique for expanding infrastructure within communities is still being worked out. The applications received and granted under BLC in the two cities are spatially spread across the two cities in distinct settlements. To determine the need for community-level infrastructure improvements, the ULBs will need to map this distribution of beneficiaries.

Ensure that the plan is put into action on the ground

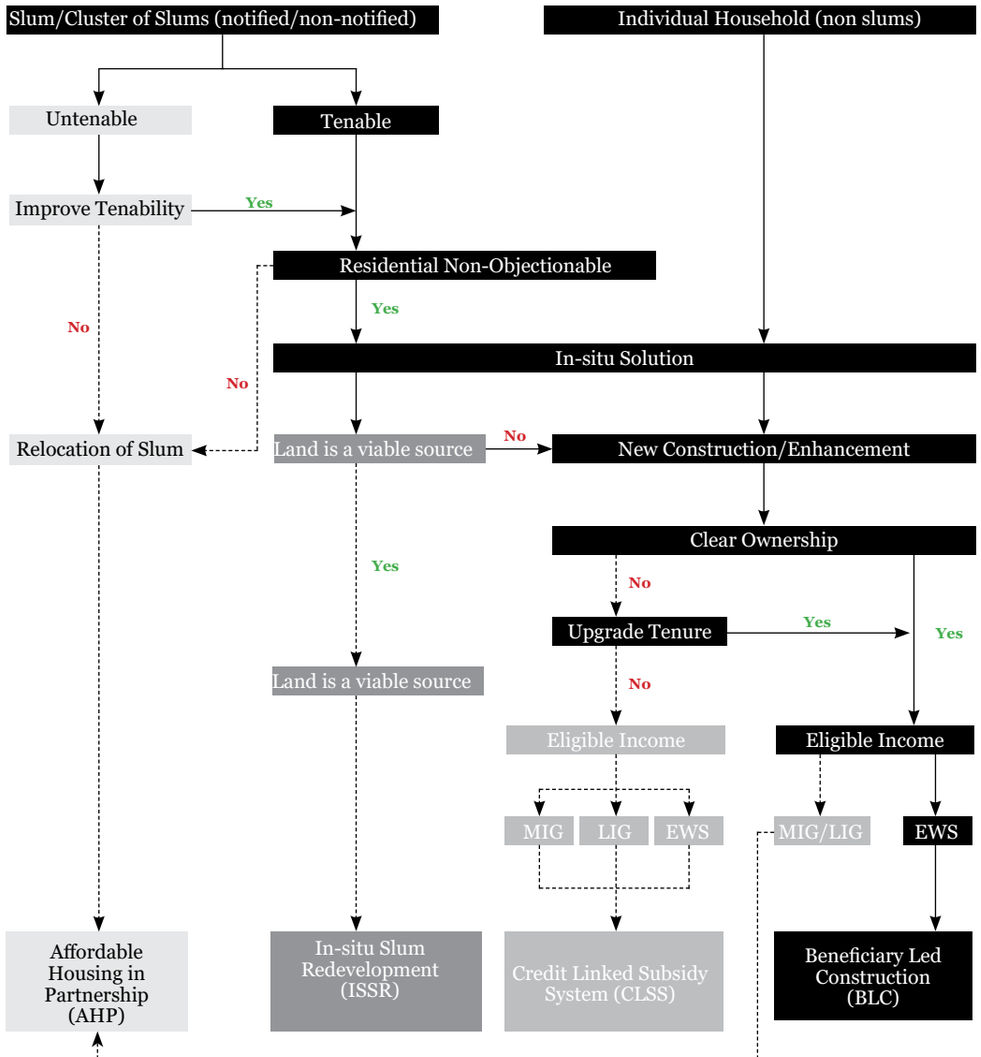
Both the BeMC and the Puri Municipality have issued work orders to homes whose applications were granted. Within 90 days of receiving the work order, the households must begin construction work on their homes. Families can either build the dwellings themselves or hire contractors and workers. Payments will be made in installments based on the progress of the project. Individual households frequently struggle to manage the construction of their homes efficiently and on time. Managing the entire process on their own, including material procurement, labor management, and construction monitoring, is hard and time intensive, and it comes at a high cost to the poor.

5.5 Development options under PMAY and AWAAS



(fig.06)—Relationship between PMAY (U) and AWAS *Source: Author*

5.5.1 Decision Tree Under PMAY



(fig.07)—Decision tree under PMAY (U)

Source: Author

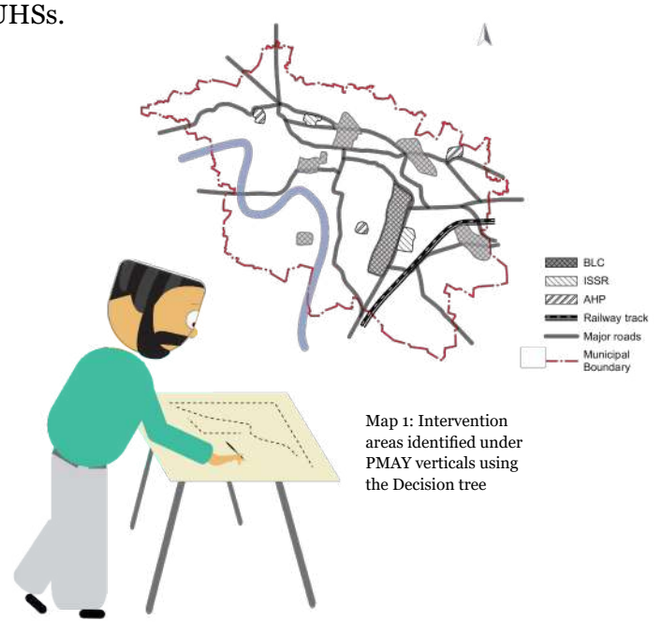
5.6 Components of Beneficiary Led Construction (BLC)

5.6.1 Component 1: Identification of Intervention Cluster

The ULBs are in charge of component 1 activities, with assistance from the State Government and the respective DUHSs.

1 A ULB/Mr. Jena analyses the ward level data for slum and non-slum areas

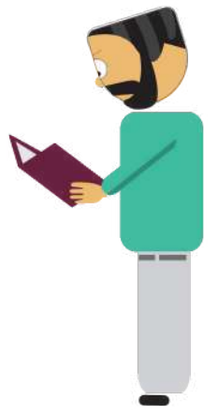
Using secondary sources (Census, SECC, Statutory Plans and SFCPoA), ward level data on housing conditions (pucca, semi-pucca or kutcha) is analysed to identify potential areas for improvement in slum and non-slum areas.



Map 1: Intervention areas identified under PMAY verticals using the Decision tree

1 B ULB/Mr. Jena looks into the ownership details of slums

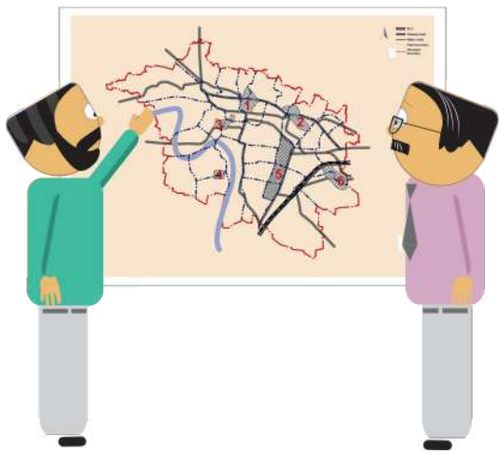
The land ownership details of slums are analysed to understand their distribution among public and self-owned lands. Further, the slums located on self-owned lands are assessed to understand the potential for inclusion under BLC.



(fig.08)—Component 1: Identification of Clusters *Source: Author*

1 C Areas having large no. of semi-pucca and kutcha houses are grouped into clusters

Information related to the housing conditions and slum level land ownership are marked on the city map. Wards that have large number of semi-pucca and kutcha houses with clear land tenure are grouped into intervention clusters (Map 2).



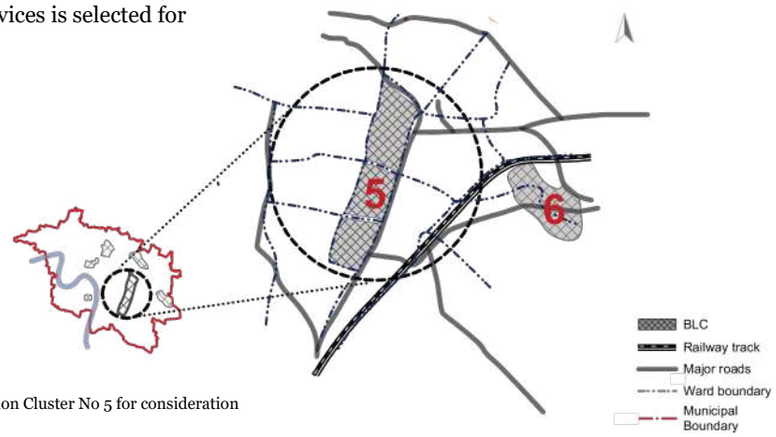
Map 2: BLC intervention clusters identified at city level

1 D Selected clusters are analysed with reference to basic services

The BLC clusters are further analysed with reference to the availability and connectivity of basic services (water supply, sewerage system, roads, drainage and solid waste management).

1 E ULB/Mr. Jena selects the cluster having the maximum scope for intervention under the DPR (Cluster no. 5, Map 3)

The cluster that has the maximum scope in terms of housing (large number of semi-pucca and kutcha houses) and availability/ connectivity to basic services is selected for BLC intervention.



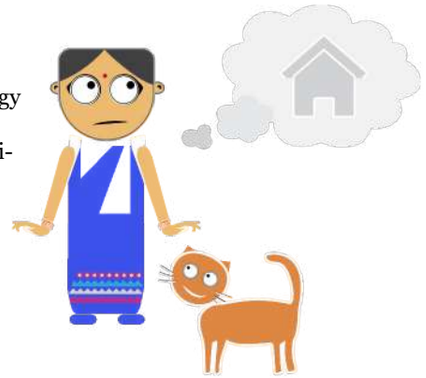
Map 3: Selection of BLC intervention Cluster No 5 for consideration under the DPR

5.6.2 Component 2: Identification of Benificieries

2 A Kuni comes to know about the Housing for All PMAYAWAAS mission through Ward Sabhas conducted by the ULB/ newspaper ads/word of mouth (friend/neighbour/ Community Organiser).

INTERVENTION:

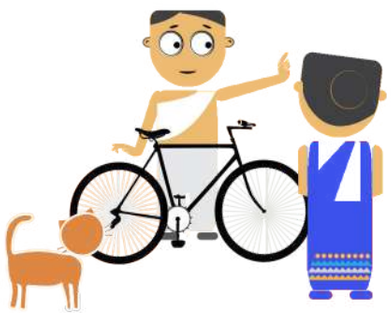
Developing media strategy and pro-active campaigning for effective dissemination

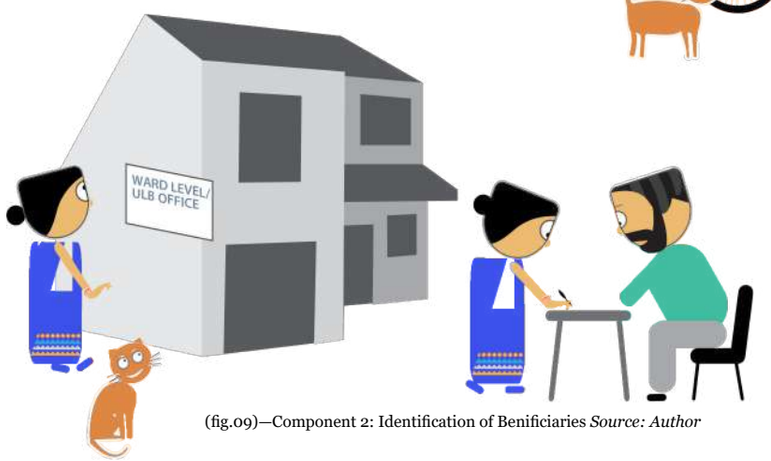


2 B She fills up an application form and submits it along with an affidavit and supporting documents (Refer page 22) to ULB.
Mr. Jena/ULB also conducts ward level meetings for collection of applications and documents.

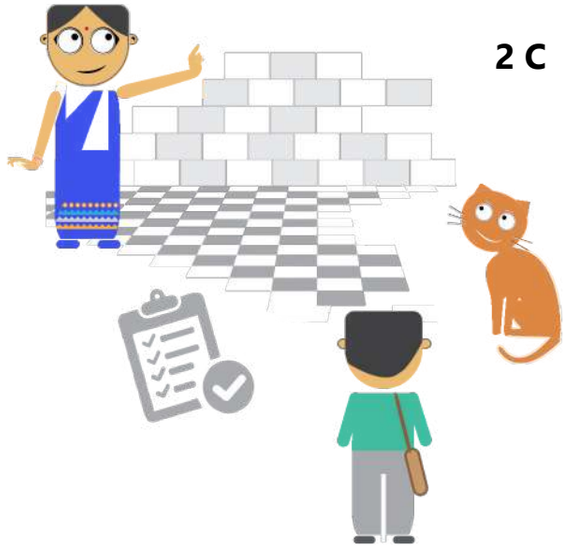
INTERVENTION:

Ward level camps for expediting the process





(fig.09)—Component 2: Identification of Benificiaries *Source: Author*



2 C Mr. Jena/Junior Engineer/CO comes to her house/plot for verification. The structural condition of the building, and the plot dimensions are checked as well.

INTERVENTION:

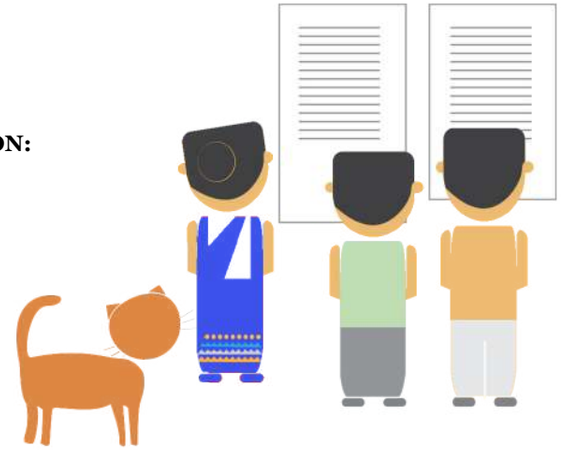
Adopting areabased approach for ensuring thorough coverage and reducing duplication of efforts

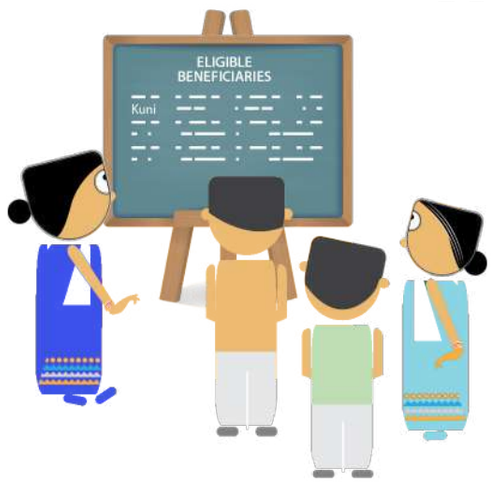
2 D She goes to the ULB office to check whether her name has appeared on the initial list of eligible beneficiaries.

Based on this list, objections, if any, are invited.

INTERVENTION:

Print media/ Newspapers to be utilised for better circulation of news





2 E Kuni finds her name on the final list of beneficiaries, published by the ULB after scrutiny and inspection.

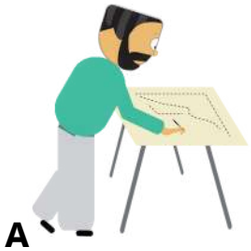
She along with all the approved applicants from the intervention cluster (no. 5) are considered under the Detailed Project Report (DPR).

INTERVENTION:

Preparing a Waiting List* for applications not having clear RoR documents.

The Waiting List is based on the Land Tenure continuum, which is drawn to include intermediate categories located between fully formal freehold and complete lack of land rights. These applicants are encouraged to attend the RoR Camps. The process is detailed out subsequently (Refer Fig 3, page 23).

5.6.3 Component 3: Preparation of Detailed Project Report



3 A

Based on the final list of beneficiaries, ULB/Mr. Jena finalises the boundary of the final intervention cluster (Map 4).

3 B

Plots are mapped within the final cluster boundary (Map 5).

3 C

Possible dwelling unit (DU) design options in consultation with beneficiaries are developed based on typical plot sizes/ shapes.

3 D

Assessment of existing and proposed infrastructure networks is done for linking the households to basic services.

3 E

Infrastructure proposals are developed/ dovetailed based on synergies with other missions, etc. (Map 6 & 7)

3 F

ULB/Mr. Jena prepares the cost estimates and Implementation Plan including financing options for beneficiaries.

3 G

ULB submits the final DPR through DUHS to State Level Nodal Agency (SLNA). SLNA submits the DPR to State Level Appraisal Committee (SLAC) for technical appraisal.

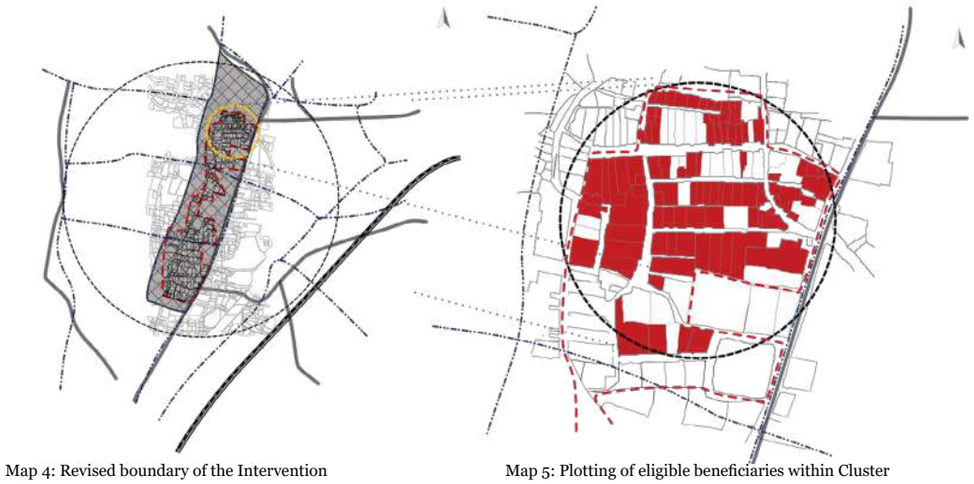
3 H

SLAC recommends to the State Level Sanctioning and Monitoring Committee (SLSMC) for approving the DPR.

3 I

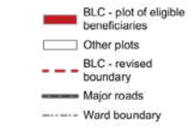
CSMC accords approval for central assistance, and releases fund to the State for disbursement through direct Benefit Transfer (DBT).

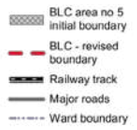
(fig.10)—Component 3: Preparation of DPR *Source: Author*

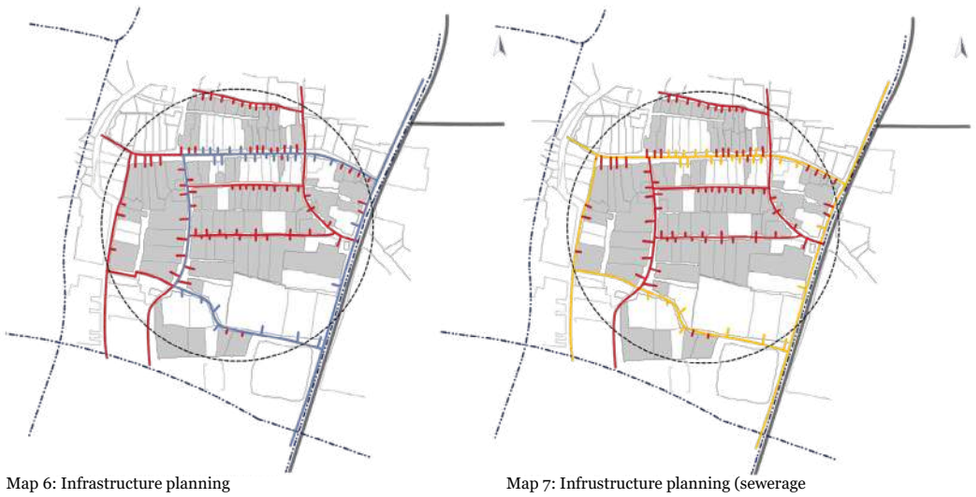


Map 4: Revised boundary of the Intervention Cluster no. 5

Map 5: Plotting of eligible beneficiaries within Cluster

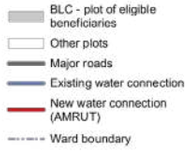


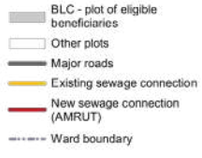




Map 6: Infrastructure planning (water supply) in Intervention Cluster

Map 7: Infrastructure planning (sewerage network) in Intervention Cluster





5.6.4 Component 4: Project Implementation

4 A Work orders are issued by the ULB to all beneficiaries selected under the DPR.

Kuni receives her work order.

4 B With the contribution of her family members, Kuni mobilises her financial share for initiating the construction of her house.

INTERVENTION:

Institutional financing is the preferred source.

SUGGESTED INTERVENTIONS:
Shortlisting of competent contractors, masons and construction material vendors.

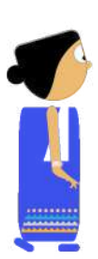
Signing of agreements with contractors, masons and vendors facilitating construction activities, with city/State as the guarantor.

Conducting of training sessions for beneficiaries, contactors and masons regarding construction, resource mobilisation and financing.

4 C With ULB's assistance, Kuni initiates the site clearance process.

INTERVENTION:

Existing semi-pucca/ kutcha house is demolished. Materials that could be reused is set aside.



4 D Mr. Jena inspects the vacant site, and clicks geo-tagged photographs of the same.

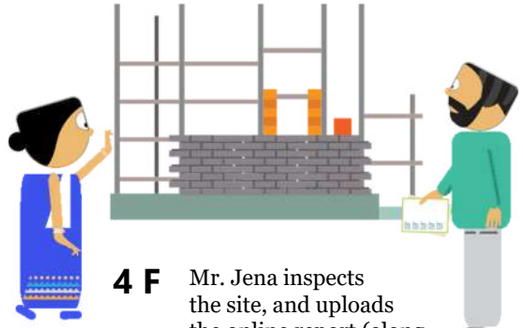
He then uploads the status report.

INTERVENTION:

Identifying an intermediate agency/ Project Management Consultant for site inspection and verification during construction phase.

4 E Kuni oversees the construction till the plinth level. Kuni/CO informsMr. Jena about the progress.

(fig.11)—Component 4: Project Implementation *Source: Author*

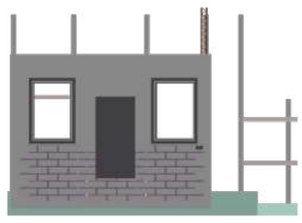


4 F Mr. Jena inspects the site, and uploads the online report (along with geo-tagged photographs).

4 G Upon receipt of confirmation from the ULB, State Government releases the first installment into Kuni's bank account through DBT.

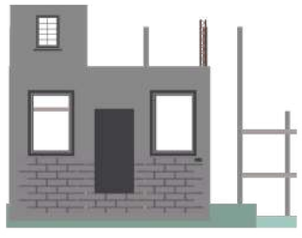
4 H Kuni completes construction till roof level. Kuni/CO informs Mr. Jena about the progress. Mr. Jena/Junior Engineer inspects site and uploads the report (along with geo-tagged photos).

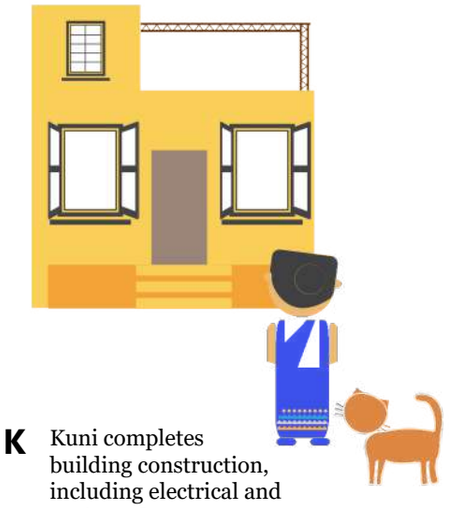
4 I State Government releases the second installment.



4 J Roof slab casting is completed. After official inspection, online report is uploaded (along with geo-tagged photos).

State releases the third installment.

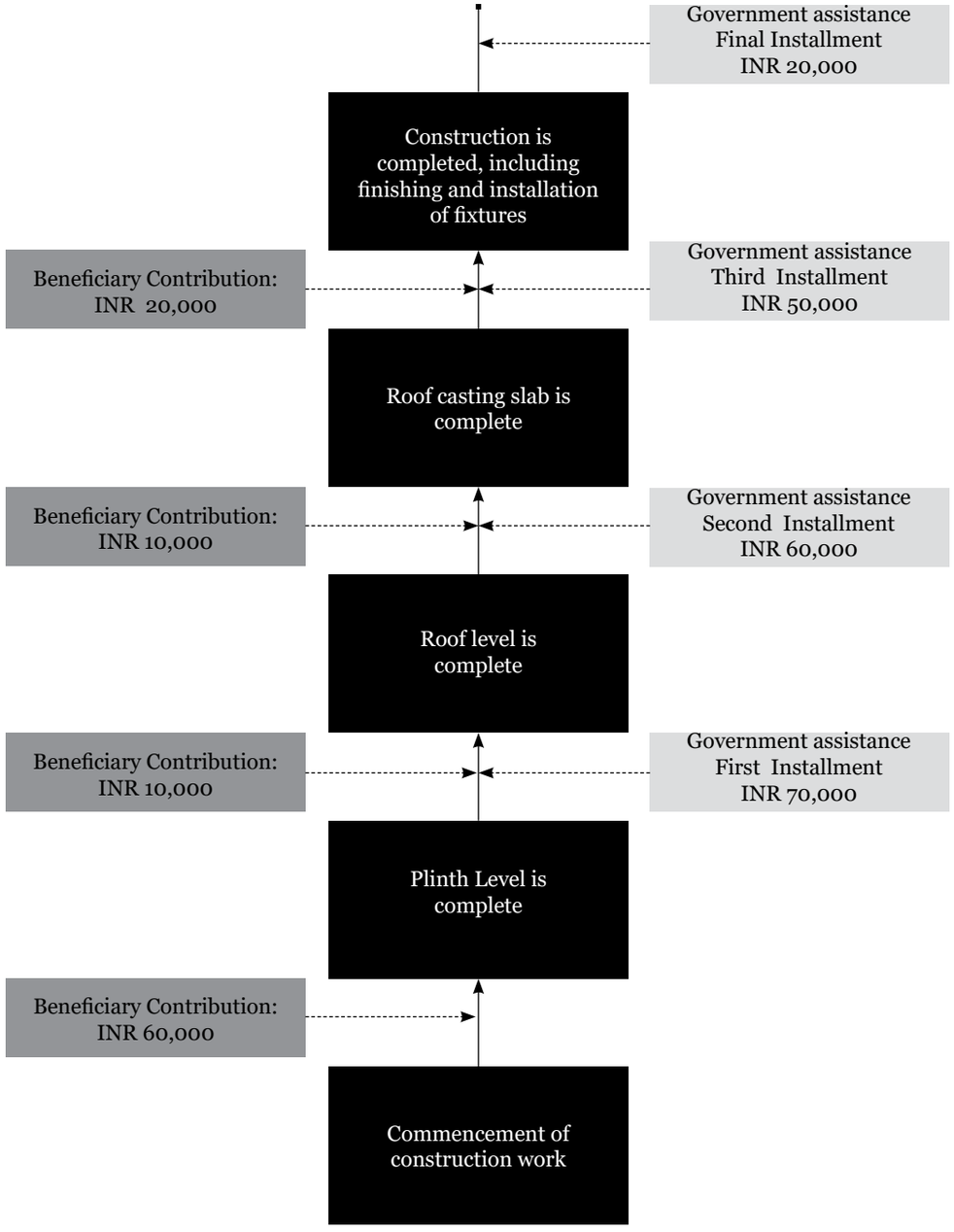




4 K Kuni completes building construction, including electrical and sanitary fixtures.

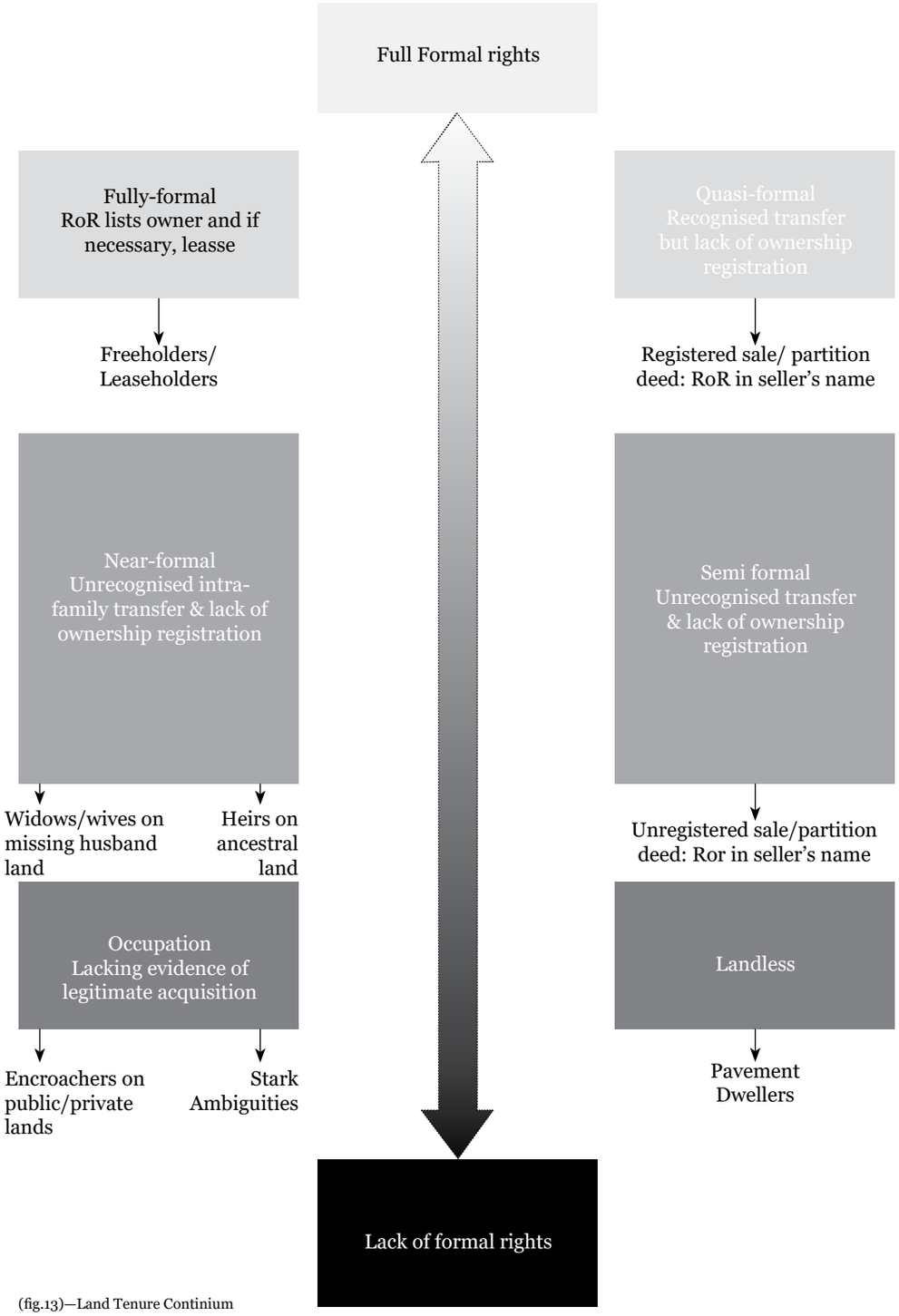
Upon official confirmation, the final installment is released.

5.7 Fund Flow During Construction



(fig.12)—Flow of Fund during construction *Source: Author*

5.8 Land Tenure Continuum



(fig.13)—Land Tenure Continium

Source: Author

5.9 Conclusion

There is little doubt that the Government of Odisha has taken important steps to address issues such as urban planning, housing, and the right to land in order to enhance slum dwellers' living standards and the development of slums. The GoO agreed that resolving issues linked to land acquisition, use, and development might spur economic growth. Securing housing for low-income people or economically vulnerable sectors of the community is an important aspect of urban redevelopment. The Odisha Urban Housing Mission (OUHM) - Awaas, which was launched in October 2015, and the JAGA Mission for land rights facilitation, which was launched in July 2017, have emerged as progressive and inclusive state programs, with numerous reasons contributing to their effective execution. These are summarised as follows:

Improving LRC distribution in order to increase BLC uptake: Following the launch of the JAGA Mission in 2017, the distribution of LRCs by the GoO increased the potential recipient base in the state for leveraging available BLC housing subsidies. Beneficiaries in slums in smaller cities might definitely improve their dwelling conditions if they were granted land rights. In larger cities, like as Berhampur, however, only those households that inherited land or could afford to buy one were eligible for the housing subsidy.

Women's empowerment as homeowners: GoO has prioritized women's empowerment by allowing them to become home owners, with women accounting for more than half of BLC recipients. While this perception of ownership may have increased women's participation in household decision-making, the transfer of this ownership into social, economic, and legal dimensions of empowerment must be further explored.

Reaping the Demographic Benefits: Choosing beneficiaries in their peak years was another very beneficial part of the program. More over half of those who benefited were between the ages of 36 and 55. Because the recipient is in charge of the building in this scheme, successful completion of the house demands a lot of coordination, energy, and money from the beneficiary. All of these things are significantly more doable at this age than they are later in life.

Allowing design flexibility: GoO preserved flexibility by allowing recipients to design their own house based on their requirements and aspirations, as well as the size and shape of the land, albeit using standard building design as a guide. The housing plan in Odisha was able to expand because to this flexibility.

Incentivizing rapid construction: Providing incentives for early completion of construction boosted the construction process and proved to be an efficient tool for expediting the scheme's implementation. However, there is still room to strengthen and streamline the JAGA Mission's and the urban housing scheme's implementation tactics in Odisha.

Barriers to institutional finance: A key bottleneck is the inability to obtain institutional housing finance at a reasonable rate of interest to supplement state housing subsidies. The low percentage of beneficiaries accessing banks for loans highlights the need for the government to make a consistent effort to ensure that housing schemes and institutional funding are aligned. There is a compelling need to ensure that the urban poor beneficiaries do not fall into a vicious debt trap as a result of the costly informal borrowings used to improve their house structures.

Inadequate direction for house construction: While many BLC recipients worked in the construction industry, not all had a thorough understanding of all of the construction stages outlined in the program, as well as the technicalities associated with each. Because there was no clear direction or instruction on various construction methods and prospective prices for executing the building work, acquiring raw materials, and organizing the cash required for each stage of construction, each beneficiary's trip was unique. By reducing the risk of cost-escalation, such guidance guides could have stopped many people from falling into a debt trap. Furthermore, the clustering of recipient homes in order to establish community contracting of building materials and labor could have had a number of positive outcomes.

Basic service inadequacy in BLC houses: Improved access to basic services is one of the most important factors of improving living conditions among the urban poor. The freshly built BLC residences in the state, on the other hand, were severely lacking. Only one-third of the BLC dwellings had an in-house toilet, and only 30% had access to both piped water and electricity.

Participatory Infrastructure Project (PIP)-Bahary El Seka El Hadid, Qalyubia Governorate-Egypt

6.1 Setting up the context: Decentralisation story of Egypt

Egypt is a transcontinental country located in northeast Africa and the southwest corner of Asia via the Sinai Peninsula. The republic is a unitary state with one of the most long-standing centralized traditions in the world. Egypt's local government dates back to the end of the 18th century. Law 43/1979 continues to be the legal foundation of the local government system. The Egyptian government is organized vertically, with a strong hierarchical structure. President Mubarak adopted the Political Manifesto 'Decentralisation for Democracy' in 2005, which was significant.

Local government is divided into three subnational levels, each with five geographical units: 1) governorates, 2) counties, and 3) municipalities. 2) geographical areas 3) Local governments 4) towns 5) settlements
There has been a revolution and subsequent coup d'état since the Arab Spring in 2011. The following does not take into consideration the current de facto status, which could alter, or interference from Islamic State elements in the country's northeast. The new Constitution, on the other hand, was ratified by a 98 percent majority in January 2014.

The Arab Spring of 2011 and the Post-Mubarak Era

Following a two-week popular uprising between January 25 and February 11, 2011, the Supreme Council of the Armed Forces assumed control of the country, suspended the Constitution, and announced the formation of a constitutional committee to compile a report on the Constitution's various sections. On March 19, 2011, a referendum adopted the Committee's proposed Constitution draft. A Constitutional Declaration was released on March 30, 2011, after which a hundred-member Constituent Assembly was to be formed within six months to design a new Constitution. However, the process took nearly a year to complete since stakeholders couldn't agree on its content.

2012: The Islamist Muslim Brotherhood's Freedom and Justice Party emerged as the most powerful political party in the parliamentary and presidential elections held in January and May, respectively. After being installed, Egypt's new Parliament was tasked with drafting a more permanent Constitution. The Assembly announced in October 2012 that the first Constitutional Draft had been finished. Following that, a public awareness effort was launched to educate the public about the Constitution. On November 29, 2012, the Assembly completed the drafting process. The 2012 Constitution included a chapter on local government, which splits the country into five "legally distinct local administrative divisions" (Article 183), namely "governorates, provinces, cities, districts, and villages."

The same article made a key reference to decentralization, stating that local government should be constituted by legislation "in a way that encourages decentralization, empowers administrative units in delivering local services and facilities, and reinvigorates and enhances their administration." The Constitutional Declaration of July 8, 2013, suspended the 2012 Constitution and replaced it with the new Constitution, which went into effect on January 18, 2014, after being adopted by 98.1 percent of voters in a national referendum with a turnout of 38.6 percent. The new constitution streamlines Egypt's local government structure, lowering the number of local administrative divisions from five to three, including governorates, cities, and villages (Article 175).

At the same time, the 2014 Constitution goes much further in promoting decentralization than previous constitutions, stating that the state must ensure "administrative, financial, and economic decentralization" (Article 176) and

"ensure the fulfillment of local units' needs in terms of scientific, technical, administrative, and financial assistance, as well as the equitable distribution of facilities, services, and resources, and shall bring development levels in these areas up to par with previous constitutions."(Article 177).

Local entities have the right to "autonomous financial budgets" (Article 178) under the 2014 Constitution, with finances obtained from a combination of local taxes and resources granted to them by the state. Every local government must prepare its own budget and financial statements (Article 182). Local councils will be elected for a four-year term by direct and secret ballot (Article 180), with a quarter of the seats reserved for young people under 35 and a quarter reserved for women candidates. Workers and farmers will take up half of the seats on local councils, while Christians and people with disabilities will be well represented.

Local councils are responsible for following up on the development plan's implementation, monitoring activities, and exercising oversight on executive authorities, utilizing instruments such as submitting ideas and questions, briefing motions, interpellations, and so on. Local councils have the power to revoke the heads of local units' authority (Article 180). The Constitution expressly provides that "The resolutions of local councils that are issued within their respective powers are final. They are not to be interfered with by the executive authorities ".. (Article 181)

Despite the fact that the new constitution was established in 2014, the respective ministries have yet to completely develop numerous policy areas. Governors have been reappointed regularly, while ministers for various departments have just recently been appointed. Currently, many ministry websites are inaccessible. The following pages provide an overview of the current situation:

- In Egypt, decentralization is confined to a system in which local entities merely perform administrative responsibilities and have no actual say in political decision-making.
- Local governments are tightly controlled by central authorities, which "have the final say in terms of administering local issues." In line with Law No. 124/1960, the governorate popular council has power over the lower councils, based on a strong hierarchical architecture. Lower-level popular councils are subject to the same level of control as district and town local popular councils.

based on a strong hierarchical architecture. Lower-level popular councils are subject to the same level of control as district and town local popular councils.

- The People's Assembly and the Shoura Council were constituted as legislative branches of the bicameral Parliament established by the 1971 Constitution.

The People's Assembly would be composed of at least 350 members, who would be directly elected for a 5-year term, according to the 2012 Constitution. The Shoura Council was made up of at least 150 directly elected members, with the President appointing up to one-tenth of the entire body as additional members. Members of the Shoura Council were supposed to serve for six years, with half of the members facing elections or reappointment every three years. The Shoura Council, however, was abolished by the 2014 Constitution.Despite the fact that the 2002 national elections were meant to provide a better opportunity for Egypt to advance its decentralization process, the two-year delay in the staging of local elections that were supposed to take place on April 15, 2006, exposed the system's flaws.

The most recent parliamentary and presidential elections were place in January and May of 2012. The Islamist Muslim Brotherhood's Freedom and Justice Party emerged as Egypt's main political force in both elections, obtaining 70 percent of Parliament seats and the presidency through its presidential candidate, Mohammed Morsi. It was also the first time an Islamist has won a presidential election "On July 5, 2013, President Morsi was removed by a military coup.

Adly Mansour, President of the Supreme Constitutional Court, functioned as President until new elections were held on the 26th and 28th of May. Abdel Fattah El-Sisi, the former Minister of Defense and Commander-in-Chief of the Armed Forces, was elected President of Egypt on June 8, 2014."

At the local level, there are urban municipalities and village municipalities with local councils. Local popular councils have limited authority and are subject to oversight by appointed local executive councils. Local popular councils are directly elected and half of the councils' members must be farmers and workers. The 1979 Law on Local Government System also regulates local government elections. Councils have between 10 and 24 members depending on the size and level of the local government unit. Candidates deposit nomination papers with

the governorate or local government unit within a period to be determined by the Governor and must pay a relatively modest financial deposit. Voters select as many candidates as there are seats to be elected. For a ballot to be considered valid, voters must vote for at least half the number of candidates as vacant seats (Article 75 bis). Candidates with the highest scores are awarded seats. Their term of office is four years. The results are announced by the Governor.

6.1.1 Key principles and hierarchy between levels

The Egyptian government is organized vertically, with a strong hierarchical structure. Local government is divided into three subnational levels, each with five territorial units, as defined by Law 43 of 1979. A governmental system is in place at each level, consisting of representative councils and government-appointed executive bodies led by governors, district officers, and mayors, respectively. The president appoints governors, who, in turn, nominate lower executive officers. The state machinery is built from the top down, starting with the Ministry of the Interior and ending with the governors' executive. Local administrative units are made up of two major bodies, regardless of their rank (governorates, regions, cities, districts, or villages):
1. Local executive councils
2. Local popular councils

6.1.2 Outlook and prospects

In Egypt, decentralization is one of the measures required to have a truly democratic governance framework. The old Shoura Council (Upper House of Parliament) offered their proposal of a democratic local governance system and reform to the constituent assembly in 2012, which was considered and included in the new Constitution.

The Shoura Council agreed on several key principles to guide local governance reforms, including: a) devolution of authority from the central level to the local level; b) elected Local Popular Councils with full authority and c) the means to supervise the performance of local Executive Councils, including the right to question executive council members and governors and the right to call for a vote of "no confidence" on such individuals. The 2014 Constitution incorporates many of the recommendations of the Shoura Council.

6.1.3 Central level

At the national level, the Parliament passes laws establishing local authority allocations and exercises tight legislative, executive, and taxation/budgetary monitoring.

a) Parliamentary oversight
Members of the People's Assembly have the right to audit popular council meetings, participate in debates, ask questions, make suggestions, and request information; the Minister in charge of local administration is required to submit an annual report to the President of the People's Assembly on the activities and accomplishments of the local popular councils; the Assembly can take the form of a ccommission in charge of evaluating the activities and accomplishments of each local unit.

b) Executive oversight
Local governments are created and disbanded by central authorities, who have the obligation and capacity to do so. Regardless of the established premise of local council election, de facto "the prospect of central authorities proposing certain members has not been prohibited." The President of the Republic appoints the Governors.

6.1.4 . Regional level

The Republic was also divided into seven economic regions by Law 475 of 1977, which had no administrative or political functions[21]. The regions were primarily an area classification for the proper function of State functions prior to 1975. (e.g. security purposes and registration for military service). Currently, the territories have their own legal status.

The governors and the governorate local council have substantial control over smaller local councils at the regional level, particularly at the legislative and budgetary levels. They have the power to approve or reject decisions made by subordinate popular councils. Furthermore, governorate local popular councils have the authority to act in place of local popular councils under the governorate's administration for initiatives that the councils themselves are unable to complete.

Furthermore, governorate local popular councils have the authority to act in place of local popular councils under the governorate's administration for initiatives that the councils themselves are unable to complete.

In terms of finances, any tax increases proposed by a local town council must be approved by the Governor. Furthermore, governors examine and shut the accounts of local councils. They can also challenge decisions made by local popular councils. The official distinction between totally "urban" and "rural" governorates is replicated in the lower levels; in actuality, fully urban governorates have no regions, which were once a conglomerate of villages. They are instead separated into districts.

The governorates of the rest of the country are separated into regions. Egypt has 166 regions, each with its own capital city, perhaps other cities, and a collection of villages.

6.1.5 Local level

Local town and village councils within the district are subject to the scrutiny of district local popular councils, which can approve their actions. They also have authority for a variety of local services that serve more than one local unit within the district. They can also perform other tasks such as proposing the formation of various services of general interest in the district, determining and approving general norms governing the use of the district's assets, and approving the organization of the district's local public services. Town popular councils have supervision powers over urban subdivision councils and ensure that their actions are coordinated. They also have jurisdiction over local services within the constituency of the town or city.

The tasks and powers of urban subdivision popular councils are identical to those of town popular councils. As part of the district's overall policy, village popular councils have responsibility over different local services. Villages are primarily in charge of maintaining security and addressing social and land disputes, as well as irrigation issues.

6.2 Case Study: Context

Egypt's cities are expanding at a breakneck speed. While Egypt has had a lot of success with urban-upgrading projects, the strategic approach in the informal sector needs to be better integrated. The state also confronts difficulties in controlling informal urban expansion and managing planning; Greater Cairo has a population of around 20 million people, with more than 60% of them living in informal urban regions. These are densely populated areas with limited public infrastructure and services. The use of participatory planning instruments to improve the urban planning process is underutilized.

The Egyptian Ministry of Housing, Utilities and Urban Communities (MoHUUC) and the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ) GmbH collaborated on the Participatory Infrastructure Project (PIP), which is an Egyptian-German development project. The German Federal Ministry for Economic Cooperation and Development (BMZ), the European Union (EU), and Egyptian partners are funding and supporting it.

The Participatory Infrastructure Project (PIP) builds on the experience obtained in the Participatory Development Programme in Urban Areas (PDP) since 2010, by further developing tried-and-true techniques and approaches in integrated and participatory planning. Infrastructure-upgrading methods have been used in the PIP interventions to provide hands-on learning experience to the stakeholders engaged in order to improve their delivery of fundamental services. The project focus on infrastructure for water, wastewater, solid waste, education, health, and recreation, which have been recognized as areas of need. The geographical target area includes nine informal communities in the Greater Cairo region, with a population of approximately two million people.

6.2.1 Objective

In the Greater Cairo Region, the creation and operation of basic public infrastructure and related public services upgraded in nine informal urban communities. The competent ministry employed integrated and participatory development strategies that are incorporated into urban development policy guidelines.

6.2..2 Approach

Construction efforts to upgrade local infrastructure were coordinated with capacity building at the governorate and district levels. Participatory planning instruments were implemented, and the existing planning procedures were further enhanced. This was accomplished through the creation of Local Area Development Plans (LADPs). Through involvement in the LADPs, the initiative ensured that local communities are directly involved in the measures. A high level of ownership in the enhanced infrastructures, as well as unique benefits for women and youth, were all the priorities. Furthermore, the project established a Local Initiative Fund to support the activities of local community groups (LIF).

6.2.3 Area of Action

- Implemented around 30 medium-sized infrastructure-upgrading measures in nine informal areas, resulting in improved delivery of essential infrastructure and services. Civilsocietyinvolvementinthesocioeconomicdevelopmentofinformalsettlements. Increasing the capacity of local governments to act, including support for a more comprehensive national policy framework for the development of informal settlements.

6.2.4 Results

- Two experimental Local Area Development Plans (LADPs) were completed in August 2018, and another seven are expected to be completed soon.
- The LADP process resulted in the hiring of an international consultant firm to develop and oversee the implementation of 30 medium-sized infrastructure projects.
- In July 2018, the partner ministry established a Project Management Office (PMO). The project was able to agree on the necessary changes and carry out extra LADPs as a consequence of the tight collaboration with the lead executing agency. Three governorates have also agreed to the framework requirements for project implementation, and local steering committees have been formed.

6.3 Bahary El-Seka El-Hadid – Qalyub

The project is part of the Participatory Infrastructure Project (PIP), which is being implemented by the German Agency for International Cooperation GIZ in conjunction with the General Organization for Physical Planning and the Governorate of Giza to enhance the infrastructure network, roadways, and offer services in three informal settlements in Qalyubeya Governorate. The study focuses on the project's second phase, which entails the development of a Local Area Development Plan (LADP) for -Bahary El Seka El Hadid, Qalyubia Governorate, Egypt.

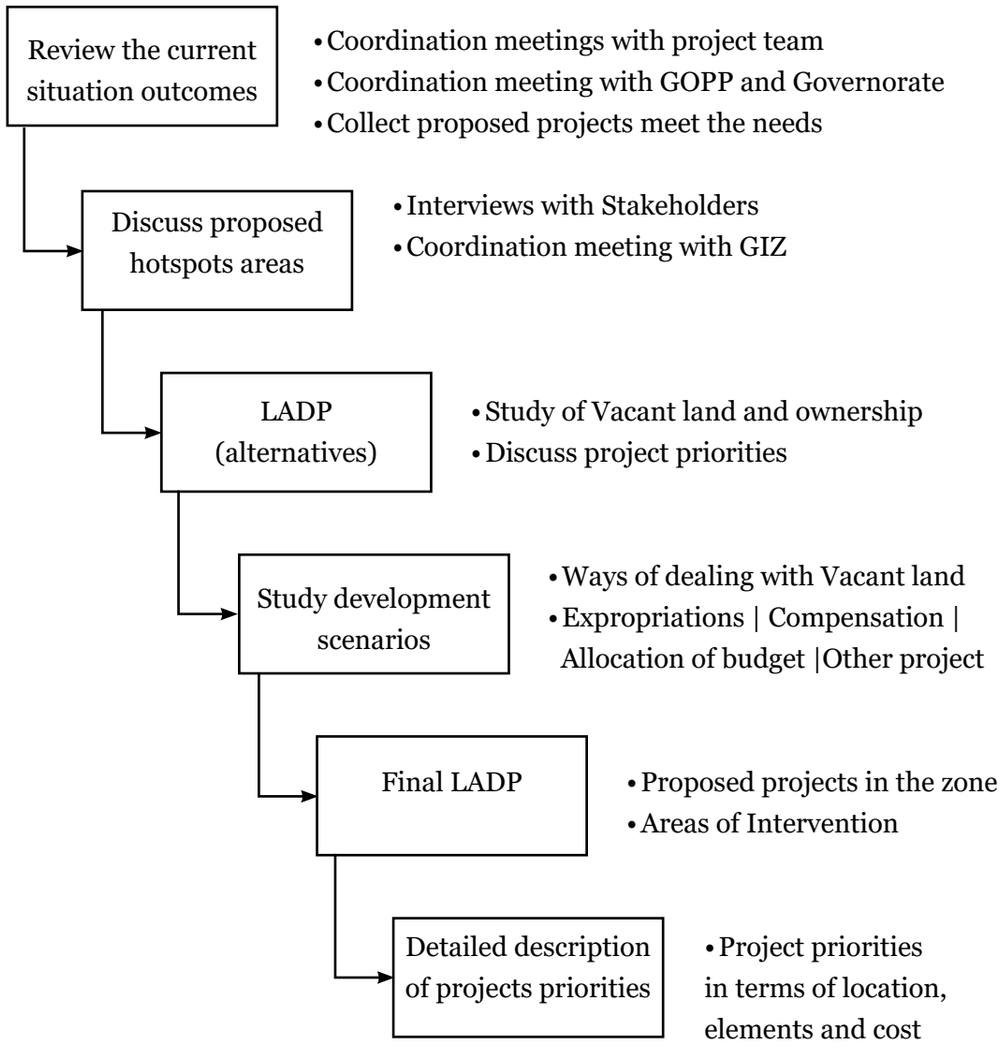
The first phase focused on analyzing the existing state of important sectors that had an impact on the residents' quality of life in the target areas. The LADP will lay the groundwork for development in these areas and will offer a practical contribution to addressing their main challenges through a set of prioritized projects chosen through a participatory process involving all relevant stakeholders in order to achieve sustainable development for the community in terms of social, economic, urban, and environmental dimensions. LADPs must contain actions, analyses, communication, and validation of ideas to meet the needs, expectations, and satisfaction of stakeholders.

It's worth noting that in phase one, the area was divided into homogeneous sub-areas with shared benefits, resources, and difficulties. Phase one ended with the selection of intervention locations (hot spots). As a result, the LADP recognizes and recommends interventions and procedures that improve and seize possibilities for long-term development. The LADP's final document provides spatial maps that chronicle proposals and precise directions for future interventions, as well as a full description of present development projects. It is important to note that the LADP project is a multi-phase process that will assist local governments in implementing proposed projects based on stakeholder priorities, available funding, and land availability.

6.3.1 Methodology to formulate the LADP

This section outlines the recommended technique for formulating the LADP, as well as the development possibilities that must be investigated in order to arrive at a feasible plan. It also suggests a list of relevant priority initiatives. The study

study relies on the involvement of a wide range of stakeholders. The proposed approach and stages for issuing the LADP are depicted in the diagram.



(fig. 14)—Methodology to formulate the LADP *Source: Author*

6.3.2 Mechanisms and Tools of Community Participation

The flexibility with which the community engagement approach deals with impediments encountered throughout various phases of the project and overcomes developing challenges is key to its efficacy. To ensure that all

stakeholders were effectively included, a variety of participatory strategies were used. In addition to maps, visual presentations were employed in training lectures and displaying analyses. On the basis of the participative process, voting forms were distributed to prioritize previously recognized projects.

Workshop 1	Training Session	Workshop 2
Participation Tools	Participation Tools	Participation Tools
Printed Maps Focus Group	PPT Presentation Printed Maps Focus Group Printed Panels	PPT Presentation Surveys Discussions Printed Panels
Target Group	Target Group	Target Group
Printed Maps Focus Group	Representatives of local departments	Representatives of local municipalities & local community
Meeting Description	Meeting Description	Meeting Description
Present and discuss the proposed projects and hot spots.	Prepare stakeholders for participatory process	Select Priority projects

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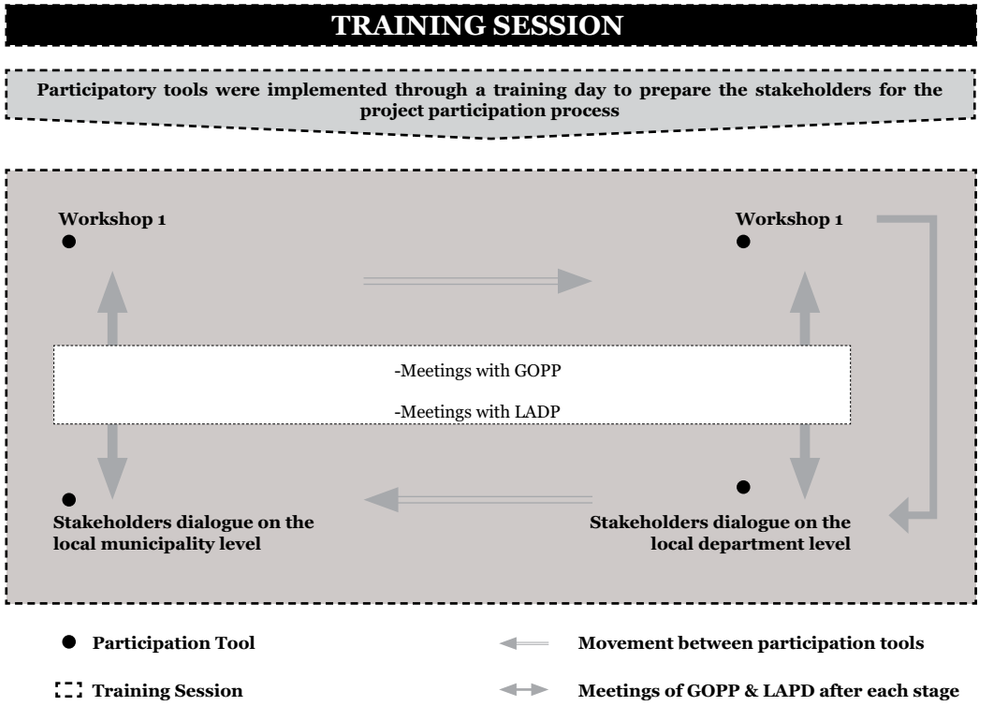
Printed Maps Focus Group	Representatives of local departments	Representatives of local municipalities & local community
Meeting Description	Meeting Description	Meeting Description
Present and discuss the proposed projects and hot spots.	Prepare stakeholders for participatory process	Select Priority projects

(fig. 15)—Mechanisms and Tools of Community Participation *Source: Author*

6.3.3 Meetings and Workshops

Two workshops, one training day, and two stakeholder conversations were part of the participation process. Talks with the LADP committee at the governorate level, as well as meetings with GOPP representatives, were also held to discuss the project's progress:

- The proposed initiatives for the research area and intervention regions were considered in two parts during the first workshop: first with local officials, then with civil society organizations and residents. The outcomes of these meetings were discussed with the Governorate's LADP committee.
- A training day for connected government departments was held to teach them how to conceptualize and understand local area development plans, as well as how to evaluate project effectiveness and importance through role playing.
- A conference with the General Organisation for Physical Planning was held to examine how to incorporate LADPs into the current legal framework; the program's outcomes were discussed with the GOPP vice chairman, and a scenario was proposed to deal with vacant property in the study region.
- A second workshop was held with representatives from the government, civil society organizations, and the local community to choose which projects should be prioritized in each area.
- The LADP committee met in the governorate to assess the local area development plan and discuss any alignments or differences with the governorate plan, as well as the possibilities of supporting the projects through licensing and other administrative facilitation. The available budgets and the feasibility of including any of the projects in the present budgeting were also discussed.
- A discussion with stakeholders was held to collect all basic data for the priority projects in order to ensure that all relevant facts were recognized and that they could be implemented.
- In the governorate, there was a discussion on obtaining any data needed for those projects. A meeting with the governorate's LADP committee will be the final step in the participative process, with the goal of reviewing the local area development plan and obtaining approval and support for the projects chosen at this stage, as well as laying out a plan to implement them.
- Another discussion took place about improving and re-designing the entrance to the study area, which comprises the municipal council's parking and storage, workshops, and stores on state-owned property lots. There was a plan to make better use of these facilities.
- There was a discussion in the governorate about acquiring any data needed for those initiatives. The participatory process will conclude with a meeting with the governorate's LADP committee, with the purpose of assessing the local area development plan and receiving approval and support for the projects chosen at this stage, as well as sketching out a plan for their implementation.
- Another topic of debate was how to improve and redesign the entry to the study area, which includes the municipal council's parking and storage, workshops, and stores on state-owned land lots. There was a strategy in place to make better use of these resources.



(fig. 16)— Mechanisms used in the LADP formulation phase

Source: Author

6.3.4 Meeting of Local Initiative Fund with Civil Society Organisations

The consulting team participated in meetings held by the German Agency for International Cooperation GIZ in the study area in order to reach the maximum number of relevant stakeholders; to benefit from those activities as part of training and qualifying civil society organizations in order to ensure a better quality of life for residents, and to increase their ability to plan for initiatives technically and financially. The following were the meeting's primary activities:

- The discussion began with an overview of the participatory infrastructure program and its fields, as well as an introduction to the local initiative fund, its mission, and goals.
- The proposed initiative, its guidelines, and eligibility restrictions for listing projects related to the local initiative fund received significant attention.
- The requirements of the local initiative fund and the capacity development program, as well as the methods and procedures for applying for the initiative, were covered, with the suggested projects being within the local area development plan.
- Communication with active Civil Society Organizations in the research area, as well as introductions to the local area development plan project and invitations to upcoming workshops, were the key outcomes of this meeting.

6.3.5 Meeting with the Project Management Office PMO

The study areas of the Qalyubeya Governorate were presented and examined in terms of their situational analysis. The governorate coordinator mentioned the planning workshops in certain areas as having aided and confirmed the status quo investigation; nevertheless, the workshops are part of the study's second phase. The project manager emphasized the importance of emphasizing the exercise's lessons learned (LADP) in order to ensure future efficient replication. The project manager also stressed the importance of legalizing local area development plans so that they can be properly approved and included into the legal system. The vice-chairman of the General Organization for Physical Planning was pleased to receive a memorandum to that effect and to call meetings to consider it. One of the outputs of this exercise, according to GIZ members from the LADP project, will be a methodology for local area development planning that may be used to formalize such plans. Some points were raised in relation to the content of the

given proposals:

- The Vice Chairman of the General Organisation for Physical Planning pointed out that the Governorate was responsible for the detailed plans, hence the Governorate should be informed about this.
- The consultant sought land ownership maps in order to look into the possibility of providing services on vacant/unused/brownfields areas through asset transfers or land swapping.

6.3.6 Meeting of LADP Committee at the Governorate

The situational analysis of governorate areas in Qalyubeya was given and debated. The governorate coordinator mentioned the start of planning workshops in certain locations, which aided and confirmed the status quo investigation; nonetheless, the workshops are part of the next step. The results of the situational study were addressed, as well as the endeavor to rely on local advantages, assets, and funding in each location to come up with recommendations that would improve people's quality of life.

6.3.7 Meeting at the General Organisation for Physical Planning

In the presence of the consultant team and GIZ representatives, a meeting was held with the vice chairman of the General Organisation for Physical Planning to review what had been accomplished in the workshops and training, as well as to present the primary list of projects suggested for the local area development plan. The main goal of the 04 meeting was to ensure that the selected projects were aligned and compatible with GOPP's future ambitions. Swapping, consensus, and adequate compensations were discussed throughout the discussion as strategies of dealing with ownership. The LADP's anticipated outcome format and legal status were also reviewed.

6.3.8 Meeting with LADP Committee at the Governorate

A meeting with the LADP committee was convened to showcase what had been accomplished thus far, including the findings of the workshops, planned projects, and LADP debate. The availability of unoccupied lands to accommodate the planned projects, the required implementation methods, needed facilitation, and cooperation between local municipalities and various government ministries

were all discussed during the meeting. The discussion came to a conclusion with some recommendations regarding the importance of supplying lands and obtaining the appropriate permissions for the projects, as well as supporting the mission of the project committees.

6.4 Review of Proposed Projects and Areas of Intervention

Following the situational analysis phase's determination of intervention areas and approaches, the first workshop was held to agree on goals and alternative solutions with the participation of all stakeholders, taking into account the priorities established based on the situational analysis' outputs. The major focus of the meeting was to discuss the local area development plan's goals and potential intervention areas. The day was split into two sessions, each with two sub-groups:

The first group included representatives from the municipal council and other relevant departments. The civic society, which included organizations, residents, and workers in the area, was the second group. This separation was made to ensure that neither group had any influence over the other. The following steps were documented during the meeting:

- A brief presentation to gain consensus on problems and development options for interventions in the area gleaned from discussions held during the situational analysis phase.
- Discussions on the projects with the participants.
- Stakeholders and specialists were grouped into working groups based on their areas of concern or competence, as well as their proximity to intervention areas (hotspots). Those groups narrowed down and discussed ideas in order to come up with a realistic list of high-priority projects.
- Participants were taught how to read maps and urban plans, as well as how to generate ideas and proposals, throughout the conversation.

PARTICIPATORY INFRASTRUCTURE PROJECT (PIP)-BAHARY EL SEKA EL HADID, QALYUBIA GOVERNORATE-EGYP

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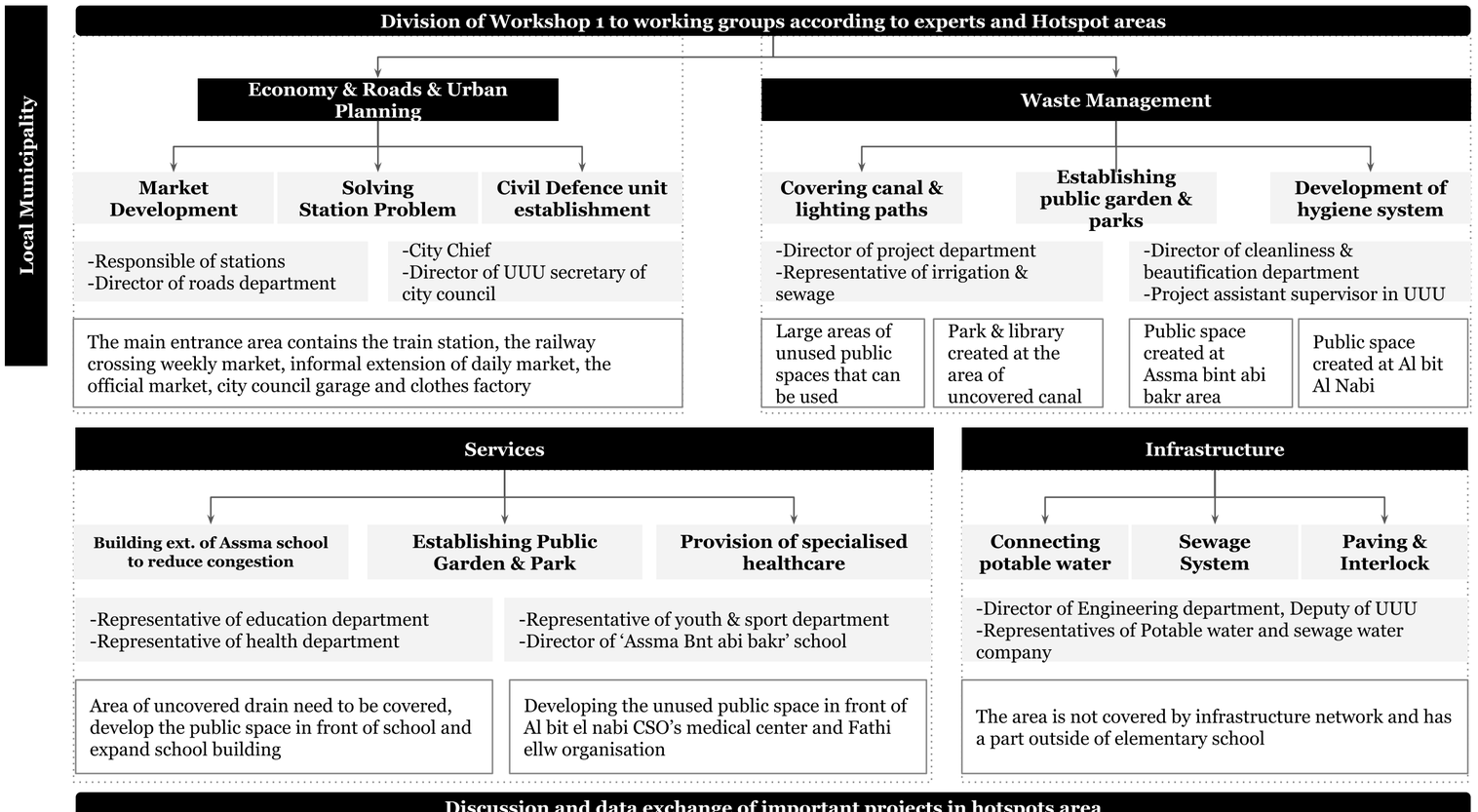
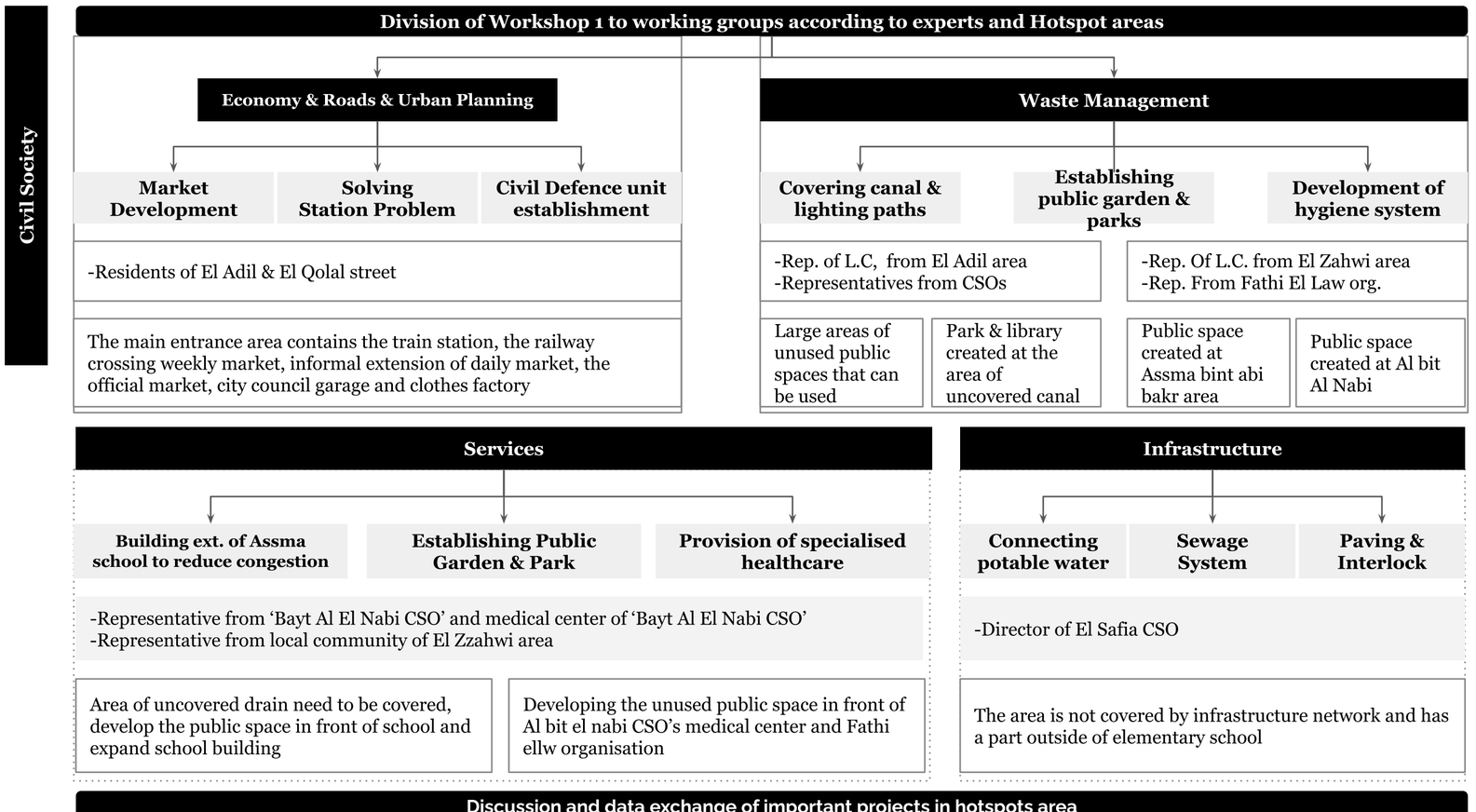


(fig. 17)— Working groups according to hotspot areas in the first part of the first workshop *Source: Author*



(fig. 18)— Working groups according to hotspot areas in the second part of the first workshop *Source: Author*

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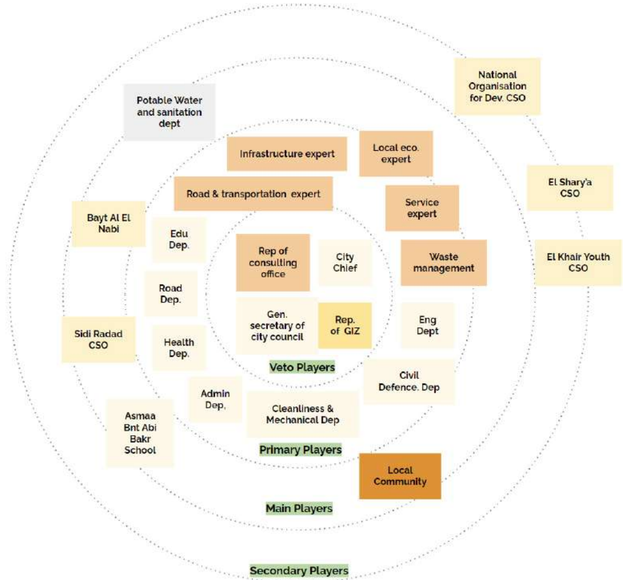


(fig.19)—Stakeholders mapping in the first workshop

Source: Author

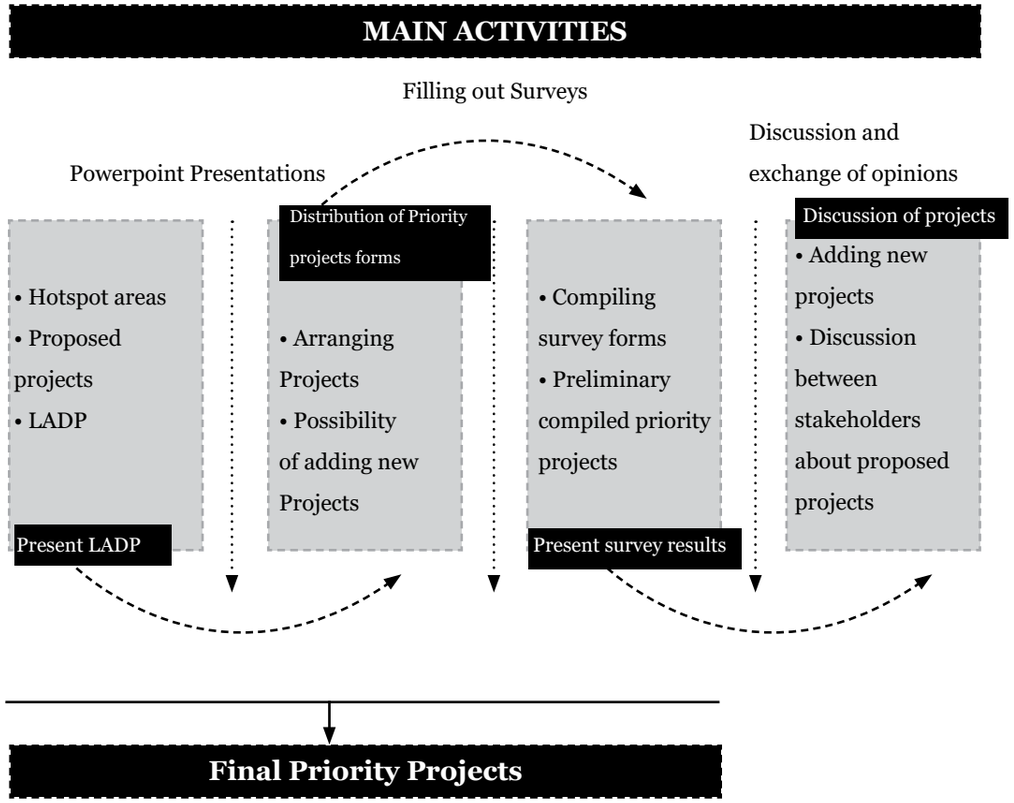
6.5 Identifying Priority Projects and the Outcome of the LADP

Following the identification of the issues and objectives, a second workshop was organized for all stakeholders to identify the projects and listen to their thoughts and requirements. This step is based on the residents' reactions to the proposed projects and the prioritization of the projects. The session placed a strong emphasis on motivating residents and enhancing their capacities and awareness of the participation process.

- The proposals that resulted from the workshops and previous sessions were evaluated alongside the consultants' perspectives on intervention areas.

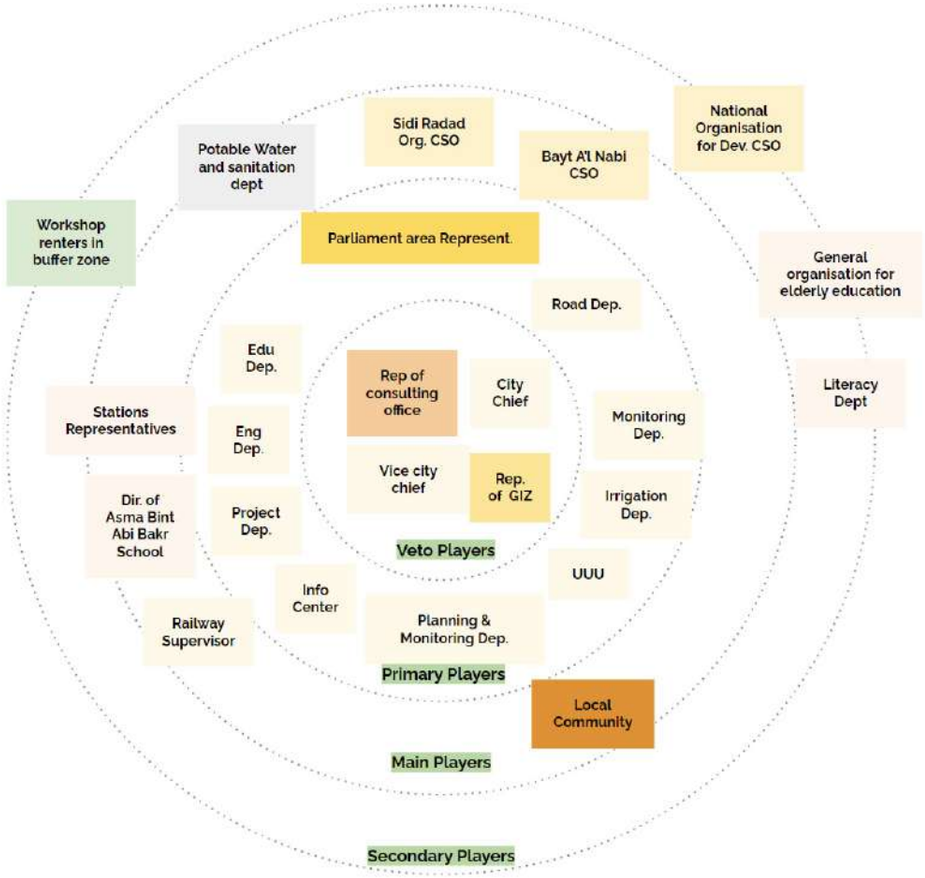
The participants were asked to participate in a group discussion.

- There was discussion among the guests about how to choose priority tasks. People discussed how to deal with certain new major projects as well as details about ongoing projects such as filling the Iskandar drain and upgrading existing buildings in Asmaa Bent Abi Bakr school.
- Forms were issued to workshop attendees to assess the priorities of projects, with the flexibility to add any new project to the list, and to eventually select 15 priority projects based on their needs, in order to identify the list of projects. During the workshop, the consultant team analyzed those forms, and the principal results were shared and discussed.



(fig. 20)—Component of second workshop

Source: Author



(fig.21)—Stakeholders mapping in the second workshop

Source: Author

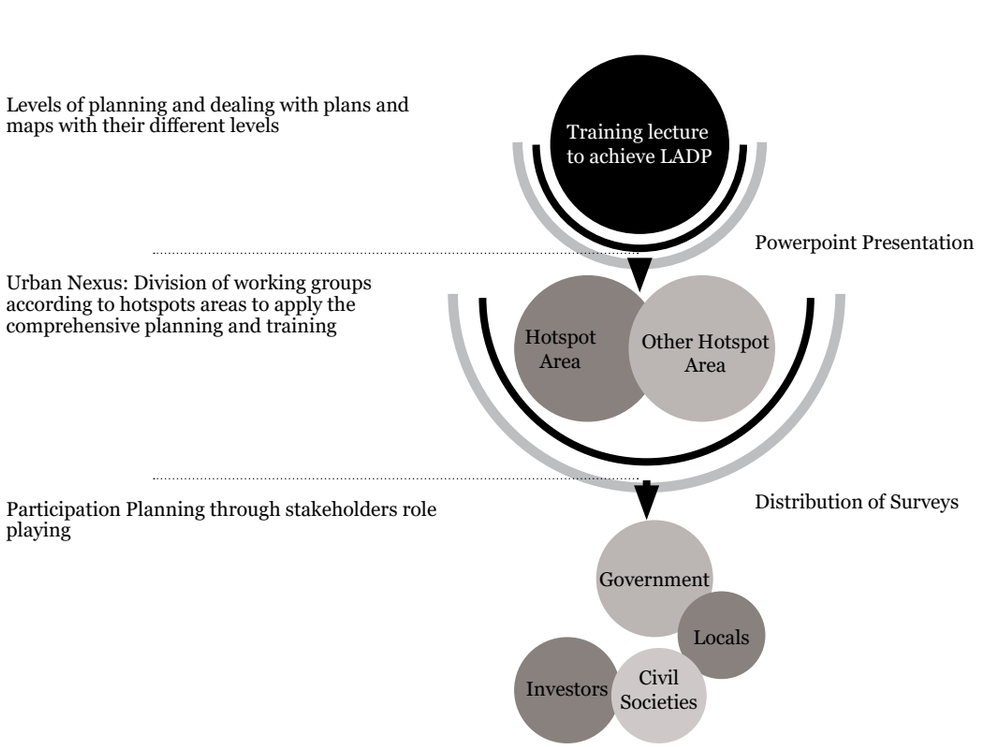
6.6 Training Day for Government Entities

The goal of the training day was to teach government personnel how to prepare participatory local area development plans, with a focus on how to deal with plans and maps, the urban nexus, integrated planning of informal areas, and participatory planning through role playing.

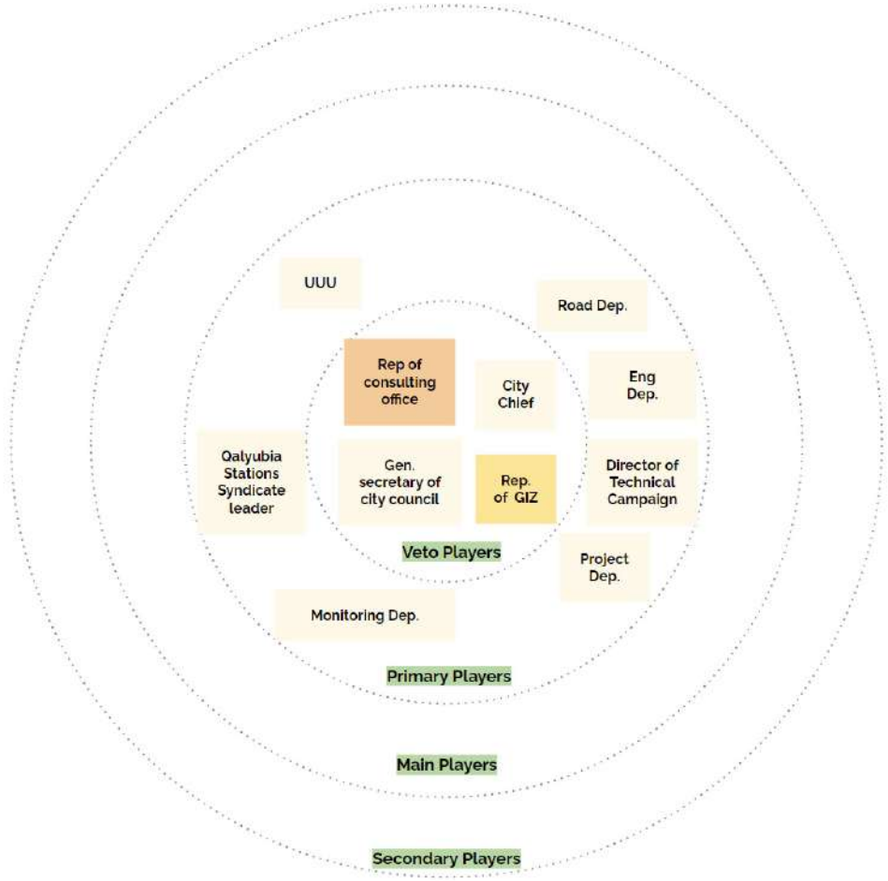
- The first half began with an overview of different planning levels, hierarchy, linkages, and how to deal with plans, with a focus on the participatory local area development plan. The project leader gave a presentation in the presence of representatives from Shubra El Kheima, El-Khosoos, and Qalyub's connected departments. Following that, there was a debate and exchange of views on

planning principles and how to prepare projects for implementation.

- The following section focused on educating departments on the notion of urban nexus and integrated planning in informal areas. To debate and clarify synergies between recommended intervention areas, the guests were divided into working groups based on their expertise and the nature of the intervention area (hot spots). The hotspot with the railway crossing, market, Sanafir factory, and bus stop was chosen as a case study to determine the project's benefits and drawbacks, as well as how the various components affect the surrounding areas and other initiatives.
- Through a role-playing exercise, the guests were separated into groups representing various stakeholders, including investors, residents, local governments, and civil society organizations, in order to train them on how to identify priority projects. Every group represented a different type of stakeholder, and when it came to agreeing on priorities, they all shared the same viewpoint



(fig. 22)—Training plan for governmental employers *Source: Author*

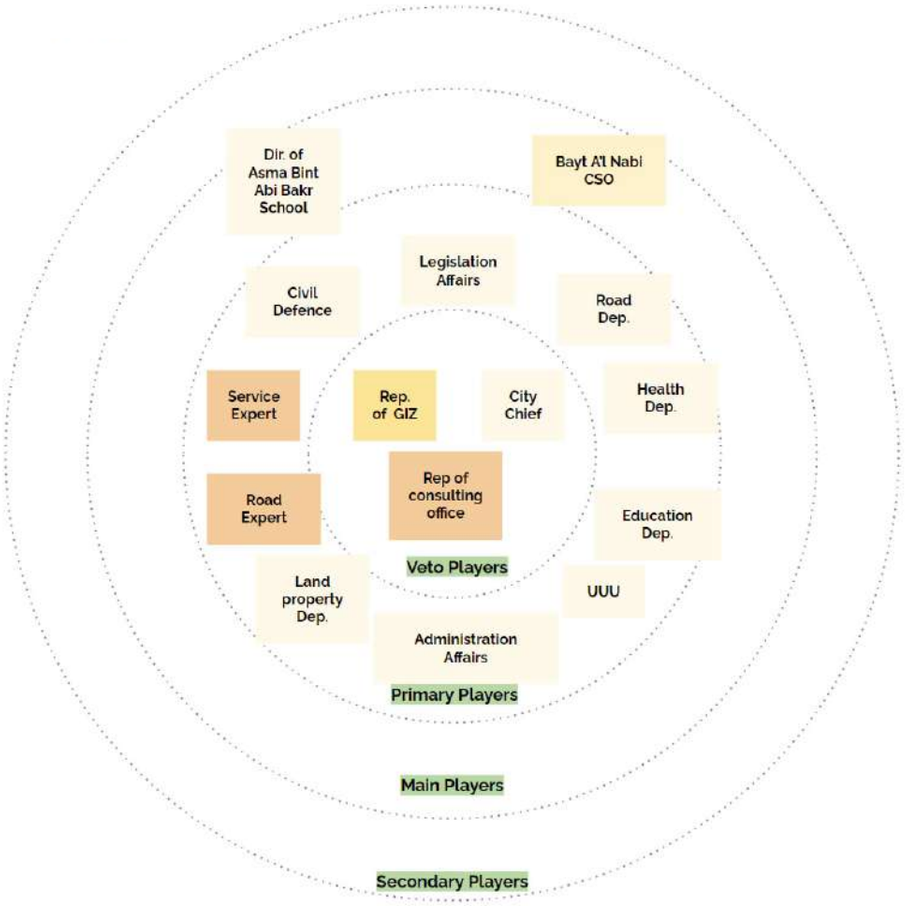


(fig.23)—Stakeholders' mapping for the training day

Source: Author

6.7 Dialogue with Stakeholders at the Local Municipality Level

This meeting aimed to conduct a thorough study of the high-priority projects in order to determine the project's primary beneficiaries, the project's required cost, the required time-interval, operation and maintenance, and other important factors. The conference included representatives from the project's authorities and entities, as well as the project consultant team and specialists relevant to the project and study area. According to what was agreed upon, project identification sheets (PIS) were filled up for the indicated projects.

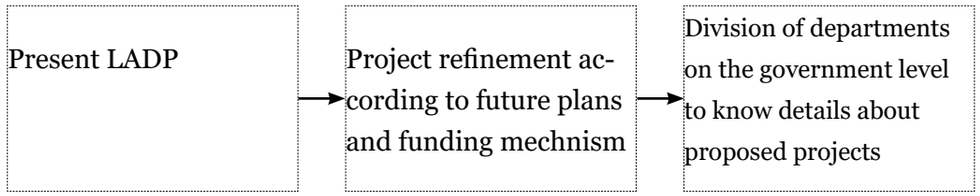


(fig.24)—Stakeholders' mapping in the community dialogue with the local municipality in the city

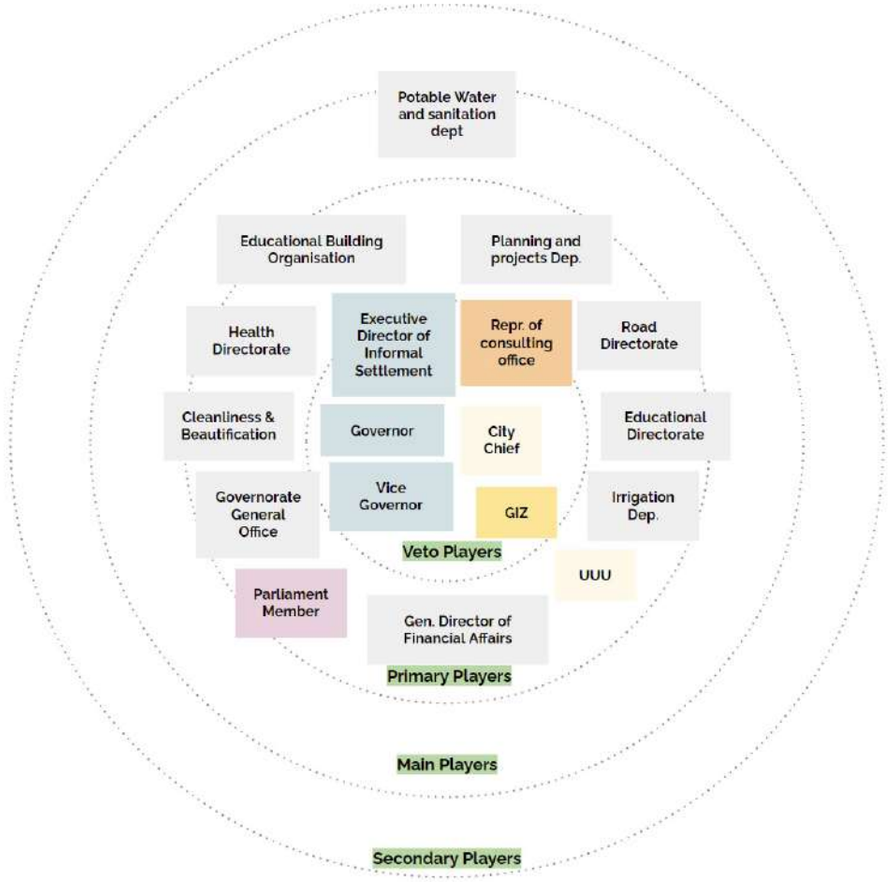
Source: Author

6.8 Dialogue with Stakeholders at the Governorate Departments Level

The Meeting was attended by the project consultant team for the three cities of Khosoos, Shubra El-Kheima and Qalyub. It was divided into three principal parts as shown in fig below:



(fig. 25)— Dialogue with stakeholders at the Governorate departments level



(fig.26)—Stakeholders' mapping in the dialogue at the Governorate departments level

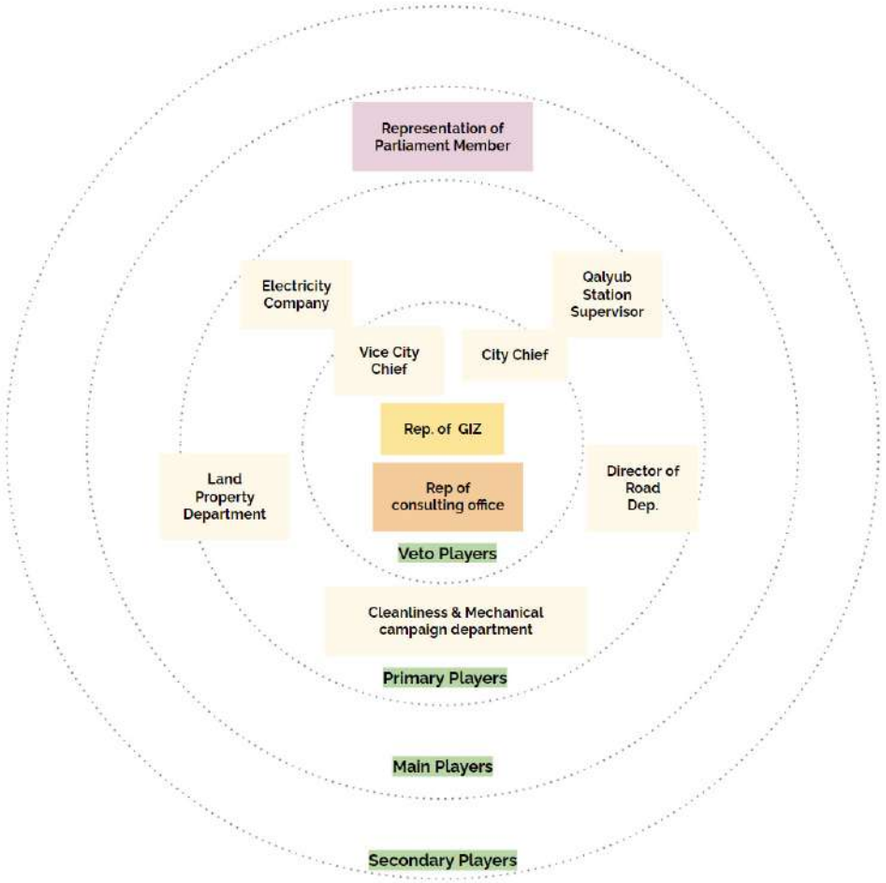
Source: Author

6.8 .1 First dialogue with stakeholders in the City to Discuss the Upgrading and Re-designing of the Area Entrance

A dialouge was held with city departments to discuss the upgrading and re-designing of the area entrance. This was based on a number of proposals from the UUU at the governorate level, as well as governorate officials' trips to the area. This occurred during the examination of the proposed projects within the LADP project by the local municipality in the Governorate. The project consultant team presented various scenarios for making the best use of the study area's available resources and potentials to upgrade it (this includes the municipality's deteriorated garage and storage area, as well as rented workshops and shops

from the municipality along surrounding streets that reduce mobility and cause encroachments).This included the Halaba & Sanafir microbus stops, which were either scheduled to be improved or transferred to the municipality garage and storage area when they were upgraded).

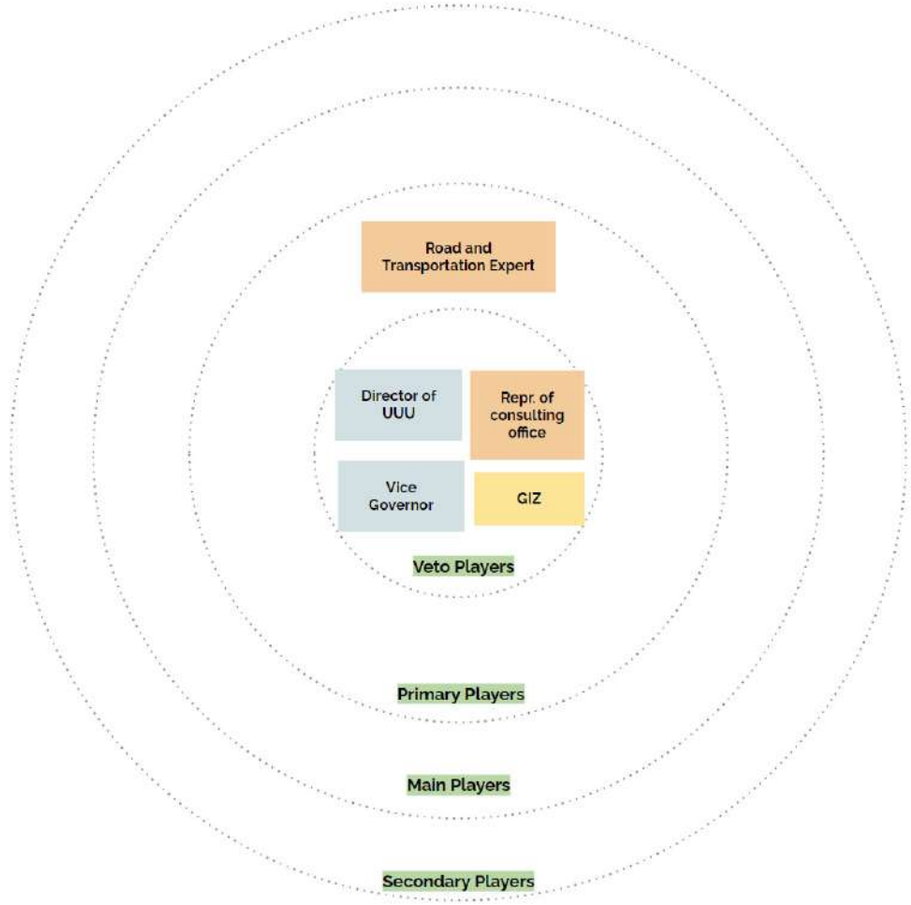
Following that, participants had an open debate regarding the many scenarios suggested. In addition, for each of the proposed scenarios, a force field analysis was performed to identify procedures that might act as roadblocks to implementation or those that are required to make it easier. The project consultant team concentrated on the processes that will be employed to deal with displaced workshop and shop renters. The goal is to ensure that there are alternatives available during implementation so that owners of various economic enterprises do not suffer losses.



(fig.27)—: Stakeholders' mapping in the first dialogue at city for discussing the upgrading and redesigning area *Source: Author*

6.8.2 Dialogue with the Deputy Governor & the UUU Director at the Governorate Level

A dialogue was held with the Deputy Governor of Qalyubeya, the Governorate's UUU director, the project consultant team, and GIZ representatives to discuss the outcomes of previous meeting, which focused on upgrading & revamping the area entrance. The various options for aggregating several microbus stations at the city level in the proposed location were also discussed. It was agreed that no other stops should be transferred to the study area because their routes are unrelated to the study region's traffic flow. As a result, it has been decided that upgrading and relocating the Halaba and Sanafir stops to the new position, after making better use of the available land lot within the study area, is sufficient.



(fig.28)— Stakeholders' mapping in the dialogue with the deputy governor and the UUU director at the governorate level *Source: Author*

6.9 Challenges in the Project

Challenges encountered during the LADP formulation process include data gathering challenges, administrative overlaps and coordination difficulties, challenges in prioritizing projects, and lastly challenges in agreeing on technical details. These problems are in addition to the ones outlined previously in relation to the implementation of the stakeholders' engagement strategy. The following are the most important challenges:

- Some stakeholders did not attend the workshops, which had a detrimental impact on the identification of priority projects due to the lack of input.
- Administrative authorities' functions overlap when it comes to priority projects, making it difficult to communicate between them and define the procedures needed to assure project allocation and implementation.
- Difficulties in coordinating the activities of the various administrative organizations involved in the LADP, resulting in the absence of some administrative entities from the workshops and, as a result, the need for additional workshops at a later date. This had an impact on the projected schedule for finishing the jobs on time.
- Difficulty in fully defining some projects since they necessitate comprehensive technical measures that take longer to validate.

Future Challenges to the Project

The following are some of the anticipated obstacles in the final phase:

- Assuring stakeholders' continuing participation in the selected project's comprehensive design phase.
- Obtaining concrete commitments from stakeholders to carry out the high-priority projects that have been identified.
- Coordination with the local initiative fund to determine the number of projects that civil society organizations can carry out with the funds provided.

In addition, the project will confront a number of problems in the phases following the establishment of the local area development plan, including:

- The LADP's incorporation in the planning system, as well as the necessary legal framework, will become mandatory for a variety of institutions.

- Obtaining promises from landowners to provide the necessary land for the projects.
- Providing the cash required to carry out the suggested projects.
- Coordination and updating of authorized strategic plans to suit the outcome of the local area development plan.
- In order to minimize inconsistencies, collaboration with the current approved detailed plans is required.
- The LADP committee's ability to establish long-term viability and respond to any changes in the area. Finding a way to coordinate the numerous entities involved in the completed project.
- How to administer the LADP to ensure target achievement and long-term impacts after GIZ's technical and financial assistance has ended.

Conclusion

7.1 Conclusion

Participatory planning is still to serve a central purpose in planning policy development, practice and project delivery in Egyptian cities. Over the last decade or so, metropolitan regions across Cairo have experimented with innovative participatory planning processes. Notable examples include the use of large-scale participatory exercises particularly evident in strategic planning project of the including and the predecesseor of Participatory Infrastructure Project (PIP), Participatory Development Project (PDP).

The existing statutory structures, which are guided by legislative obligations, will ostensibly be supported if participation is placed as a fundamental tenet of strategic planning processes. In regards to latter, citizen participation of the kind typically seen in strategic planning is ad hoc at the stage of statutory planning. In other instances of land use and infrastructure decisionmaking, participation is confined to public submissions and hearings in response to a proposed development. The efficacy of those submissions, however, is determined by the respective ministeries and centralised agencies who sets the project reference design and, by extension, the citizen engagement 'brief'. All other participation and engagement with the project proposal are seen to be outside of the remit of the formal process.

When decisions regarding urban infrastructure are made in a setting where little public funding is available, as is frequently the case and in the context

of the PIP project, and infrastructure needs are growing, these decisions have the potential to become the subject of political and civil agitation within the affected communities. However, the rigid and centralised governmental structure of Egypt limits the possibility of such agitations that might arise in different contexts where political suasion is more important to the locally elected governments. The prospects for participation are however reduced by the implementing organization's decision to speed up the procedure in order to guarantee that the project is completed within the estimated time frame.

One of the central issues with the formal participatory approach in PIP was that the public hearing process had to be rushed in order to fit the government's tight schedule as well as those of various ministries and organizations.The participation was likewise restricted to some groups. Although the implementing body tried making every effort to involve all relevant parties, the existing state of public confidence in government officials and departments is not ideal. Additionally, the government representatives (such as city chiefs) are quite resistant to including participation in the process. As a result, the local community was dubious and reluctant to participate.

Participation was only allowed while priority projects were being determined; nonetheless, the government was to authorize the final execution, with the implementing organization having the most sway. Even if agreement was obtained on a particular project through discussions and meetings, the government ultimately had the last say which could be completely opposite to the collectively reached outcome. Instead of choosing medium- and long-term projects, the project sought to choose short-term initiatives with discernible outcomes. (6–12 months to complete the project). The UUU guaranteed the presence of representative units, and the Ministry of Social Solidarity published a list of CBOs and CSOs that are either active or are filtered based on selection criteria which leaves a room for administrative favours and corruption.

While explaining the significant advantages of public engagement, the initiative also offers a litmus test to take into account when allocating resources for such initiatives. Do people care enough about policies to actively engage in them, or would it be better to put resources into implementation instead of participatory processes? Are citizens empowered enough to participate in the process in a meaningful way? Does increased ability for economically driven special interests

to control the decision-making process result from local public participation?

There is a dearth of data demonstrating the value of community involvement in the contexts of centralised governments, in part because of issues with governmental structure and policies that may take decades to win the trust of the community. The prospect of evaluating gradual improvements in the well-being of the general people as they participate more actively in the policy-making process may be even more challenging. Critics worry that locally focused citizen engagement methods may result in a loosening of previously effective regulations, espacially in the context of centralised structred community. The potential wastefulness of the method if it is used in a less-than-ideal community is another worry, which is rarely expressed. Even if the citizen engagement process does not result in loosened restrictions, it may require a sizable investment of resources that could be employed in other ways to produce better results on the ground. Any public policy process should aim for broad public benefit, therefore it is the administrator's duty to weigh the pros and cons of the decision-making process while choosing the best implementation plan, keeping in mind that words are not cheap—and often not even effective.

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إقرار

هذه الرسالة مقدمة في جامعة عين شمس وجامعة شوتجارت للحصول على درجة العمران المتكامل والتصميم المستدام. إن العمل الذي تحويه هذه الرسالة قد تم إنجازه بمعرفة الباحث سنة ...

هذا ويقر الباحث أن العمل المقدم هو خلاصة بحثه الشخصي وأنه قد اتبع الإسلوب العلمي السليم في الإشارة إلى المواد المؤخوذه من المراجع العلمية كلٌ في مكانه في مختلف أجزاء الرسالة..

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نبذة مختصرة

تتعمق الرسالة في دراسة العملية والمنهجيات المعتمدة في مبادرات التنمية لتعظيم/الحد من المشاركة في العملية والتساؤل عن مدى فعالية المشاركة كنهج في مثل هذه المبادرات, وأين تخلق عائقًا في مبادرات التنمية. تبحث الرسالة في تأثير مشاركة المواطنين في الجداول الزمنية للمشروع, ويقارن مسار مستويين مختلفين من المشاركة في مبادرات التنمية مع تحديد ديناميكيات القوة التي تلعب دورًا محوريًا في العملية على المستوى المؤسسي ومستوى المواطن.

إن المبادرات المختارة, لها الوكالة الألمانية للتعاون الدولي (GIZ) كأحد الأعضاء المشاركين المهمين لاستخلاص الاختلافات في النهج الذي تتبناه نفس الهيئة المنفذة في سياقين مختلفين. المشروع المختار في الهند هو جزء من ,,برنامج شراكة المدن الشاملة'' الذي يدعم التنمية بقيادة المستفيدين في ولاية أوديشا في الهند. الهدف من برنامج شراكة المدن الشاملة (ICPP) هو دعم الوزارات الوطنية والولايات والمدن في إستخدام مقاييس تصميمية لإسكان فقراء الحضر بطريقة شاملة اجتماعياً وصديقة للبيئة. يسعى المشروع إلى التآزر مع برامج التنمية الحضرية الهندية الجارية الأخرى من أجل تعزيز التخطيط والتنمية الأكثر تكاملاً للمدن الهندية. دراسة الحالة في مصر هي جزء من مشروع البنية التحتية التشاركية الذي تنفذه الوكالة الألمانية للتعاون الدولي في القاهرة. تهدف المبادرة إلى إنشاء وتشغيل البنية التحتية العامة الأساسية والخدمات العامة ذات الصلة في تسعة تجمعات حضرية غير رسمية في منطقة القاهرة الكبرى. تركز الدراسة على بحرى السكة الحديد ، محافظة القليوبية - مصر.

الكلمات المفتاحية: التخطيط التشاركي ، التنمية الحضرية ، الفقراء الحضريين ، السياسة الحضرية