

**Municipal Administration Modernisation
Project (MAM)**
Syrian Arab Republic
EuropeAid/119822/D/SV/SY



**FOR ACTION PLAN 10
(INFORMAL SETTLEMENTS)**

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EXECUTIVE SUMMARY

There are many reasons behind how our cities look like or behind the reform of the built areas in these cities. As a result of many accumulative factors Syrian cities resulted in the way they are now and they function in very unique style.

These mechanisms include all forces that affect the development process starting from the vision, to the strategy, to the planning to the implementation. The challenging part is really to identify what is lacking and where the problem is. Is it a lack of vision, inadequate planning or using the wrong tools of implementation?

As a result of these complex mechanisms certain areas had been developed in the existing cities with different characteristics, these zones could either be within or outside the planned boundaries. These zones are called “informal settlements” and they are considered undesired zones by the government and the main objective is to take some actions to be able to see the Syrian cities without these settlements.

To be able to achieve this difficult task we should in the beginning identify the main reasons behind these settlements existence, and the main forces that determine the existing pattern of these settlements (for eg. the lack of land available for expansion, the natural growth of the population, the rural – urban internal immigration ...etc) these reasons shall be extracted from the existing situation and the current mechanism that are mentioned above, therefore the project should thoroughly investigate these reasons on three level:

1. The vision and decision making process in accommodating urban development:

We should be looking at the process in which certain decisions are taken, decisions such as where to absorb the increase of the population for certain cities and the amount of investment that the government put to accommodate the demographical change.

2. The planning for this vision

The integrated planning for the above vision could be one of the missing parts that cause this un-desired forms within the cities, this lack of planning could be on the physical, social, investment, environmental, sectoral ,...etc level, for example, if the policy is done in a good way but the spatial zoning did not accommodate the vision, this will definitely lead to a failure in which will cause the un desired parts of the cities

3. The actual implementation of these plan

On this stage comes the –on the ground- implementation problem that also lead to having a deformation in the planned system and which negatively affect the role that the city should play, these weakness n this level could be classified into two groups of factors:

- a) Factors related to the construction and application limits (such as transport plans, services allocation,...etc)
- b) Factors related to the lack of law enforcement (such as breaking the building regulations and law, lack of control on tax payers ...etc)

The above three different levels of mechanisms directly affect the formation of these undesired zones which are called by the government: “informal settlement”

To be able to solve this problem, in the beginning we should identify all dimensions of this problem and all different aspects that make the government, the inhabitants, and any other residents not in favour of having these settlements within their context.

This is not an easy task and should be investigated in details, is it the overload on the infrastructure, is it the bad image of the city, is it social problems, is it the negative effect ton

the surrounding formal settlements? There could be many more reasons that have to be explored further.

Resolving this issue shall be implemented on two levels:

1. a national level

On this level the Syrian counterparts shall be looking at main reasons of existence and how to eliminate these reasons from the development mechanism, towards a prevention from the reborn of other informal settlements.

2. a site specific level

This level is about upgrading the existing settlement and integrate them with the city tissue in a way that allow the city to function effectively and reduce the dependency from these settlements on the other well planned and layer out zones.

Resolving (1, the national level) is through identifying the weaknesses in the development process as mentioned in the previous 3 levels and try to, institutionally, correct the path in which the vision from the higher level of planning take place towards implementation.

Resolving (2, the site specific level) is through identifying the major problems, then tracing the history of these settlements and their reasons of existence is the concern, because knowing the cause of the disease is step one towards getting cured. This should go side by side to developing classification criteria that will very much help to identify the best methods of intervention either physically, socially or economically.

At this stage, this report is going to go rapidly on a methodology towards, on one hand, solving the problem on the national level through developing a national strategy to prevent from new informal settlements and, on the other hand, upgrade and enhance the existing informal settlements to fit within the built form of the existing cities in great harmony.

The two levels of proposals should go through serious of seminars and workshops that involve all stake holders and the public as well, because they will definitely have a better idea on the best methods interventions in their settlements.

Sequence of project intervention:

PART ONE:

(On the national level to prevent from further development or growth of informal settlement)

1. Define informal settlements
2. Characterise the existing settlements
 - 2.1 Urban Form
 - 2.2 Social Pattern
 - 2.3 Services, Utilities & Infrastructure
 - 2.4 Environmental Condition
 - 2.5 Informal Ownership
3. Identify reasons for these settlements existence
4. Analyse the government existing intervention methods
5. Classification of existing settlements
6. Develop a national strategy for the informal settlements

PART TWO

(On a site specific level to upgrade and integrate these settlements with the city urban fabric))

7. steps towards upgrading existing settlements
 - Creating Settlement Profile
 - Participatory planning approach
 - Developed Detailed Legal Plan For The Area

- Fixing Ownership
 - Pilot Plans
 - Identify level of Intervention
 - Introducing services to The Settlements
8. transfer the successes of the experience to other similar areas
 9. training & capacity building
 10. Considerations for Sustainable intervention
 - Identify Community Leaders
 - Creating working groups
 - Participatory Planning Approach
 - Gender Balance
 - Involvement of local authorities
 - Data Management for future GIS

INTRODUCTION

Population growth and lack of affordable housing for the poor had generated a form of housing that functions according to certain standards and some sort of hidden bylaw. This form of housing is very much connected and integrated and the people living their have their own logic in managing their daily life. They might not have enough options but at least it is internally a very coherent and integrated housing system.

This type of housing is externally looked at as a symptom or undesired pattern of living because it is considered an overload on the surrounding community; therefore it is recognised by the government as “informal settlement”

These informal settlements are very well identified geographically as zones of illegal housing and sharply marked on the map, either they are within the existing master plan or not.

This following text is trying to layout the problem, the analysis and possible options for solution and this will be on two parts:

PART ONE: On the national level and this is in the main headings from 1 to 6

PART TWO: On the specific site live and this is in the main heading from 7 to 9

PART ONE

1. WHAT DO WE MEAN BY “INFORMAL SETTLEMENTS”?

Informal settlements are the growth (natural & immigration) for the population that is accommodated around and within the planned areas within the cities in an informal and illegal setup; which creates overload on the urban built environment and services.

These settlements were identified previously by the government and literally named and listed.

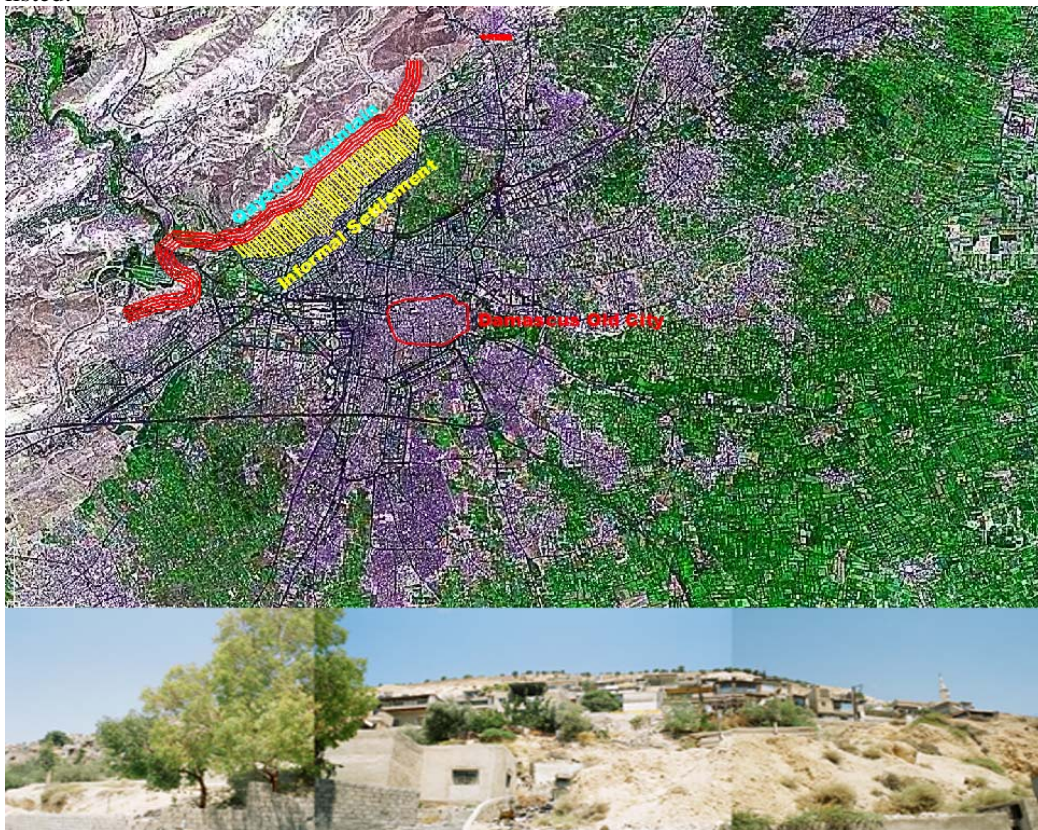


Figure 1 [the upper imagery shows the city of Damascus and the yellow strips shows one of the most significant informal settlements (on the Qaysoun Mountain) where the panoramic view in the bottom is captured]]

2. CHARACTERISTICS OF EXISTING SETTLEMENTS

Although all these settlements were given one name, it is important to recognise that the content of these settlements is not as simple as the term “informal settlement” group them. There are huge and core differences between these settlement in terms of shape, form, structure, daily activities, social pattern, individuals behaviour...etc

2.1 Urban Form

These settlements are usually laid out in an organised long living structure that follows some unwritten bylaws and they usually functions well according to the local resident’s standards and they also fulfil the resident’s basic needs.

The risk of the construction failure especially in the mountainous areas is directly threatening the near by residents families.

This resulted built form is also damaging the urban and architectural scene, because they usually lack the style and affect the visual harmony of the city such as the skyline.

2.2 Social Pattern

Behind this urban built form, comes a very strong and solid social pattern that is very dependant and interconnected in a way that should be looked at as almost a single unit.

In addition to that, these informal settlements do hide a huge complex of social problems such as (illiteracy, unemployment, gender problems, high dependency rate, lack of family planning,...etc)

2.3 Services, Utilities & Infrastructure

Services and infrastructure are in many cases provided by the government (political decision) after including the informal areas within the approved master plan for the city; in other cases houses manage to get some illegal connection to some utilities sources nearby.

As a result of this informal building and illegal connection a risk factor applies here because of the unsafe installation fir these utilities (electricity exposure, building near high voltages towers, manhole inappropriate covers...etc)

2.4 Environmental Condition

As a result of over load on the physical form and infrastructure, and due to lack of legislation and standards in these areas, an environmental problem is very much evident in terms of air quality, water quality, waste management, rodents...etc

The problem of inadequate sewage network and the physical overload of its se cause over floating of the sewage in the streets and the public spaces

2.5 Informal Ownership

As a result of this accumulative development process there has been a mechanism developed informally to identify and manage the land lots within these areas; the circumstances in which these settlements were developed could be described as follow:

- **PRIVATELY OWNED:** The land owner will divide his land into certain amount of shares and each house hold will buy his share from the owner informally, so each individual own a percentage of the entire land lot with no ownership document for this land
- **PUBLIC LAND:** in case the land owner is the municipality or the government, the building process will take place without any fees (just free)



Figure 2 [some samples of the existing situation in the informal settlements]

3. REASONS OF INFORMAL SETTLEMENTS EXISTENCE:

- It mainly appears near urbanised area which have good services (schools, health, transportation...etc), and these urban areas function as a magnet to attract these slum areas.
- Low cost of land in the cities planned suburbs areas
- Rural immigration to cities for better jobs and better quality of life.
- Informal housing is a low cost solution and implemented on phases so it is economically reasonable, effective and convenient.
- No appropriate legislation
- Lack of law enforcement
- Lack of land availability designated as housing zones for low income people
- Local municipalities take too much time to prepare and implement urban planning.

4. EXISTING GOVERNMENT INTERVENTION STRATEGY

The city will usually include the informal settlement within the master plan to legalise it and make it formal area of the city, but this is usually done on paper as a first step. The diagram in figure (3) is a typical example from the city of Homs, where there is a master plan for year 1970 with certain

boundaries (total area of 4200 hectares), however, the informal settlements expanded to get out of this boundaries introducing informal housing around the master plan boundaries (total area of 1800 hectares), then in

year 2000 new boundaries was proposed to include the informal added area and the expected growth of the population and needed services (this city extension area is 3500 hectare)

After including the informal settlement within the master plan of the city, the government tend to intervene in the informal settlements through the following procedures:

- 1- calculate the total cost of the project and that includes:
 - cost of demolishing houses
 - cost of building infrastructure
 - cost of constructing roads
 - cost of the compensation that will be given to the people that will be removed
- 2- develop a list of the residents
- 3- identify the shares of land for each household
- 4- 1/3 to 1/2 of each house hold could go for the government for public services or utilities with no compensation (just free)

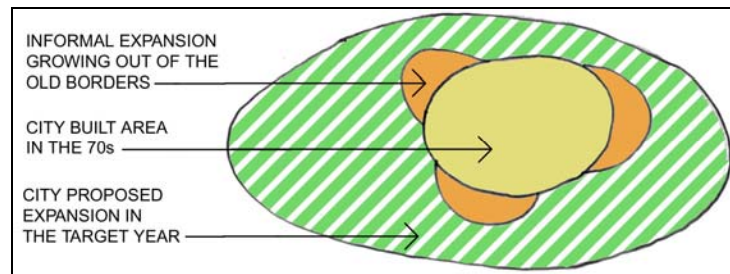


Figure 3 [informal settlements in relation to the old master plan 1980 and the new master plan in 2020]

- 5- After this process some of the inhabitants are not reallocated within this settlement so they get compensation from the government and leave to another area

The diagram in figure (4) shows how the main road in a master plan is integrated through a minor street network and also shows conceptually how the services are integrated and replace some of the residential buildings.

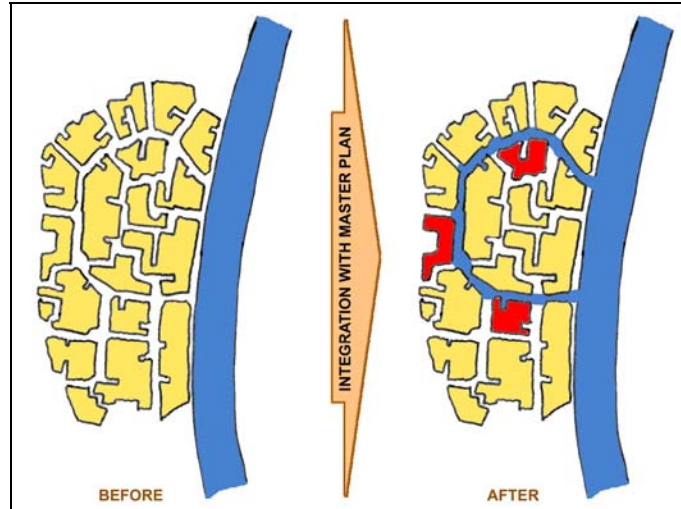


Figure 4 [illustration on how did the informal settlement incorporated in to the new developed master plan]

This process takes a long time and it usually resulted in having another informal settlement because people whom relocate tend to go to another slum area taking with them their culture and social pattern.

5. CLASSIFICATION OF INFORMAL SETTLEMENTS

5.1 Importance of Classification

The classification of the informal settlements helps the decision makers and the land planners identify the best methods of intervention and also the appropriate phasing for this intervention.

5.2 Criteria of Classification

Before talking certain informal settlement, it should be known if the informal settlements are identified by the governorate and then identifying the basis of defining these settlements.

Classify the settlements according to their regional characteristics (size, location, origin,...etc) and also according to their local profile (urban / social / environmental).

This profile could be acquired by doing a survey that target a representative sample of the society.

Survey forms has be developed and should include:

- Urban Survey Forms
- Social Survey Forms
- Environmental survey Forms
- Priority Problem Forms

A survey training need to be conducted prior to the start up and local municipalities should be representative. (a separate detailed concept paper about how to conduct survey within informal settlements is attached as annex to this report).

6. INFORMAL SETTLEMENTS STRATEGY ON THE NATIONAL LEVEL

6.1 Goals:

The main goal is to enhance the living conditions of slum dwellers in the informal settlements and fully integrate the slum area with the city urban plan through a comprehensive and participatory upgrading approach.

6.2 Methodology:

1. Identify the reasons which caused the informal settlement and try to control (redirect) future growth.
2. Stop any undesired further expansion for these settlements
3. Define the target area boundaries
4. create urban and social profile (data base) for the settlement and the inhabitants
5. classify the slum areas
6. investigate through working groups and participatory planning approach the public future vision of their settlements
7. Find out the best strategy to upgrade the settlement either by improving in place or relocation to the urban suburbs as appropriate.
8. develop a detailed plan for the action area
9. Decisions of the future of the settlement (renovating, demolishing, improving ...etc)
10. Developing Master & detailed plan for the settlement.
11. Identify phases of intervention
12. Execute the detailed plan
13. Encourage the real estate investment power to intervene and develop the area.
14. Designate areas & lots in the suburbs for low income class to be built gradually and on slower pace according to this class ability.
15. establishing the institutional set-up
16. building the capacity of local authorities and communities in participatory local governance

PART TWO

7. STEPS TOWARDS SOLVING THE PROBLEM

7.1 Creating Settlement Profile:

The settlement environmental profile is an important stage between planning and implementing or upgrading the settlement because it is the best way of analysing the existing situation and it also identifies the key stakeholders, the community leaders, the potential working groups and the positive support from the community.

It also helps the team leaders to identify the strengths and weaknesses in the community to be able to minimise the conflicts and maximise the potentials.

7.2 Participatory planning approach

Information gathering is thus essential for planning an upgrading intervention. One of the key aspects of organizing participation in urban upgrading is setting up a truly participatory process of information gathering and analysis. The benefits of the participatory process for the collection and analysis of information is:

- To conform a vision of the problems that includes, in addition to technical aspects, the knowledge, views and expectations of the community.
- To transform the local residents into communicators and resource persons.
- To strengthen the link between the population and the project.
- To create trust and establish a working relationship between socio-technical support providers and local residents.
- To help create a core group of community organizers with attitudes and skills they will be necessary throughout the project.

To contribute to the building of an interdisciplinary vision that takes into account the community's diversity and contributes to the compatibility of the proposed solutions.

7.3 Developed Detailed Legal Plan For The Area:

The objective of having this document is to legalise the ownership and layout the best alignment for the buildings after analysing the profile. This legal detailed plan shall include the best ways of accommodating the existing law and also possibly set some come exceptional guidelines to be a vehicle of success for formalising these informal settlements



Figure 5 [changing roads alignments in the proposed legal plan]

The diagram in figure (5) shows an example of how can the legal plan define the new road alignments, in the sketch to the left usually the width (X) is not sufficient for good vehicular movement, installing infrastructure, ambulance and fire fighting vehicles access, ...etc , therefore the legal plan should take into account, while developing the new alignment (Y), all aspects regarding the settlement daily and necessary functions.

7.4 Fixing Ownership

Securing land tenure and fixing ownership is always a challenge in slum areas. A model of “ownership card” should be formed and it should contain the amount of data required to secure the land tenure for the residents.

The GIS system is very useful in this regard because when it is activated the governorate should be using this “ownership card” legally and fully aware of any construction or development within the urban form.

Any change in the household condition should be reported to the governorate to update the system information and therefore the urban management and monitoring works fine

This Ownership Card shall include:

- Name of House hold
- Type of ownership
- Date of registration (if registered)
- Building Use
- Building Height
- Building Structure system
- Building Condition
- Connectivity with water Services
- Connectivity with sewage system
- Connectivity with Electricity
- Small Layout of the building showing its dimension & the location of the entrance.
- Picture

7.5 Pilot Plans:

7.5.1 ON THE MACRO LEVEL

SELECTING PILOT CASES AMONG THE IDENTIFIED INFORMAL SETTLEMENTS

On the macro level it is important to identify the criteria of classification for the existing settlements to be able to understand the nature of each settlement.

These criteria of classification could be based on many socioeconomic / political / natural ...aspects, these aspects will definitely contribute on characterising the settlement, these characteristics could be for example:

- Locational Factors: Topography, Sea side settlement ...etc
- Common activities: such as fishing village or agriculture based community
- Size Factors: settlements could also be classified according their size (area and population)
- Ethnic groups: minorities group could have a specific type of culture
- Reasons of existence: such as immigration from rural areas to urban areas

7.5.2 ON THE MICRO LEVEL

SELECTING THE ACTION AREA WITHIN A SINGLE PILOT PLAN

This is a pilot plan within the informal settlement itself and it is usually implemented in phases, it started by a successful intervention within a certain area then trying to transform this success to the rest of the area. The success of the first action area is a key aspect in convincing the residents of hoe serious is the process and hoe useful it is to them.

7.6 Level of Intervention:

This is about the most efficient way of introducing solution to the informal settlement and it varies as follow:

Physical Intervention

- Enhancement, (painting façades planting, paving, lighting...etc)
- Physical upgrading, (restoration and rebuilding parts of the built form)
- Partial replacement, and
- Complete replacement (usually undesired, and always the last option)

Social Intervention:

That includes capacity building, training, awareness,...etc and all other means of community development and it could be an internal process which is transforming the local knowledge form an individual to another through some encouragement.

PHASING / PRIORITY AREAS

Decisions taken in this stage is usually based on the result of the profile, for example, a priority area will be the area that has

- building with no ownership registration,
- severely in bad condition,
- only one story height,
- built from mud bricks,
- lack services and infra structure

7.7 Introducing services to The Settlements:

To have a complete and integrated development plan the housing upgrading is only a single phase in the process and it is so crucial to develop the services, utilities and infrastructure.

7.7.1 SERVICES

Allocating services within the built form is a challenge because it will eventually mean finding the appropriate land which will lead to replacing some houses and transforming some families from their homes to either inside or outside the settlement.

7.7.2 INFRASTRUCTURE

Allocating infrastructure is another difficult challenge because allot of the existing roads in these settlements are too narrow for the implementation and construction of underground facilities. Construction equipment such as backhoes and excavators can not operate in such narrow streets and this could be resolved in two phases:

a- **SHORT TERM PHASE:**

Implementing the infrastructure manually using local labours and small equipment

b- LONG TERM PHASE

Develop a legal plan that redefines the property edges through out planning for setbacks for the houses that could be achieved through time; this time will depend on the age and condition of the building and also its classification.

Any upgrading takes place within the informal settlement either physical upgrading for existing facility, or introducing a new one, will require the use of the local knowledge or experience or therefore utilising the local residents as assets in the development and construction process is a great plus. Here comes the importance of the participatory planning and involving the local community an all the process from the beginning.

8. TRANSFER THE EXPERIENCE TO OTHER PARTS OF THE SETTLEMENT AND REPLICATE THE SUCCESSES IN OTHER SIMILAR IN FORMAL SETTLEMENT

The main rational of having a pilot study is to be able to replicate the successful parts of it and learn from its weaknesses not to be reapplied in the coming phases.

The involvement of all stake holders and participants in this stage is very essential because this stage could have an huge impact that might extend to some re-evaluation for the national strategy.

9. TYPES OF NEEDED TRAINING

Training will include capacity building for the local stake holders on administrative, technical and financial types as well as training on various skills and roles of leadership, and tools to support urban participation.

- 1- Technical training: on social survey, physical survey, planning, mapping skills ,GIS gathering and analyzing data, executing services and infrastructure Study tours
- 2- Study tours: preferably two study tours (1) to some successful models of similar cases in developing countries, possible idea or South Africa and (2) to a developed country where the locals can visualise and understand and learn about best practices in urban management.
Study tour (1) is more important and should have more priority
Study Tour (2) could possibly combined other action plans as well
- 3- Training on participatory urban planning and management and its supporting tools. Participatory Environmental Planning and management includes various steps starting from the preparation of an environmental profile, identifying stakeholders, identifying main problems and concerns of the community, formulating issue working groups, setting strategies and work plans, preparation of top priority projects, and ending with seeking and mobilizing funds for executing these projects.
- 4- Training on roles and skills of leadership, such as communication, negotiation, overseeing, decision making etc..., this is in addition to training NGOs on building their capacities for organizational outreach and through human resources and financial resource management.
- 5- Training on gender sensitive issues and identify best ways of tackling such problems
- 6- Training on communication with local residents through illustrations, graphical charts, schematic maps...etc

10. CONSIDERATIONS FOR SUSTAINABLE INTERVENTIONS:

The success of these actions (either in part one or in part two) depends on many factors, taking these factors into account may smooth and ease the process of implementation:

10.1 Identify Community Leaders

These leaders are reputable residents from the settlement and they should believe in the process and the solutions so they can influence the local residents. They may also have extremely positive input when talking about national strategy and in the phase of informal settlement classification.

10.2 Creating working groups

Working Groups is a mean in which all stake holders communicate sufficiently, and this guarantees transparency and knowledge sharing

10.3 Participatory Planning Approach

The participation from the locals will be an added value for the process and will bring the real need into the discussion table. One common mistake to avoid is that participation is about generating solutions and possible intervention not providing options for the local to choose from; therefore, and to guarantee more sustainability, it is extremely important to recognise that solutions should be obtained from the local residents and not given to them as options

10.4 Gender Balance

The gender balance in the working group and the participatory process is extremely important, there are decisions related to the intervention that directly touches women and many of these issues are quite sensitive. Therefore, the presence of the woman in the working groups and the decision support panel is necessary.

10.5 Involvement of local authorities

The local responsible authority tend to consider and deal with these settlements in certain manner, and this is a challenge to change, however, involving the local authority starting from high level officials and decision makers to the young professional in the technical office.

The main role that local authorities should help in the beginning is to STOP further buildings, otherwise the process will fail, (in some cases it is against their personal interest because), but it is their job and it is just enforcement for an existing law, which is no building without permit.

10.6 Data Management for future GIS

During the process of intervention on various levels, there will be huge amount of data gathered from many sources, it is important and more sustainable if this data (mainly the settlement profile) is documented, and managed in way that could be integrated in GIS in the future, so there is repetition for the effort or duplication of the work in case the system had developed and become on GIS.

For example, the area will be divided into zones (A,B,C,D...), and each zone will be divided into blocks (1,2,3,4,...) and each block will be divided into individual buildings (1,2,3,4..) and the building code will start with the first three letters of the settlement name ("Hay-Teshreen" for example)so the first building code there will be will be "TES/A/1/1".

Considering GIS here will rename this code to TES_A_1_1, because GIS reads a () better than a (/).

In addition to the above, these buildings codes also help giving names to streets and numbers to building which helps very much in the legalising process

10.7 Ideas of using Local Human Resources:

10.7.1 USING LOCAL ARCHITECTURE STUDENTS

Local architecture students (preferably whom live in informal settlement) could have a positive participation in the development process, they may be approached through the university or the ministry to encourage them to put an overall vision for the urban context

taking into account their non-physical factors such as the social structure and the existing environmental problems. Their output should reflect the basic needs and priorities of the local residents and their main challenge will be how to accommodate these challenges within the legal framework.

10.7.2 USING LOCAL CIVIL ENGINEERING STUDENTS

Civil engineering students could also participate in this development process through creative ideas about best practices of achieving implemented physical intervention on one hand regarding the interventions in building structure (renovation, add more stories, layout modification...etc), and on the other hand, develop implementation ideas for constructing infrastructure and utilities. Their output should take into account the existing narrow roads, the utilisation of existing infrastructure which is already an investment put in these settlements.

10.7.3 USING LOCAL SKILLS IMPEDED WITHIN THE SETTLEMENT

With some incentives, local residents could utilise their personal skills in positive contribution to the existing development through actual working or training, and the following are some examples of utilising this local knowledge:

- Workers in the field of construction could support the improvements of the facades and all type of construction within the settlement.
- Women who have local skills (sewing, typing ,..etc) could also participate or teach other women within the community)
- Technical skills such as (carpenters, blacksmiths...etc) could help in the renovation process of existing facilities such as schools health units, social clubs,...etc
- School students could help in planting in and in front of their schools, this will contribute to, in one hand, the beautification of the settlement, and on the other hand, will contribute environmentally if well selected, for example to increase air quality, reduce electrostatic, reduce rodents,...etc)

The incentives for this should run through some mechanisms such as a ht meal for the students, or maybe some little financial rewards to the successful candidates.

10.7.4 INTERNATIONAL COMPETITION

This is an idea that could be used when a complete design scheme is needed for a new area in the urban planning or also if a complete replacement for certain area is needed in informal settlement. It is simply about giving the urban and social context in a small booklet where international expertise and organisations from all over the world may develop ideas and concepts, and then a first & second prize is given to the best two solutions.

The success of this process requires flexibility and understanding of the local conditions, if some obstacles arise during the process, a quick and effective alternative solution should be developed to sustain the achievement. Local people tend to ask and demand allot during the process. It is also important not to raise the locals' expectation and stick to the reality keeping in mind the berocracy and the complex procedure to get actions done.

Successes should be transformed to other similar areas and failures need to be studied thoroughly to be a "learning while doing" and to be beneficial to all contributors.

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**ANNEX (1)
SURVEY CONCEPT PAPER**

**FOR ACTION PLAN 10
(INFORMAL SETTLEMENTS)**

INTRODUCTION:

The project directed its efforts to poverty reduction through urban development and capacity building. Throughout the project will be looking at how the capacity of the local authorities could be built in participatory Environmental Planning and Management as well as in GIS.

The project should focus on the selected informal settlement as pilot cases to introduce the participatory approach in upgrading.

The informal housing in the selected areas should be amongst the poorest within the 6 cities.

PARTICIPATORY INFORMATION GATHERING & SURVEY:

Urban development projects that aim for the improvement of shelter and infrastructure require—as a first step—the description of the settlements under consideration, and a diagnosis of their problems. The lack of organized information on practically any subject is a key defining feature of the informal city.

Information gathering is thus essential for planning an upgrading intervention. One of the key aspects of organizing participation in urban upgrading is setting up a truly participatory process of information gathering and analysis. The benefits of the participatory process for the collection and analysis of information is:

- To conform a vision of the problems that includes, in addition to technical aspects, the knowledge, views and expectations of the community.
- To transform the local residents into communicators and resource persons.
- To strengthening the link between the population and the project.
- To create trust and establish a working relationship between socio-technical support providers and local residents.
- To help create a core group of community organizers with attitudes and skills they will be necessary throughout the project.
- To contribute to the building of an interdisciplinary vision that takes into account the community's diversity and contributes to the compatibility of the proposed solutions.

SURVEYING COMPONENTS:

a) Physical Survey

The physical survey covers all the layers describing the urban fabric, these include:

- the land uses
- the building heights
- the building conditions
- the building methods and material of constructions

These layers together construct the urban profile for the selected areas and help identifying existing problems and describing the existing condition

b) Socio-economic Survey

This survey is more qualitative than the above one, it requires more subjectivity; the nature of this survey is based on the surveyors them selves, however, a minimum requirements is needed to guarantee the sufficiency of the work produced.

The surveyors need to be extremely subjective, smart, sensitive and they have to have a good knowledge about the area and a great communication skills. Intermediaries between project

promoters and beneficiaries are perhaps the key component of the link between the development project and the social process that needs to be created for participation to succeed.

This survey shall cover points that are related directly to the people such as:

- Income,
- Lifestyle,
- Education,
- Social Habits,
- Employment,
- Marriage & Divorce cases, and
- Gender Issues.

c) Environment & Infrastructure

The survey in this section will mainly focus on environmental issues that are a result of the lack of infra structure; this will include the waste water and the solid waste.

The survey will look at

- Connectivity of pipelines
- The garbage collection techniques (if there is any)
- The road conditions

d) Priority Problems

The objective of including this survey is to identify the problems and the priorities from the local residence point of view. The problems shall be classified to physical, social, economical and environmental. Each problem shall be dealt with separately but within the holistic vision of developing the area.

SURVEYING PRINCIPLES:

The surveying team should be composed of an integrated group, it is highly recommended for each surveying group to have:

1. A surveyor, to collect and document the data collected and also to question the people and gather the social information
2. A local resident (to mediate the relation between the surveyors and the local people, he should facilitate the survey and give trust to the people, therefore he should be a reputable person in middle age)
3. An architect, engineer or a planner (to be able to preliminary describe the urban fabric such as the building conditions, structure ..., the road conditions ...etc)

Each group of surveyors shall work in the day time in the field collecting the needed information then after that do the related office work and entering the data in the selected digital format.

NOTE: minimum a female surveyor should be in the team as one of the above team players to smooth the penetration of the families and getting the information with preserving the privacy and assure honest communication with families

SURVEYING TRAINING:

1. TRAINING:

The training for the participants shall cover all aspects related starting from the preparation till the final stage.

Participants shall understand the following:

- The objective of the survey.
- Methods of gathering the information
- The know how of collecting the data.
- The documentation for the recorded data
- Double-check for the data collected.

The training provided should have the community leaders who will be the mile stone and the encouragement Rosetta stone which will be followed by the residents.

2. DURATION:

The duration of the training will be 3 days , a day in the office where the trainees will get direct instruction on the job that they will be doing , in addition to that another two days in the field to examine their abilities in the survey and to test the quality of output that they will offer.

The duration of the survey will be about eight months to guarantee the efficiency and the completion of the output.

3. TRAINERS:

Urban Planning & Development Experts

4. TRAINEES:

- **UPGRADING SURVEYORS:**

This team will consist of the data gathering people (that include the social as well as the physical aspects)

- **PARTICIPANTS FROM LOCAL GOVERNORATE:**

Building Surveyors from the local governorate who will participate in the updating of the base maps

- **COMMUNITY LEADERS:**

This team will consist of the local residents who will participate in the field work, in addition to some of the key leaders who will facilitate the surveying process later.

OBJECTIVES:

1 URBAN OBJECTIVES:

- Determine the structure of the existing land uses and its distribution in the selected action areas.
- Identify the structural composition of the physical urban tissue, that includes the building heights, structure, the modes of transportation, road networks...etc
- Identify the common urban pattern and the typical foot print if there is any.
- Define the main physical problems that are directly related to the urban fabric.

2 SOCIO-ECONOMIC OBJECTIVES:

- Identify the demographical characteristics for the residences
- Identify the basic needs and requirements for the household
- Define the financial status for the family and its minimum required income.
- Identify the ability for participation in the development process and the strengths and weaknesses for the local population for the selected slum areas
- Identify and define the problems from the users' point of view and the local residence vision to solve these problems.

- Identify the woman role in the development process and her possible contribution in the public participation.

**Municipal Administration Modernisation
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ANNEX (2)
SURVEY FORMS

**FOR ACTION PLAN 10
(INFORMAL SETTLEMENTS)**

Social Survey Form

Name of the area: _____, Name of the Engineer: _____, Form No: _____

Area: A B C D E F _____, Parcel No: _____, Unit No: _____

Family' Data(concerning those who are currently home)

	Name	Sex	Age	Place of Birth	Period of Stay	X-Residential Place	Family Status	Education	Current Work	Skills	ID	Electi on Card	Health Insura nce
1													
2													
3													
4													
5													
6													
7													
8													
9													
10													
11													
12													

In case they are removed from another city or area

Raison of removal

Being close to the Work

Being close to the Key Services

Other

Data about the residence

Could you reach it by car? Yes() No()

How many floors		Age of the building	
How many rooms		How many Units in the building	

Is there an independent kitchen? Yes() No()

Is there an independent bathroom? Yes() No()

Drinking water resources

From a tap at home Other resources

Drainage

Public drainage network Sanitary pits Other

Construction materials

Stone Brick Wood R.C Other

External walls covering material

Roughcast Plaster Other

Internal walls covering materials

Cement plaster Other

Economic Situation Data

Spending average per month				
Income average per month	Good	Moderit	Weak	

Building Ownership

Residential unit ownership	Ownership	rent	Occupation	Other
----------------------------	-----------	------	------------	-------

Workshop Yes() No()

Commercial Yes() No()

If yes, please specify the Commercial activity

Agricultural lands Yes() No()

If yes, what is the area of the land?

Built lands Yes() No()

If yes, please specify the built area

Consumation equipment

Do you have any of the following?

Radio Yes() No()

TV Yes() No()

Oven Yes() No()

Washing machin Yes() No()

Refrigerator Yes() No()

Car Yes() No()

Rented car Yes() No() Cap??

Carpet Yes() No()

Satellite Yes() No()

PC Yes() No()

Waste (Trash)

Do you have problems concerning the waste treatment (trash)? Yes() No()

what is the way to treat the trash?

How do you pay so the Trash will be collected?

Social Participation

do you have an idea about local association in the area?

If yes, what kind of activities are provided by these associations?

Are you or anyone of you family a member of such an association?

If yes:

What is the way you may participate through?

Financial support

By your experience

By your effort

Searcher remarks

Problems and Priority Projects Form

The name of the village:

Name:

Age:

Function:

Are you living in a village: Yes() No()

If yes, since when do you live there?

In your opinion; What are the main problems in your village?

The Problem	How important is the problem			Limit of influence		Remarks
	Key problem	Secondary Problem	no real influence	The whole village	Some specific areas	
High level of Ground Water						
Urban Extention						
Sanitary						
Water Supply						
Electricity Supply						
Pollution Resources						
Shortage of Educational Services						
Shortage of Health Services						
Shortage of Social Services						
Cleaness Level						
Difficulty for Ambulance to reach places due to the narrow streets						
Other, please specify						

What are the urgent demanded projects in the village? Please put them by priority:

Proposed Project	The Site	The Priority	
		1st	2nd

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**ANNEX (3)
MEETINGS**

**FOR ACTION PLAN 10
(INFORMAL SETTLEMENTS)**

Meeting No.: 1
DATE: 25 July 2005
Time: 12:00 – 15:00
CITY: Damascus
LOCATION: Ministry of local Administration
MEETING WITH: Dr. Nabeel El Ashraf (Assistant of Minister of Local Administration)

ATTENDEES: Peter Jonquire, Richard Cantwell, Amir Gohar, Kareem Edrisi
MEETING ABOUT: Introductory to the local Syrian planning and trying to gather the needed information about the related cities.

Meeting No.: 2
DATE: 27 July 2005
Time: 09:00 – 12:00
CITY: Tartus
LOCATION: Municipality of Tartus
MEETING WITH: Amin Ismaail (Head of technical department) & Fawzi Sheikh Deeb (Director of urban planning department).

ATTENDEES: Amir H. Gohar, Richard Cantwell, David Michelmore
MEETING ABOUT: Introductory to the existing condition in Tartus in terms of urban planning, maps and GIS

Meeting No.: 3
DATE: 27 July 2005
Time: 12:30 – 15:00
CITY: Tartus
LOCATION: Old City of Tartus
MEETING WITH: Mary Yazigy & Nabil Akra
ATTENDEES: Amir H. Gohar, David Michelmore
MEETING ABOUT: Introductory to the old city management system and walking through the city to see the existing situation

Meeting No.: 4
DATE: 28 July 2005
Time: 08:30 – 12:30
CITY: Damascus
LOCATION: Old City of Tartus
MEETING WITH: Tarek El Nahhas (head of permissions authority), Beshar Barri (head of the documentation authority), Aya Abushami (Head of the old city municipality, Rim Abboud (Arch. & Following up department)
ATTENDEES: Amir H. Gohar, David Michelmore, Richard Cantwell, Kinda , Ilio
MEETING ABOUT: Introductory to the old city management system and the existing ways of documentation and data collection

Meeting No.: 5
DATE: 01 August 2005
Time: 10:15 – 12:00
CITY: Homs
LOCATION: MAM Office in Damascus
MEETING WITH: Nedal El Sofi
ATTENDEES: Amir H. Gohar, Richard Cantwell, Peter Ross, Kinda
MEETING ABOUT: Over all existing situation about Planning in Homs.

Meeting No.: 6
DATE: 03 August 2005

Time: 10:15 – 12:00
CITY: Damascus
LOCATION: MAM Office in Damascus
MEETING WITH: Hossam Safadi, Tarek Al Asemi, gheyath Fatini and Amal Haddad
ATTENDEES: Amir H. Gohar, Richard Cantwell, Peter Ross, Kinda
MEETING ABOUT: Metro Proposals in Damascus.

Meeting No.: 7
DATE: 01 August 2005
Time: 10:15 – 12:00
CITY: Damascus
LOCATION: Directorate of traffic
MEETING WITH: Amal Haddad
ATTENDEES: Amir H. Gohar
MEETING ABOUT: develop the PowerPoint presentation before presenting it in europe

Activity No.: 8 Visit to Homs
DATE: 05 August 2005
Time: All Day
CITY: Homs
ATTENDEES: Amir H. Gohar, Elizabeth Simon, Mariana Abrantes, Alex Postema

Activity No.: 9 Visit to Aleppo
DATE: 06 August 2005
Time: All day
CITY: Aleppo
ATTENDEES: Amir H. Gohar, Elizabeth Simon, Mariana Abrantes, Alex Postema, Johan Bentinck

Meeting No.: 10 Presentations about Lattakia
DATE: 08 August 2005
Time: All day
CITY: Damascus
ATTENDEES: All MAM Staff

Meeting No.: 11 Meeting with the Minister of Local administration & Environment
DATE: 17 August 2005
Time: 19:00 – 23:00
CITY: Damascus
ATTENDEES: MAM Planning group

**Municipal Administration Modernisation
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ANNEX (4)
WORK PLAN

**FOR ACTION PLAN 10
(INFORMAL SETTLEMENTS)**



MUNICIPALITY ADMINISTRATION MODERNIZATION PROJECT

Overall Work Plan

Project title : Municipality Administration Modernization		Project number : MED/2004/6264		Country : Syrian Arab Republic		Page : 1															
Planning period : 1 September 2005 to 31 December 2008		Prepared on : 31 August 2005		Contractor : IMC																	
ACTION PLAN OVERALL OBJECTIVE :																					
No	MAIN ACTIVITIES	TIME FRAME																INPUTS			
		2005				2006				2007				2008				PERSO-NNEL			
	ACTION PLAN N°: 10	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	Int.	Loc	CP	
PART ONE – TOTAL DAYS (137 Int.) & (35 Loc) & (198 Counter Part)																					
	1. Defining informal settlement																	10	2	60	Get an approved definition by high-level officials and decision maker that is apply on all informal settlements
	2. Characterise informal settlement																	20	8	120	A two week study tour in the middle of this process will be extremely sufficient (to some successful models, maybe India or south Africa). (see Note.1)
	3. Identify Real reasons of existence																	12	7	60	Through a comprehensive workshop involving all stakeholders and key players
	4. Map-out some models of he government intervention																	30	3	120	Should be done with people in local authorities as on-job training on GPS usage and mapping techniques
	5. Classification of informal settlement																	55	17	120	Classification criteria should be identified in (2) and the real classification done in this stage
	6. Enhance the developed national strategy																	10	4	60	After going through the previous process, this point is a rapid assessment for the national strategy and maybe little bit of modifying
BART TWO – TOTAL DAYS (263 Int.) (45 Loc) & (394 Counter Part)																					
7. steps towards solving the problem:																					
	7.1 creating the settlement profile																	60	22	800	Survey, data entry, creating base map for the selected settlement
	7.2 public participation Developing detailed legal plan																	22	12	60	In consultation with planners from the local authority whom participated in the study tour and the survey (see Note.2)
	7.3 fixing ownership																	18	6	60	Working closely with the legal side of the planning within the MLAE



**MUNICIPALITY ADMINISTRATION MODERNIZATION PROJECT
Annual Work Plan**

5.

Targets & Activities	9	10	11	12	1	2	3	4	5	6	7	8	9	10	11	12	PERSONNEL			OUTPUTS	
	2005				2006												Int.	Local	C/P		
Approve the definition																		10	2		
Characterize the informal settlements																		20	8		
Reasons of existence for each group																		12	7		
Document government intervention on policy level																		10	1		
Document government intervention on planning level																		20	2		
Classification informal settlement																		55	17		
Enhance the existing national strategy																		10	4		
Creating the settlement profile																		40	15		To be completed in the following annual plan