

INCLUSIVE AND SUSTAINABLE  
URBAN PLANNING:

# A GUIDE FOR MUNICIPALITIES

1

VOLUME  
One

Volume 1:  
An Introduction to Urban Strategic Planning

UN  HABITAT

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URBAN PLANNING:**

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One**

**Volume 1:  
An Introduction to Urban Strategic Planning**



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A final word of thanks to all programme staff for their engagement in preparing this series of publications.

## Foreword

The world has seen a significant rise in the number of conflicts and an intensification of their impacts, over the last few decades. UN-HABITAT has responded swiftly and effectively to these situations, whether in the Balkans, Iraq, Afghanistan, Somalia or Sudan. One of the key areas of UN-HABITAT intervention and assistance has been institutional development and capacity-building in post-conflict situations, where conflict is often characterized by a breakdown of governance institutions and anarchy in human settlements reconstruction and redevelopment. UN-HABITAT has played a key role in the Balkans, especially in Kosovo, in restoring urban governance practices and introducing new local development planning process.

UN-HABITAT has been engaged with the central and local governments in the Western Balkans through several interventions, most of them focusing on strengthening processes of participatory governance. The Urban Planning and Management Programme (UPMF) in Kosovo was a path-breaking intervention where UN-HABITAT worked closely with both central and local institutions to support the development of new policy and legislation relating to urban and spatial planning; to enhance local capacity for good governance and inclusive planning; and to strengthen local institutions with support from experts and professionals from across the world. UPMF is still being applied at the time of publication to train municipal and urban planners in inclusive, strategic and action-oriented planning practices.

Globally planning is in a state of flux and is reinventing itself to incorporate many of the characteristics mentioned above. Traditionally, urban planning has been seen as a means to control and regulate the development of towns and cities. In the cities of the developing world as well as in the post-conflict and post-disaster context, however, these traditional planning approaches have failed to address the challenges of rapid urbanization and the poverty, exclusion, informality and vulnerability which it brings in its wake. At the third session of the World Urban Forum held in Vancouver 2006, discussions on a renewed role for planning in ensuring sustainable urbanization generated enormous interest. Several events brought to the fore several innovative cases and examples of how things are changing. UPMF is another example. It was also highlighted, however, that there is still a lot to be done, in order to change the practice of planning across the world, especially in post-disaster and post-conflict contexts.

This publication synthesizes UN-HABITAT's experience Kosovo in the area of strategic, inclusive planning. I hope that it will be a useful resource to planning practitioners grappling with planning issues and problems in other post-disaster and post-conflict situations, and will guide them towards introducing new approaches and developing new skills to address these problems.



**Anna Tibaijuka**

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## Preface

This series of publications on “**Inclusive and Sustainable Urban Planning: A Guide for Municipalities**” has been developed by the UN-HABITAT’s Urban Planning and Management Programme (UPMP) in Kosovo (2002-03), which was funded by the Government of the Netherlands. Executed under the aegis of the Disaster, Post-Conflict and Safety Section of UN-HABITAT, UPMP trained about 100 urban planners from all municipalities of Kosovo in strategic planning approaches and methods. This series is based on the four-phase Urban Planning and Management Framework (UPMF), described in detail in the first volume, and the training materials (eleven manuals and numerous tools) that were developed as part of the UPMF.

The series reflects the inclusive and strategic approach to planning, putting primary of emphasis on the dynamic character of the planning process , engagement of stakeholders and the importance of the development of action plans and securing financial outlays for the implementation of selected priority projects.

The process of planning is not linear but cyclic and some of the activities can be conducted in parallel, but for the purpose of clarity we decided to divide it to phases and steps to help those who will try to do it on their own using the Urban Planning and Management Framework as their model.

This approach to planning has been the basis of the Law on Spatial Planning passed in Kosovo in 2003 including the accompanying by-laws. Kosovo experience inspired the paper on Re-inventing Planning, which was broadly discussed during the World Urban Forum III and the World Planners Congress in Vancouver in June 2006. In its current use, the UPMF has been enriched by incorporation of spatial aspects necessary for the strategic spatial planning such as spatial diagnosis, envisioning exercise for future spatial development or the assessment of spatial impact of sector policies. Space being a limited resource needs to be taken into account while planning for sustainable development. This enriched approach also contributes to the harmonisation of the planning systems in the South Eastern Europe while being in line with the current spatial planning practices exercised in the EU countries.

The UPMF series has been shared with UN-HABITAT teams in Somalia, Afghanistan , Bosnia and Herzegovina, and with partners in Kosovo, in its electronic version, and the current printed version incorporates the latest editorial changes.

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# Vol. 1: An Introduction to Urban Strategic Planning

## Acronyms

CPT	City Profiling Team
CUD	Consolidated Urban Diagnosis
EU	European Union
GCUG	Global Campaign on Urban Governance
ICA	Investment Capacity Assessment
ICT	Investment Capacity Team
M&E	Monitoring and Evaluation
MPT	Municipal Planning Team
NAP	Neighbourhood Action Planning
NGO	Non Governmental Organisation
PFC	Policy and Finance Committee
PT	Profiling Tool
PUD	Participatory Urban Decision Making (PUDM)
SA	Stakeholder Analysis
SH	StakeholderS
SUDP	Strategic Urban Development Plan
SWOT	Strengths, Weaknesses, Opportunities, Threats
UIT	Urban Indicators Toolkit
UN	United Nations
UNCHS	Former Acronym for UN-HABITAT (United Nations Centre for Human Settlements)
UNHSP	United Nations Human Settlement Programme, UN-HABITAT
UPMF	Urban Planning and Management Framework
UPMP	Urban Planning and Management Programme
USA	Urban Situation Appraisal
USP	Urban Situation Profile
USPP	Urban Strategic Planning Process
WG	Issue-Specific Stakeholder Working Groups

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## 1.0 Introduction

The United Nations Human Settlements Programme, or UN-HABITAT, is the UN agency responsible for human settlements. Drawing its mandate from the Habitat Agenda, the agency focuses on two key objectives: sustainable development of human settlements and adequate shelter for all. To achieve these, UN-HABITAT has launched two Global Campaigns on Urban Governance and Secure Tenure. These Campaigns provide the framework for all other UN-HABITAT programmes, interventions and initiatives across the globe.

One of the key areas of UN-HABITAT intervention and assistance in the past few years has been institutional development and capacity building in post-conflict situations. In many parts of the world – the Balkans, Iraq, and Afghanistan, to name a few – violent conflicts have been followed by a complete breakdown of governance institutions and utter anarchy in human settlements reconstruction and redevelopment. In the Balkans, specifically, after the break-up of former Yugoslavia, a range of development problems has arisen from a combination of three factors:

1. an inflexible socialist economic regime under former Yugoslavia and its subsequent collapse;
2. the economic and social exploitation and marginalisation of territories and violent ethnic conflict; *and*
3. virtual anarchy in the absence of functional governance structures immediately after the conflict ended.

Paradoxically, these same factors have provided an opportunity to rewrite the future of the Western Balkan states, including Croatia, Serbia, Montenegro, the Former Yugoslav Republic of Macedonia, and the UN-administered territory of Kosovo. These are significant potential opportunities to revitalise the economy, steer it away from central planning and towards a market system, and to introduce new socio-political paradigms.

However, the transition from a centrally planned system to an open market economy is slow. The public sector is only beginning to recognise that, in the new socio-political structure, its role must change from controlling to guiding. Stakeholder participation in development planning and decision-making is still weak. This is partly because the tools and mechanisms for civic engagement have only recently been introduced, and they need consolidation. However, the more crucial factor is an absence of a “culture of participation,” at all levels and across all segments of society.

The problems of chaotic development also persist. A legal and policy framework in transition, coupled with fragmented development strategies and plans, has led to (1) unmanageable influx of population into the cities, (2) thousands of illegal constructions, (3) urban overcrowding, (4) poor quality of life and (5) a volatile investment climate. Most governments are looking to address some of these issues through new laws and regulations on planning along the lines set by EU planning frameworks and guidelines.

Governments in the Balkan region explicitly recognise that economic development requires dedicated plans to direct capital expenditure (both public and private) towards various sectoral and spatial priorities. Economic development at the local level also relies on clear municipal strategic plans that include public investment priorities. The process of decentralisation

in these countries – the very existence of local governments, and the fact that they are democratically elected, functional and increasingly taking on a wider range of responsibilities – is an important sign of progress in the aftermath of the Balkan conflicts. Nevertheless, most local authorities need substantial strengthening if they are to perform their new functions effectively.

UN-HABITAT has been engaged with the central and local governments in the Western Balkans through several interventions, most of them focusing on strengthening participatory governance. UN-HABITAT is working with both central and local level institutions:

- to build new legislative and policy frameworks;
- to enhance capacity for good governance and inclusive planning in cities; and
- to build and strengthen institutions with support from experts and professionals from across the world.

The common development objective of all these interventions is to improve living conditions and promote development investment in urban areas across the region through modern inclusive planning practices and strategies.

The Urban Planning and Management Framework, or UPMF, developed to suit the specific context and problems in the Balkan region is being applied to train municipal and urban planners in inclusive, strategic and action-oriented planning practices. According to the UPMF, urban strategic planning involves:

- engaging stakeholders in urban planning and the co-financing of urban infrastructure and services;
- enhancing the sense of ownership and responsibility amongst all stakeholders for improved maintenance and operation of urban infrastructure and services;
- improving the technical quality of urban project proposals and management;
- improving urban management practices; and
- making urban planning transparent and accountable.

The Framework advocates a four-phase approach to developing strategic urban development plans and is inclusive and participatory in nature, as depicted in Figure 1. The four phases of urban strategic planning include:

1. Urban Situation Analysis;
2. Sustainable Urban Development Planning;
3. Sustainable Action Planning; and
4. Implementation and Management of Projects.

There is an explicit acknowledgement by the governments in this region that economic development requires development plans to guide investments (both public and private) in line with sectoral and spatial priorities. Economic development at the local level also relies on clear municipal strategic development plans, which include public investment priorities. The process of decentralisation in these countries - the very existence of local governments, and the fact that they are democratically elected, functional and increasingly taking on a wider range of responsibilities - is an important sign of progress in the aftermath of the Balkan conflicts. Most local governments, however, need to be considerably strengthened so that they can perform their new functions effectively.

**Figure 1: Phases and Stages of Urban Strategic Planning Process**



The framework envisages that the development planning process would be conducted under the guidance of a multi-sectoral Municipal Planning Team, established with participation of various departments of a municipality. This is extremely important, because urban planning is no longer seen as a uni-dimensional, static, technocratic activity, but rather a process of bringing together various perspectives and sectoral priorities to develop the common future of a city. Box 1 describes the role and responsibilities of the Municipal Planning Team in the urban strategic planning process.

### **Box 1: Role of the Municipal Planning Team (MPT)**

A Municipal Planning Team (MPT) comprises representatives of all departments in a municipality. It is a multi-sectoral group and may include at least one (possibly more) urban planner, architect, geographer, civil engineer, economist, legal expert, finance and accounting expert, a Municipal Gender Officer, and any other professionals from within the municipality. It may also include any international experts or project staff seconded to the municipality for specific tasks/projects.

The primary objective of the MPT is to oversee and guide the municipal development process, which includes preparation of the urban situation analysis and strategic urban development plan for the municipality. MPT members will be responsible for:

- 1. Providing inputs to the stakeholder analysis** for their respective fields and then **reviewing the final stakeholder analysis report** prepared by urban planners.
- 2. Providing data and information** and other inputs which the **City Profile Team** needs for the urban profile, appraisal and investment capacity assessment
- 3. Providing inputs to and reviewing reports** on the urban profile, appraisal, investment capacity assessment and consolidated urban diagnosis prepared by municipal planners and the city profile team.
- 4. Preparing a draft vision, goal and objectives for the strategic urban development plan** based on the consolidated urban diagnosis.
- 5. Active participation in working groups for the development of action plans** for selected strategic priorities.
- 6. Reviewing the draft action plans prepared by working groups and the final strategic urban plan** before it is presented to the Committee on Urbanism or Policy and Finance Committee.
- 7. Providing any other guidance, inputs and support to municipal urban planners** as may be required for the process of preparing the strategic urban development plan.

This series of publications, *“Inclusive and Sustainable Urban Development Planning: A guide for Municipalities”* is a consolidation of the materials initially developed as UN-HABITAT’s response to the specific requirements of the Balkan context. The series has been suitably modified to be able to serve as a generic guideline for the training of urban planners in the area of urban strategic planning. The series consists of five volumes organised according to the training phases of the urban strategic planning process. The fifth Volume of the series, which focuses on “Implementation and Management of Projects”, is distinct in that it is being developed in collaboration with a partner. The contents will be based on the current training activities being undertaken. The volume will be published at a later stage.

The present volume describes the basic concepts of strategic planning, the linkages with good governance and UN-HABITAT’s Global Campaign on Good Urban Governance, its specific significance in the context of strategic planning, and the over-arching principles of participation and gender orientation. In addition, it outlines the monitoring and evaluation approach that is expected to run throughout the whole planning process. Each subsequent volume describes one phase in detail, and attempts clearly to establish the forward and backward linkages in the process. Although the four volumes are organised along the phases of the urban strategic planning process and thus form part of a series, they can also be used individually to learn more about a particular phase or step in the urban strategic planning process.

## 2.0 Urban Strategic Planning

As cities and towns grow rapidly and irreversibly, they are faced with resource and capacity constraints to manage the process of urbanisation. Strategic planning is a management tool that determines the direction in which an organisation is moving, and how it will get there. Urban strategic planning determines the direction of development of a city or urban area, in the context of its current profile and SWOT analysis. This approach helps the city to respond to fast-moving events, to manage change and to improve the quality of life. It is not a static process: it must change to reflect the changing situation in the city. Inevitably, the process moves forward and backward several times before arriving at the final set of decisions. Urban strategic planning helps to answer questions like:

- Which areas should receive which type of growth?
- How can the existing economic base be preserved and expanded?
- How can quality of life be protected and enhanced?

Urban strategic planning and plans in no way substitute for the spatial planning process and spatial plans proposed to be prepared at various levels. The strategic planning process guides development in the direction of those strategic priorities identified by all stakeholders through a consultative process.

Urban strategic planning reflects the complex and continuous process of city change. The following attributes, when combined effectively, define a successful and comprehensive strategic planning process:

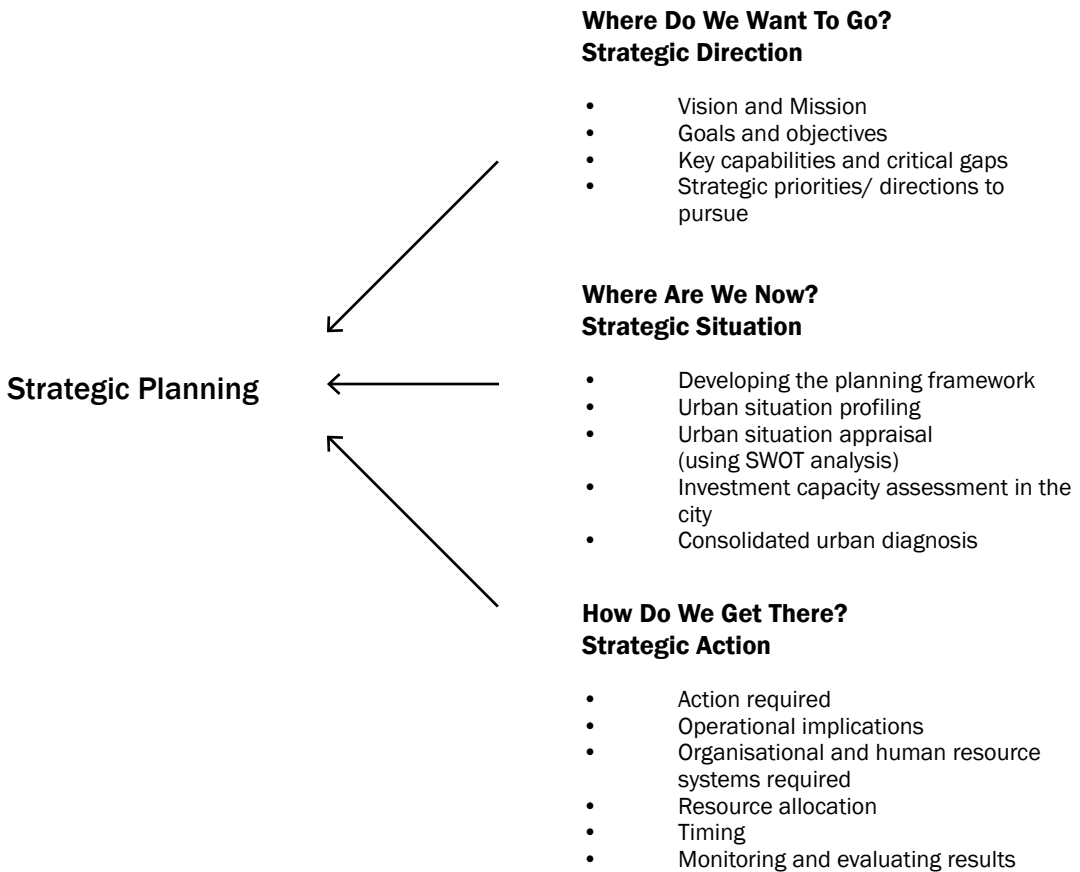
- It is oriented towards the future and attempts to foresee how the world could be different five to ten years from now. It is aimed at setting the city's development direction based on what this future is likely to look like.
- It is flexible and oriented towards the larger picture. It aligns the city with its environment, setting a context for meeting goals and providing a framework and direction to achieve the city's desired future.
- It creates a framework for competitive advantage through thorough analysis of the city, its internal and external environment, and its potential. This enables cities to respond to the emerging trends, events, challenges, and opportunities within the framework of the vision and mission they have developed through the strategic planning process.
- It is a qualitative, idea-driven process. It integrates "soft" data that are not always supported quantitatively, such as experiences, intuition and ideas, and involves stakeholders in the ongoing dialogue with the aim of providing a clear vision and focus for the city.
- It allows a city to focus, because it is a process of dynamic, continuous self-analysis.

Strategic planning seeks the answers to three fundamental questions (*CUI, 2001*):

- Where are we now? (What is the present status, situation or condition of the city?)
- Where do we want to go? (Where would the city like to go or what direction it is taking?)
- How do we get there? (How would the city like to get there?)



**Figure 2: Urban Strategic Planning Process**



Urban strategic planning can be used to address specific concerns or broad range of issues. It is about co-operation at organisational, local and regional levels. It has potential to mobilise resources and co-ordinate activities on a wide scale. It must be kept in mind at all times that:

- Urban strategic planning is essentially a dynamic process;
- Participation of citizens is crucial to the urban strategic planning process in order to guarantee its effectiveness;
- Implementation is the key to successful urban strategic planning.

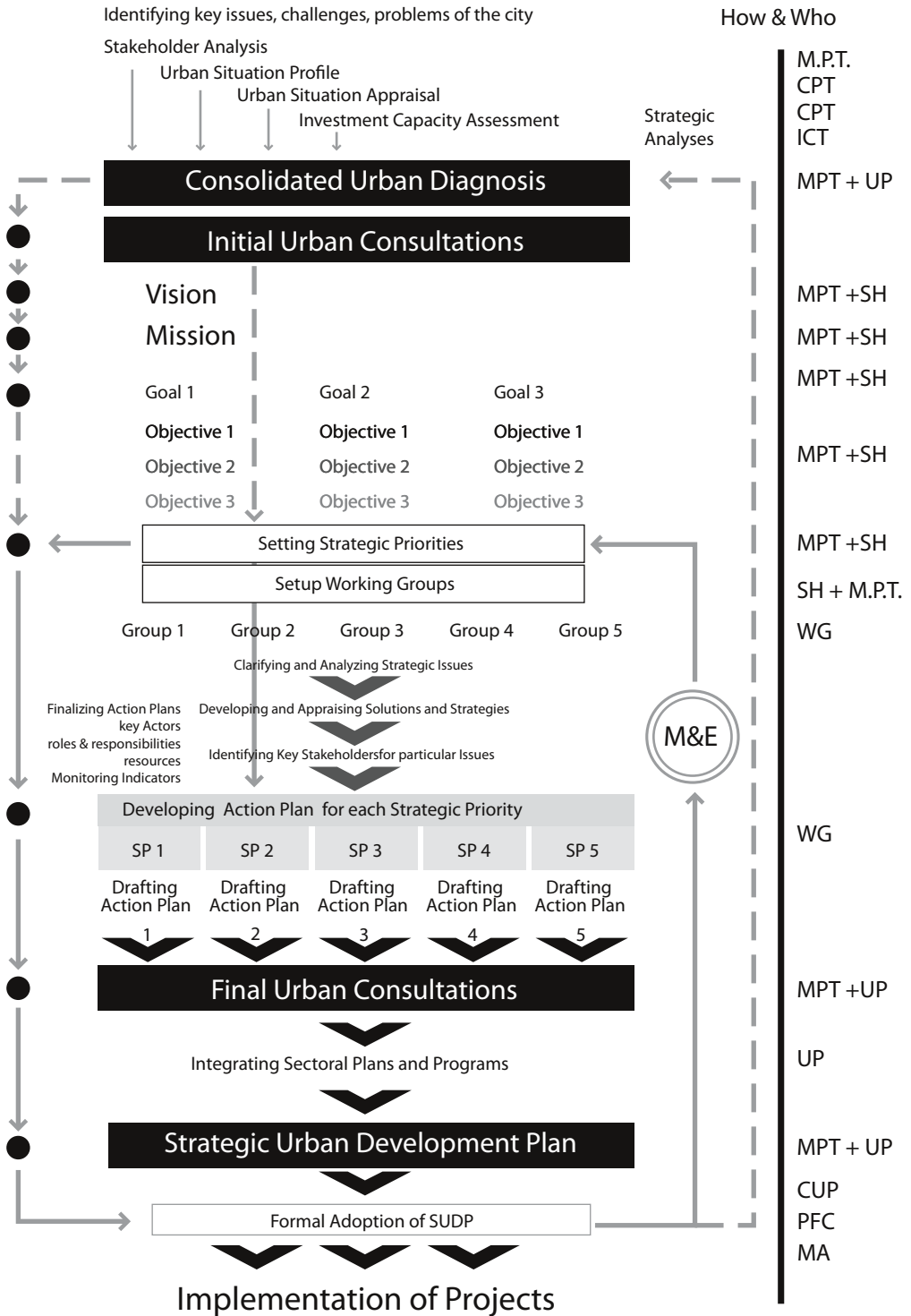
Urban Strategic Planning is distinct from the conventional urban planning approaches such as master plans or comprehensive development plans, in a number of ways. As stated above, it is a dynamic process, inclusive and participatory, with an eye on implementation. Further, it is selective, focusing on a few priorities at a time, rather than comprehensive and all-encompassing. The differences between the two approaches are shown in Table 1 on the following page.

Strategic planning is the process that drives the inclusive approach being advocated through the urban strategic planning process as shown in Figure 2 above and Figure 3 on the following page. It is based on a comprehensive situation assessment, or **urban situation analysis** (explained in detail in Volume 2 of this series). Further, it involves an inclusive consultation process for development of a vision, mission, goal and objectives; setting priorities and strategic directions; and defining action plans. These processes of **sustainable urban development planning** (Volume 3 of this series) and **Action Planning** (Volume 4 of this series), lead to the preparation of the Strategic Urban Development Plan. **Management and implementation of projects** (Volume 5 of this series) focuses on turning action plans into concrete projects is the final step in the strategic planning process

**Table 1 Strategic Planning Vs Conventional Planning Approaches**

Strategic planning	Conventional planning
Decentralised approach (bottom-up)	Centralised approach (top-down)
Process-oriented and action-oriented	Product-oriented (the plan)
Combination of responsive and proactive	Driven only by proactive strategies
Flexible	Rigid
Starts with consensus on issues	Starts with consensus on “power to enforce”
Planning, budgeting and implementation integrated	Planning separated from implementation (and therefore, budgeting)
Focused and selective – aims at identifying and resolving critical issues while targeting sustainable and balanced urban development in the long term	Comprehensive
Strong assessment of internal and external environment (situation)	Limited or politically motivated assessment of situation
Expects new trends, discontinuities and surprises	Assumes that current trends will continue in the future
Interactive with a range of stakeholders	Based largely on data rather than stakeholder engagement
Political/multi-stakeholder awareness and involvement	Administrative orientation and awareness
Implementation by empowerment	Implementation by directive.

**Figure 3: Strategic Planning Process and UPMF**



### 3.0 Good Urban Governance and the Urban Strategic Planning Process

UN-HABITAT launched the Global Campaign on Urban Governance in 1999 to support the implementation of the Habitat Agenda goal of ensuring sustainable human settlements development in an increasingly urbanising world. While cities are perceived as engines of enormous potential for economic and social development, creating jobs and offering new opportunities, they can also generate and intensify social exclusion and poverty. This manifests in denial of the benefits of urban life to the vulnerable and marginalised groups, women, children, youth, and religious and ethnic minorities.

The goal of the Campaign is to contribute to the eradication of poverty through improved urban governance. Its theme is the “Inclusive City”, a place where everyone, regardless of wealth, gender, race or religion, can participate in the [social, economic and political] opportunities that cities have to offer (UN-HABITAT, 2000). Participatory planning and decision-making are the means for realising this goal.

The purpose of the Global Campaign is to increase the capacity of local governments and other stakeholders to practice good urban governance and to raise awareness of and advocate for good urban governance around the world. The campaign sets out the fundamental principles and norms for good urban governance, which are derived from UN-HABITAT’s extensive practice and experience across the world.



Good urban governance provides the basis for the urban strategic planning process

UN-HABITAT promotes the following definition of good urban governance:

*“Urban governance is inextricably linked to the welfare of the citizenry. Good urban governance must enable women and men to access the benefits of urban citizenship. Good urban governance, based on the principle of urban citizenship, affirms that no man, woman or child can be denied access to the necessities of urban life, including adequate shelter, security of tenure, safe water, sanitation, a clean environment, health, education and nutrition, employment and public safety and mobility. Through good urban governance, citizens are provided with the platform which will allow them to use their talents to the full to improve their social and economic conditions” (UN-HABITAT, 2000)*

This definition highlights equal access of citizens to decent living conditions and services through participation in decision-making and development processes.

### **3.1 Norms of Good Urban Governance**

The norms of good urban governance as advocated by UN-HABITAT include sustainability, subsidiarity, equity, efficiency, transparency and accountability, civic engagement and citizenship, and security (UN-HABITAT, 2000). There is a strong linkage between good governance norms and the urban strategic planning process). Improvement in urban governance and planning practice are interdependent and mutually reinforcing.

### **3.2 Applying the Norms of Good Urban Governance in the Urban Strategic Planning Process**

The aforementioned norms of good urban governance provide the basis for the urban strategic planning process. Participation and civic engagement is sought at various levels and through a variety of mechanisms such as cross-sectoral teams (Municipal Planning Team, City Profiling Team<sup>1</sup> and Investment Capacity Team<sup>2</sup>), urban consultations and issue-specific working groups. Transparency and accountability is ensured through participatory action planning, resource mobilisation and resource allocation. Sustainability is guaranteed by facilitating access to information in order to help the stakeholders make informed choices. Efficiency is ensured by mobilising and involving stakeholders in implementation of projects as well as in operation and maintenance of services. A more detailed description of the norms of Good Urban Governance and their significance in the urban strategic planning process is provided below.

#### **Sustainability**

Sustainability involves ensuring that allocation and use of land and other resources is based on balanced social, economic and environmental priorities, with the aim of balancing the needs of present and future generations.

Sustainability can be achieved by using the forum of urban consultations as a vehicle to a broad-based discussion on the future of the city, including potential impact of alternative de-

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1 A City Profile Team (CPT) comprises selected representatives of municipal departments/ directorates, along with a few stakeholder representatives who can contribute significantly to the preparation of the Urban Situation Profile, Urban Appraisal, and Consolidated Urban Diagnosis.

2 An Investment Capacity Team (ICT) is a collection of representatives of selected municipal departments, such as economy and finance, budget, accounts etc, along with a few stakeholder representatives such as economists, trade and industry associations, private sector representatives etc, who are tasked with preparation of the Investment Capacity Assessment report for the city.

velopment strategies on the community's life, social and economic conditions, and the natural and built environment. The urban strategic planning process provides that leaders and stakeholders representing all sections of urban society work together for a long-term, strategic vision and develop the ability to reconcile divergent interests for the common good. Thus, sustainability can be ensured through informed, collective decision-making and broad-based ownership of final solutions.

### **Subsidiarity**

The principle of subsidiarity means that the responsibility for the provision and management of any service must be vested in the lowest level of authority that is best positioned to deliver these services in an efficient and cost-effective manner. This implies that as the level of governance closest to the people, municipalities should be empowered as much as possible to develop and implement strategic and spatial plans. Such empowerment (or even 'enablement') would necessarily include delegation of power and resources to municipalities, accompanied by efforts to build their capacity to engage stakeholders in a meaningful, constructive decision-making process.

The strategic planning approach encourages and supports local governments to develop and implement urban development plans in consultation with stakeholders. The approach especially emphasises the preparation of realistic action plans to address immediate priorities, which can be implemented in partnership with stakeholders.

### **Equity**

Equity entails establishment of equitable principles for allocation of land, development of infrastructure, pricing for services and participation in setting priorities. Establishing investment incentives for targeted sectors and geographic areas is another aspect of equitable development.

The Urban Strategic Planning process underscores the importance of involving representatives of all stakeholder groups through a clear identification of different groups of stakeholders and their needs, including collection of gender-disaggregated data as far as possible. The consultation phase provides for participation of all stakeholders in a broad-based urban consultation event to determine the city's development priorities. Ensuring that all stakeholders – men and women, vulnerable groups - have access to decision-making processes is the key to equitable development.

Gender equality is a central aspect in the principle of equity in good governance. This principle is recognised as being essential in the development of sustainable human settlements. Equality between men and women in governance refers to issues such as the equality of women in the family; women's equal participation in public life; women's equal access to resources, including land and property; women's equal access to information, education and training as well as decision-making.

## **Efficiency**

Efficiency implies that cities must be financially sound and cost-effective in their management of revenues and expenditures, the administration and delivery of services, and that all development decisions must ensure the most efficient use of resources. The promotion of inter-sectoral planning both at the local and central level is another aspect of efficiency.

The urban strategic planning process aims at maximising the existing human, physical and financial resources available in the city for urban development, by mobilising and engaging various stakeholder groups through innovative mechanisms and public-private partnerships. Through the involvement of the private sector and communities in setting priorities, cities can make better judgements regarding the prospective commitments of these partners in the implementation of development projects.

## **Transparency and Accountability**

Transparency in decision-making and accountability of local authorities to their citizens are fundamental principles of good governance. Transparency and accountability are essential to build stakeholder understanding of local government. Access to information is the key to ensuring transparency and accountability. Laws and public policies should be applied in a transparent, predictable and even-handed manner. Public feedback systems such as report cards, hotlines and ombudsman should be established. Elected and appointed officials and civil servants need to set an example of high standards of professional and personal integrity.

In the context of urban strategic planning, transparency and accountability can be achieved through the active involvement of stakeholders in setting priorities and making decisions on how public resources will be spent. Transparent tendering and procurement procedures must be adopted for the implementation of action plans and projects. Involvement of stakeholders in priority-setting and preparation of action plans must be reinforced by facilitating greater access to information, including statistics and municipal financial data. These systems should be designed in such a way that they are equally accessible to all segments of the population, including being equally available to men and women.

## **Civic Engagement and Citizenship**

Civic Engagement and citizenship is key aspect of good urban governance. People are the principal wealth of cities; they are both the object and the means of sustainable human development. Civic engagement implies that living together is not a passive exercise: in cities, people must actively contribute to the common good. Citizens, especially women, must be empowered to participate effectively in decision-making processes. The civic capital of the poor must be recognised and supported. Participation of civil society must be enabled through appropriate legal instruments and provisions. Participation must extend to not only decision-making about also making capital investments.

Engagement of stakeholders for taking development decisions is crucial for the successful implementation of any development plans. Involvement of men and women equally in positions of decision-making is central for engagement of citizens in the governance process. This could be done through mechanisms such as city consultations, citizen's forums and issue-specific working groups.

Civic engagement also refers to proper and regular payment for services, care of existing and newly developed infrastructure and the establishment of community support groups or community based organisations to resolve issues directly affecting specific areas.

## **Security**

Security as a principle of good urban governance applies to individuals and their living environment. Every individual has the inalienable right to life, liberty and the security of person. Cities must strive to avoid human conflicts and natural disasters by involving all stakeholders in crime and conflict prevention and disaster preparedness. The notion of security also implies security of tenure, and freedom from persecution and forced evictions.

Through the involvement in the urban strategic planning, citizens can raise issues pertaining to their own sense of security, in relation to person and property. Security of women and children, ethnic and religious minorities must be addressed in a way that satisfies their specific needs. Promoting security of tenure through increased access to housing for the most vulnerable groups is one of the key objectives of urban strategic planning. Adopting suitable methodologies for environmental planning and management and formulating disaster-preparedness strategies and emergency management at the central and local levels are also important aspects of security.



## **4.0 Public Participation in Planning**

As underscored by UN-HABITAT's Global Campaign on Good Urban Governance, public participation in urban decision-making process is increasingly seen as the key strategy for governments and civil societies to solve urban problems. It relates to such issues as improvement of local infrastructure and shelter, poverty alleviation, upgrading of the urban environment, economic development, improved safety standards for children and women in urban areas, and finally good governance.

The involvement of citizens in identifying their needs, selecting priorities and identifying strategies offers better chances for developing solutions that are sustainable, feasible and which citizens are willing to implement. Public participation in the urban decision-making process can be implemented through a number of tools such as stakeholder analysis, city consultations and working groups.

### **4.1 The Concept of Public Participation**

Public participation can be defined in a number of ways that reflect the specific objectives of an organisation or a project. In a broad sense, public participation can be defined as "taking part in the processes of formulation, passage and implementation of public policies with actions aimed at influencing decisions made by public representatives" (Parry, Moyser and Day, 1992).

Public participation is identified in two broad areas: participation as a means and participation as an end. However, these are by no means mutually exclusive. Participation as a means aims at more effective implementation of programmes and projects through active citizen involvement in project implementation through labour and/or financial or in-kind contributions. Participation as an end implies that citizens come up with ideas, take part in the decision-making process, assume responsibility and finally arrive at self-management.

An urban strategic planning process provides for both types of participation. On the one hand, citizens are invited to air their opinions in the decision-making process through participation in consultations, consensus building and self-management in project implementation and management, all of which feature elements of participation as an end. On the other hand, readiness to commit human, material and financial resources for the implementation of some priority projects, and thus participate in some kind of partnership, shows participation as a means to an end.

None of these forms is better or more important than the other. They are like two sides of the same coin, the coin being public involvement.

## **4.2 Arguments For and Against Public Participation**

One of the reasons why local governments are increasingly more open to public participation is their recognition of local potential offered by non-governmental institutions, business community, civil society in general and other city stakeholders as a means to a better and more efficient preparation and implementation of development projects. However, there are arguments both for and against the promotion of public participation in urban planning and the management of development initiatives. They can be summarised in the following way:

### **Arguments for public participation**

Public participation helps in identifying projects and activities that are relevant to the community's needs and priorities, including the needs of the ethnic groups, women and other marginalised groups, e.g. the disabled. Some of the most obvious benefits of public participation include:

- Increasing the cost efficiency of activities or projects by involving local resources and skills;
- Increasing the effectiveness of such activities and projects by ensuring that they are based on awareness and understanding of local problems and will therefore better respond to local needs;
- Building local capacities and developing citizens' abilities to negotiate and manage projects;
- Better targeting of benefits to those who need them. This is done through the identification of key stakeholders who will be most affected by the activities;
- Securing the sustainability of activities and projects as beneficiaries assume ownership of these;
- Improving equality between men and women by facilitating equal access to opportunities for them to play a substantive part in the activities and projects;
- Developing a sense of "ownership" among stakeholders;
- Developing tolerance and cooperation among ethnic groups.

### **Arguments against public participation**

Public participation costs time and money, as it is essentially a process with no guaranteed positive impact upon the result. Participation can considerably increase the cost of a project or activity, and therefore a fine balance must be found with the benefits of involving the public. Public participation can also have negative aspects and be seen as:

- A waste of time and efforts in a situation when basic needs are obvious;
- A destabilising force, in the sense that public participation can affect power relations and generate conflict, and thus bring new leaders who seek to share power;
- A means of shifting the burden of service provision and ensuring equal access by local governments onto citizens.

Although there are many different definitions of public participation, the majority of donor organisations and an increasing number of local governments perceive public involvement as an indispensable element of democracy and civil society. Although some will argue against involving the public in urban decision-making processes, arguments in favour of this approach outweigh any potential constraints such as extra time and cost. Experience shows that at the end

of the day, public participation increases project efficiency and cost-effectiveness.

To counter the arguments against public participation, it is important to be sure exactly what benefits it would bring and what could be some unforeseen consequences of its implementation. It is also important to ensure that efforts to promote participatory development are undertaken after careful assessment and understanding of the political and cultural context in which participation is to occur. Public participation does not take place in a vacuum and both its development and progress will be influenced by a variety of factors stemming from the general environment. A reasonable amount of time should be devoted at the beginning of any participatory project to identify and analyse the factors that could influence the process.

### **4.3 Forms of Participation in the Context of Urban strategic Planning**

Public participation can happen at different levels, ranging from the lowest level, i.e., receiving information, to one where stakeholders become partners in development initiatives and begin to assume full responsibility for their management.

While promoting participatory urban decision-making, it is important to remember that participation is not a one-time effort but a process that must continue throughout the whole duration of the project or activity. This process develops through a series of stages that may vary depending on the character and nature of the undertaking.



Public participation helps to identify projects and activities relevant to community's needs and priorities

The forms of participation set out here reflect the three basic rights of citizens: the right to be informed, the right to be heard, and the right to affect those activities which directly relate to people's living conditions. The right to be informed is materialised through access to information; the right to be heard, through consultations and consensus building; and the right to affect those activities which directly relate to citizens' living conditions is realised through inclusion in decision-making, risk sharing, partnership and self-management.

The urban strategic planning process is based on the participatory decision-making approach as applied to urban strategic planning, and therefore its implementation provides for the involvement of different groups of stakeholders in specific phases and stages of this process. Individual phases and stages call for different levels of participation and these links are presented in Table 2. As is evident, not all the stages require direct public participation, but the final outcome of each stage would be impossible to achieve without the involvement of identified stakeholders.

All these forms create a continuum, which in practical terms brings about a gradual development of participation from the lowest- to the highest-intensity stages. Although different types of projects and activities may require only some of these forms of participation, it is useful to keep in mind that a high level of participation from the very beginning is not always possible.

#### **4.4 Urban Consultations as an effective tool for public participation**

In the strategic planning process, urban consultations enable comprehensive, qualitative and effective stakeholder engagement. One of the most important and effective means of stimulating participation and civic engagement, such consultations promote openness and transparency and create a positive environment for collective problem-solving. Stakeholders from all sectors (public, private and civil society) and from various professions take their fair share of efforts to arrive at collective solutions for urban issues. Stakeholder issue-specific working groups are formed. Consensus is formalised in urban agreements signed by all relevant parties among the stakeholders. This is the overall outcome of the whole urban consultation process. In order to ensure full community representation in the urban decision-making process, it is essential to ensure significant participation of both men and women, all ethnic groups, as well as those groups which are frequently marginalised, e.g. the disabled or the urban poor, in urban consultations.

**Table 2: Forms of Participation in an Urban Strategic Planning Process**

Form of participation	Concept	Occurrence in UPMF
Information	<ul style="list-style-type: none"> <li>• Citizens are informed about their rights, responsibilities and options</li> <li>• One-way communication, even if the information is provided at the request of stakeholders</li> <li>• Does not involve channels to provide feedback or enter into negotiations</li> <li>• Information is provided through channels that are accessible to all members of the community</li> </ul>	<ul style="list-style-type: none"> <li>• Information about urban strategic planning is shared with key identified stakeholders in Phase One - Urban Situation Analysis</li> <li>• Major information campaign is held prior to City Consultation</li> </ul>
Consultation	<ul style="list-style-type: none"> <li>• Two-way communication, where stakeholders have an opportunity to voice suggestions and concerns</li> <li>• Does not offer any assurance that stakeholders' ideas and opinions will be used at all or as they intended</li> <li>• Usually conducted through meetings chaired by a person representing various levels of government or their bodies, public hearings (debates) and surveys</li> </ul>	<ul style="list-style-type: none"> <li>• The Urban Consultation process is a key element of Phase Two - Sustainable Urban Development Planning. It focuses on the development of common vision, mission, goals and objectives, both through plenary discussions and Working Groups</li> </ul>
Consensus-building	<ul style="list-style-type: none"> <li>• Stakeholders interaction in order to understand each other and arrive at negotiated positions that are acceptable for the whole group</li> <li>• However, vulnerable individuals and groups often tend to remain silent or passively agree to negotiated solutions</li> <li>• Strategies should be employed to ensure that the opinions of men and women are equally considered, especially in this phase</li> </ul>	<ul style="list-style-type: none"> <li>• Consensus-building is the purpose of the Working Group, developing common understanding of issues and reaching agreement about possible solutions</li> </ul>
Decision-making	<ul style="list-style-type: none"> <li>• An expression of both power and responsibilities for outcomes that may result</li> <li>• Negotiations at this stage reflect the different degrees of commitment exercised by individuals and groups</li> </ul>	<ul style="list-style-type: none"> <li>• Involvement in Urban Consultations enables stakeholders to take part in decision-making about the future of the city and use of its human, natural and financial resources towards implementation of the city vision</li> </ul>
Risk-sharing	<ul style="list-style-type: none"> <li>• Collective actions result in a mix of beneficial, harmful and neutral consequences that are equally shared by all partners</li> <li>• Accountability is fundamental at this stage</li> </ul>	<ul style="list-style-type: none"> <li>• Urban Strategic Planning results in a degree of risk-sharing between stakeholders but tries to mitigate risk through consensus building and analysis of development projects in terms of their financial, socio-economic and ecological impact</li> </ul>
Partnership	<ul style="list-style-type: none"> <li>• Sharing among stakeholders with similar, equal status status and towards a common goal</li> </ul>	<ul style="list-style-type: none"> <li>• Establishing public-private partnerships for service delivery, maintaining residential buildings, etc., is one of the ways to increase the efficiency and/or cost-effectiveness of local government</li> </ul>
Self-management	<ul style="list-style-type: none"> <li>• Highest level of participatory efforts</li> <li>• Stakeholders take full responsibility for projects that affect them directly and are willing to learn how to conduct the process from beginning to end</li> </ul>	<ul style="list-style-type: none"> <li>• Form of participation expected in the Phase 3 - Action Planning, especially for neighbourhood or community-level projects</li> </ul>

#### 4.5 Participatory Urban Decision-Making as a Step towards an Inclusive City



A participatory decision-making process is one of the steps towards the 'Inclusive City'

Participatory decision-making is one of the steps towards the concept of the “Inclusive City” that is promoted by UN-HABITAT through its Global Campaign on Good Urban Governance and its set of good urban governance norms. An Inclusive City is defined as “a place where everyone, regardless of wealth, gender, age, race, ethnicity or religion, is enabled to participate productively and positively in the opportunities cities have to offer” (UN-HABITAT, 2000). Inclusiveness in cities is important for a number of reasons, as it:

- Reduces inequality and social tension
- Incorporates the knowledge, productivity, social and physical capital of the poor in city development
- Increases local ownership of development processes and programmes

Inclusive decision-making is a strategy whereby the norms of good urban governance are put into practice. The idea of the “Inclusive City” is best illustrated by a number of questions shown in Box 2, which reflect the most crucial problems faced by urban authorities and citizens.

##### **Box 2: How Inclusive is your city?**

- How **informed** are citizens about the municipal budget?
- Do people in your city have **equal access** to clean water, clean neighbourhood and other services?
- How **attractive** is your city to investors?
- How **safe** is your city to live and work in?
- How often do the **elected representatives meet** their **constituencies**?
- Are **all ethnic groups** given **equal opportunities**?
- How much are **women involved** in citywide decision-making?
- How **participatory** is the decision-making process?
- Are **the poor** given proper **consideration**?

Source: UN-HABITAT, Global Campaign on Good Urban Governance, Concept Paper, 2000

## 5.0 Gender Sensitive Plans and Planning Processes

Understanding the different situations, needs and perspectives of men and women should inform all aspects of urban planning and management. However, there are three areas in which it is particularly important to incorporate gender through the planning process. The first of these is employing gender analysis as a tool during activities such as stakeholder analysis and urban diagnosis. This method will help planners to get a better understanding of the way that gender dynamics impact, or are impacted by, urban planning.

Secondly, when using participatory urban planning, it is critical to ensure that men and women are equally involved at all levels. This involves understanding any existing challenges to equal participation and addressing these at each stage. It is of particular importance that the involvement of men and women is truly substantive – that the views and opinions of both are equally heard and considered.

Finally, to ensure equality between men and women as the urban planning and management processes continue, the impacts of various development decisions and initiatives must be adequately measured. This should be undertaken both by disaggregation of the data being collected as well as development of gender-focused indicators.

### 5.1 Gender as a Concept

Gender refers to the economic, social and cultural attributes and opportunities associated with being female or male. Gender is more than just the biological sex of a person. Our biological sex determines our physical characteristics. Gender refers to the behaviour and symbols that we have developed based on our social notions about our sex. It is therefore about how a person is perceived in a society based on their sex. This impacts on the roles, responsibilities, opportunities and power they have because of their sex. As such, gender is a concept that is rooted in the social dynamics between people in any given society. Because gender is part of social development, the ideas it generates change and evolve over time and vary across cultures.

One of the main confusions regarding the concept of gender is that it involves only women. This is misleading and can result in misplaced strategies when incorporating gender. The concept of gender was developed to ensure that the social relationships between both men and women were better understood, along with attendant inequalities. Focusing only on women – or only on men – does not give a clear picture of community, and overlooks the experiences of half the population. Therefore, gender focuses on the roles, responsibilities, access and opportunities of men and women, boys and girls.

This concept of the roles and responsibilities society ascribes to men and women because of their gender has led to a very clear understanding that there is no universal vision of the roles of a woman or a man. Therefore, the concept of gender will play out very differently in different societies. For example, what it means to be a woman in Canada, and what it means to be a woman in India, in Kosovo or in Iraq, will all vary considerably. In addition, within a society, gender perspectives will vary between cities and urban areas, as well as between women and men of different ages and economic classes. It is also clear that gender roles and responsibilities evolve over time. The roles of a woman or man in any society at the beginning of the 20<sup>th</sup> century are vastly different from the social norms around women and men today. This highlights

the key point that gender issues are social processes that can be affected and changed to improve equality of people in a society.

### **Box 3: Gender in Post-Conflict Situations**

In post-conflict societies, there are unique opportunities as well as challenges when addressing gender issues. Very often, certain groups are more vulnerable in a post-conflict environment because of their gender; the recruitment of boys into the military and the difficulties of reintegrating them into civilian life is an example of this. The experiences of men and women will also differ in times of conflict and these differences need to be recognised. However, the upheavals of conflict also bring with them some potential for change, and can open fresh opportunities for movement towards greater equality between men and women.

For example, the increasing acceptance of women working outside the home has been a visible change in many post-conflict societies. The types of employment taken on by women in particular often also change after a conflict, when an absence of men in traditionally male sectors enables greater access by women. In some communities, women have taken on traditionally male roles in the absence of men, including driving and construction. It is therefore important to recognise and address the challenges while capitalising on the opportunities to improve gender equality in post-conflict programmes.

### **Gender Equality**

Gender equality refers to the equal roles, responsibilities, access and opportunities of men and women, boys and girls in all aspects of society. This is the goal of all gender-focused work – to promote gender equality in all societies for all members of society.

It is important to understand that the notion of equality must go beyond equal numerical representation of men and women. It is more rooted in the ideas of power, access, and opportunities. For example, if an office is comprised of 75% men and 25% women, this does not necessarily illustrate the kind of gender inequality that may first seem apparent. It is necessary to examine which staff has access to decision-making and resources within the organisation. For example, if the 25% of female staff are in senior decision-making positions and in control of the resources of the company, the men in the company, though greater in number, may be subject to more discrimination, and have less access to opportunities within the office. Thus, understanding the relationships of women and men to opportunities, resources and decision-making gives a clearer picture of the actual power dynamics and the degree of gender equality or inequality in a given situation.

### **Gender Mainstreaming**

The idea of gender mainstreaming stems from the recognition that the differences and disparities between women and men are closely linked and affect all aspects of society. Therefore, a gender perspective must be integrated at all levels and in all facets of urban planning and management.



This approach is not a set method – there is not one way in which to mainstream gender. Instead, it is a conceptual approach, which will be implemented according to the particular institutional, social and cultural context within which the programme operates. It is also important to clarify that gender mainstreaming is not a goal in itself. Instead, it is a way in which we can work towards the goal of gender equality.

For gender mainstreaming to be successful, clear goals must be established for the inclusion of gender issues and the practical impact that the programme can have on gender. The development of gender mainstreaming action plans is a useful way of setting out the goals in moving from policy to implementation for mainstreaming gender. It is important to ensure that all members of staff understand gender concepts and issues that will arise when undertaking a gender-mainstreamed approach to urban planning, initial training on gender concepts and strategies.

## 5.2 Gender as a Key Consideration in the Urban Strategic Planning Process

Good urban planning seeks to address the various needs of all members of a community in the most equitable way possible. As such, understanding the gender dimensions in a society will highlight the different needs and views of men and women in terms of the settlements in which they live. In addition, a gender perspective will give insight into the power disparities in a society, and therefore prepare the programme better to address issues of inequality and marginalisation, both in terms of the planning itself, as well as the participation of the community in needs assessments and so forth. Using a gendered approach in planning will also improve the degree of stakeholder commitment and, thus contribute to the overall success of the process.

Determining which services will be prioritised in a settlement will also have different impacts on men and women. Men and women will often have very different opinions regarding which services will be a priority, as well as how those services can best be provided. Timing of services, especially water and electricity provision will have a much greater impact on the daily lives of women and it is important that their views be taken into account when planning such services.

Land use planning is of particular importance, as the distances between various services will often have a greater impact on women than men. For example, the distance to markets, health centres and schools can create an additional burden on women as the main caregivers for children and the infirm. Taking these issues into consideration when developing a settlements plan can improve the accessibility of these services to women, and reduce their daily workload if the services are readily accessible. Zoning regulations will also have different impacts on men and women in a community. Women are more likely to engage in informal, or home-based, economic activities. As such, zoning regulations and provision of electricity can affect women’s access to income.

	ACCESS		BENEFIT	
	Men	Women	Men	Women
<b>RESOURCES</b>				
Land	3	6	2	6
Equipment	3	6	1	5
Labour	3	4	1	5
Cash	2	6	2	6
<b>BENEFITS</b>				
Outside income	2	6	2	5
Asset ownership	1	6	1	6
Soc. Needs	6	6	3	2
Education	3	5	2	1
Health	1	6	1	1

Using gender analysis to incorporate gender perspectives in planning

In the context of urban strategic planning, a gender perspective will be an important tool to improve effectiveness at various stages, such as:

- **Stakeholder analysis:** using gender analysis techniques to identify stakeholders and highlight women's organisations, groups and women-leaders;
- **Urban profiling:** collecting gender disaggregated data and developing gender sensitive indicators;
- **Urban consultations and working-groups:** equal involvement of men and women in identifying key urban development issues and in setting priorities;
- Developing **action plans:** ensuring that the selected projects serve the interests of both men and women.

## Participation

Participation in the planning process is one of the critical areas where a gender perspective can greatly enhance the effectiveness of urban planning. Ensuring that both men and women participate equally is central when determining the needs of an urban population, and specific strategies must ensure that there is substantive gender equality in the participatory process. Women and men need to be equally involved at all levels of the participation process, from information access and consultation to decision-making and partnership.

Strategies of participation in any programme must acknowledge the various inequalities that are present in any society. These may be based on class, wealth, race, gender, disability, age, or other cultural factors. These factors make equal participation of all members of society more difficult, and specific strategies must be designed to ensure that all these voices are heard and considered.



Understanding needs of men and women should inform all aspects of urban planning and management

## What it Means to Incorporate a Gender Perspective in Urban Strategic Planning Process

It is important again to clarify what a gender perspective actually means when undertaking urban planning. Table 3 gives a clear idea of what a gendered perspective does and does not entail.<sup>1</sup>

**Table 3: A Gendered Perspective**

Having a Gender Perspective in Urban Strategic Planning Does NOT mean...	Having a Gender Perspective in Urban Strategic Planning DOES involve...
Focusing only on women	Looking at the inequalities between men and women
Treating women only as a vulnerable group	Recognising that both men and women are actors in the planning process.
Treating women and men exactly the same	Designing planning strategies that take the inequalities and difference of men and women into account.
Striving for numerically equal participation between men and women	Moving beyond only counting the number of male and female participants to focus on the substance of their involvement as well as the impact of planning on men and women.
Assuming that all women (or all men) will have the same interests, views or priorities	Recognising the differences between different groups of men and women (based on age, ethnicity, socio-economic status, etc)
Focusing only on employment equity issues within organisations	Recognising that equal opportunities for women within organisations is only one aspect of gender equality
Assuming who does what work and who has what responsibilities	Understanding the specific situation and documenting the actual conditions and priorities.

## Using Gender Analysis in Urban Strategic Planning

One of the most useful ways that gender perspectives can be incorporated into the planning cycle is by using techniques of gender analysis when carrying out analysis of stakeholders, urban situation appraisals or action plans. Gender analysis is a method of examining society through the lens of the different roles and responsibilities of men and women, boys and girls. Using this method, planners can get a better idea of the stakeholders in the community and how they interact in the urban environment.

Gender analysis provides a tool for understanding the causal relationships leading to gender inequalities in a society. This is of particular importance as it allows for activities to address root causes rather than more superficial aspects of inequality, and therefore promotes a greater and more sustainable impact. Therefore, when undertaking a gender analysis, certain questions must be asked such as:

<sup>1</sup> This table is adapted from a training module on Gender and Peacekeeping Operations, developed by the Canadian International Development Agency (CIDA) and the UK Department for International Development (DFID).

- **Who controls what *in the society*?**
- **Who has access to what *in the society*?**
- **Who is responsible for what *in the society*?**
- **Who earns what *in the society*?**
- **Who does what *in the society*?**
- **Who inherits what *in the society*?**

These questions will help to develop a picture of the roles, responsibilities, access and opportunities of men and women, boys and girls, and through a comparison of these a better understanding of gender inequalities in the society will emerge. In addition, understanding the way in which the decision-making structures and processes, the legal frameworks and religious and social norms all operate will elicit a better picture of the gender situation. This will be especially valuable when undertaking a Stakeholder Analysis.

When using gender analysis in urban planning, particularly in terms of stakeholder participation, some of the other questions to consider include:

- **How can men and women contribute differently *in the planning process*? (both *in terms of willingness and ability*)**
- **What are the constraints for equal participation of men and women *in planning*?**
- **What are the opportunities for equal participation of men and women *in planning*?**

It is imperative that gender sensitive indicators are developed for any urban situation analysis, and data being collected throughout the planning process should be disaggregated. However, these activities will only give a partial view of gender dynamics in a municipality. Therefore, it is best to undertake a full gender analysis at the same time as the urban situation profile is being developed. This allows for a greater overall understanding of the status of women vis-à-vis men in the community, and therefore enables more informed analysis of the data and indicators. For example, some indicators to determine gender impacts of infrastructure provision may include:

- Level of usage by women and men
- Satisfaction with services among women and men
- Patterns of use among men and women
- Time saved as a result of introduction of services – for men and women separately

In the development planning processes, special attention should be given to creating opportunities and encouraging equal public participation of both men and women. Such an approach helps to develop better understanding of the needs, challenges, opportunities and access of men and women in society in the social, political and cultural contexts.

#### **Box 4: What is Gender Disaggregated Data and Why is it Important?**

Gender is not only about women in society. It is about the ways women and men interact and their ability to access resources and opportunities in their communities depending on their being a woman or a man. Therefore, when any type of survey or analysis of a society is undertaken, it is important to have data that reflects the situation of women in comparison to the situation of men and vice versa. For example, if a survey of girls' access to education services found that only 22% of girls in community X were going to school, this may seem like a case of gender inequality. However, without information on the corresponding percentage of boys, the analysis would be incomplete. If 85% of boys in community X were enrolled in school, then this would provide a clear context for gender inequality between boys and girls. However, if only 24% of boys were attending school, then it is likely that the issue is related to infrastructure, poverty, accessibility, or some other social factor.

Gender disaggregated data gives a breakdown of information based on sex, making it possible to compare and contrast the situation of men and women, boys and girls in a society in terms of their access, opportunities, roles and responsibilities. It is therefore very important that any survey or analysis undertaken does not merely single out women but reviews the situation of both men and women in relation to one another, to get a true picture of the role that gender plays in their abilities to access resources and opportunities.

Gathering gender-disaggregated data requires that data collection and compilation methods are such as to enable as much gender disaggregation from the beginning as possible. Therefore, a gender-based perspective must come in at the very earliest stages of planning.

## 6.0 The Importance of Monitoring and Evaluation

Monitoring and Evaluation (M&E) of development activities provides government officials, development managers, and civil society with better means of learning from past experience, improving service delivery, planning and allocating resources, and demonstrating results as part of their accountability to key stakeholders. Within the development community there is a strong focus on results. This helps explain the growing interest in M&E. Yet there is often confusion about what M&E entails.

Urban planners need to understand the rationale and method of effective monitoring and evaluation during the entire implementation of the urban strategic planning process. The Monitoring and Evaluation tool is intended to help planners in effectively monitoring the process and evaluating the outcomes of all phases of urban strategic planning.

### 6.1 Definitions of Monitoring and Evaluation

**Monitoring** is “an internal project activity designed to provide constant feedback on the progress of a project, the problems it is facing, and the efficiency with which it is being implemented” (Bamberger & Hewitt, 1986). It is performed while a project is being implemented, with the aim of improving the project design and functioning while in action.

**Evaluation:** An evaluation examines the outcome of a project (for example, changes in housing quality) or a distinct phase or segment of a project, with the aim of informing the design of future projects. Evaluation is primarily used to help in the selection and design of future projects. An evaluation exercise is a learning activity.

### 6.2 The purpose of Monitoring and Evaluation

Monitoring and Evaluation systems can be an effective way to:

- Provide constant feedback on the extent to which the projects are achieving their goals.
- Identify potential problems at an early stage and propose possible solutions.
- Monitor the accessibility of the project to all sectors of the target population.
- Monitor the efficiency with which the various components of the project are being implemented and suggest improvements.
- Evaluate the extent to which the project is able to achieve its general objectives.

The scope, or extent, of monitoring and evaluation is determined by a range of consideration including:

- the uses for which M&E is intended;
- the main stakeholders who have an interest in the M&E findings;
- the speed with which the information is needed; and
- the cost of the M&E exercise.

### 6.3 Monitoring and Evaluation Framework for the Urban Strategic Planning Process

Each step and phase of the UPMF are different in nature and tend to achieve different results. Therefore, it is good to have a simple set of indicators for each step and each phase. Once a specific phase is completed, it is evaluated by those who have been involved and conclusions are recorded.

The M&E framework helps in:

- Recording the achievement of objectives - Objectives are specific, operationalised statements detailing the desired achievements of a programme. In the UPMF the objectives are stated for each successive stage in the process.
- Monitoring the attainment of the expected results - Results are those targets that the working group at each level is determined to achieve during the implementation of each Step and each Phase. Monitoring measures the extent to which a team or working group has completed their tasks and met their targets in the planned timeframe.
- Evaluating the method and its usefulness/efficiency - The Method and the tools used at different stages should be evaluated constantly for efficiency if the desired results are to be obtained at each Step and Phase. Regular assessments may improve the method and adapt it to specific local circumstances. Furthermore, this exercise can help constantly to improve the skills of all those involved.



Urban planners need to understand the why and how to undertake effective monitoring and evaluation

## **6.4 Using a Monitoring and Evaluation Tool**

The M&E Tool allows participants at all levels to:

- Learn from the implementation of the urban strategic planning process
- Adjust the work programme where necessary
- Improve on future planning activities
- Replicate good practices of the participatory planning cycle in the future

The Monitoring and Evaluation (M&E) tool for urban strategic planning (see the “tools” section at the end of this Volume) provides guidance on the design of a monitoring and evaluation plan tailored to context-specific needs. M&E has been designed as a practical tool to measure progress and assess lessons (good as well as bad) during the implementation of the planning phases. In its final version, it is a short and regularly updated report. As applied at all stages of the planning process, M&E enables urban planners, municipal authorities and participants in city consultations at all levels to follow the programme as it is being implemented. The M&E report includes:

- The monitoring tools (how progress is measured)
- Success indicators to be monitored (what is measured)
- Results of monitoring indicators
- An interpretation of data for sharing results
- And other achievements obtained during the process

The M&E tool provides help to those involved in the urban strategic planning process to create a learning culture that constantly increases their ability and skills in implementing the process. The M&E Tool is neither a substitute for the substantive indicators that are identified in the Urban Situation Profile, nor whatever indicators may appear during the Urban Consultations and the Action Planning process.

## **6.5 Gender in Monitoring and Evaluation**

It is important to realise that urban planning will not have the same impacts on each segment of society. Certain groups may benefit more than others, while there may also be unintended negative consequences for certain groups. Using a gender perspective throughout the planning process, and especially in the monitoring and evaluation stage, will help to guard against such problems, and highlight them when they do occur.



## 7.0 Some Key Considerations

Cities and towns across the world are growing more rapidly than urban planners can cope with. Traditional 20-year perspective plans or “Master Plans” are not dynamic enough to keep pace with the changing situation or adjust to new priorities if and when necessary. The strategic planning approach allows planners to be flexible, to re-assess priorities on a regular basis and change the course of action as required. The participatory nature of the process ensures that all stakeholders have a voice and a choice in those decisions about development that would affect their lives. Strategic planning also promotes the concept of the “Inclusive City” that is advocated by UN-HABITAT, i.e., a place where all citizens have equal access to the opportunities offered by the city.

The notion of good urban governance forms the cornerstone of the strategic planning process. UN-HABITAT’s Global Campaign on Good Urban Governance puts forward some principles that characterise good urban governance, namely sustainability, subsidiarity, equity, efficiency, transparency and accountability, civic engagement and citizenship, and security. These principles can be applied in most stages of the strategic planning process: when conducting situation analyses, facilitating stakeholder consultations, drafting action plans or urban development plans, and when implementing projects.

While referring to stakeholder engagement, it is not enough to state that all stakeholders must have a role in determining the future of their human settlements and in accessing services and opportunities. It is important to ensure equal participation of men and women, boys and girls, in these processes. A gendered approach to urban planning and management implies that the specific needs and priorities of men and women are incorporated in situation assessments and prioritisation, and that the impact of planning on men and women is carefully examined before arriving at any decisions. A gendered stakeholder analysis, incorporation of gender-disaggregated data in urban situation profiling and appraisal, facilitating participation of both men and women in urban consultations, are all ways and means to ensure that urban planning is a gender-sensitive process.

Finally, since urban strategic planning is a dynamic and complex process, the importance of monitoring and evaluation in this process cannot be undermined. It is extremely critical to stop and evaluate both the process and its outcomes, at every stage of urban strategic planning. Monitoring is a mechanism that brings flexibility to the process and allows the stakeholders to make informed judgements about changing the course of action mid-way, if required. Evaluation helps in assessing the impact of any given activity, and in drawing lessons for the future. Therefore, these are essential tools for effective application of the strategic planning approach.

## Glossary

**Accountability:** Accountability literally means the ability to provide explanation and justification for choices and activities as well as a description of what has happened. The accountability of local authorities to their citizens is a fundamental tenet of good urban governance.

**Action Plan:** An output-oriented, actor-specific document outlining the mechanisms required to achieve the objectives of a specific strategy. The plan specifies details of inputs and actions by various stakeholders with practical work programmes, time schedules, types and timing of financial and other resource commitments.

**Action Planning:** The process through which strategies are converted into practical programmes or activities for implementation. The key feature throughout the process is an emphasis on full discussion and negotiation among the stakeholders involved.

**Citizenship:** A characteristic of citizens, i.e., the fact that they are members of a city or state by virtue of being legally resident there. As a norm of good urban governance, citizenship implies that all citizens, especially women, must be empowered to participate effectively in decision-making processes (UN-Habitat, 2002).

**City Profiling Team (CPT):** A group consisting of selected representatives of municipal departments and stakeholder representatives who can contribute significantly to data collection and the drafting of the Urban Situation Profile, Urban Situation Appraisal and Consolidated Urban Diagnosis.

**Civic Engagement:** One of the principles of good urban governance norms advocated by UN-HABITAT. Civic engagement implies that living together is not a passive exercise – in cities, people must actively contribute to the common good (UN-Habitat, 2002).

**Consensus:** An agreement reached by virtue of gathering information and viewpoints through discussion. A negotiated position is arrived at that is acceptable to all stakeholders once they have interacted through consultations, working groups and other mechanisms. The goal of the consensus-building process is to reach a decision with which everyone can agree.

**Efficiency:** In economics, the degree of efficiency is the ratio of project output (*or business income*) to project input (*or business expenditures*). Efficiency as advocated by UN-HABITAT good urban governance norms relates to efficiency in the delivery of public services and in promoting local economic development. Cities must be financially sound and cost-effective in their management of revenue sources and expenditures as well as in the administration and delivery of services; based on comparative advantage, cities must enable government, the private sector and communities to contribute formally or informally to the urban economy.

**Equity:** Refers to impartiality, fairness or justice. Norms of good urban governance refer to equity of access to decision-making processes and the basic necessities of urban life. Sharing of power leads to equitable access to and use of resources. Women and men must participate as equals in all urban decision-making, priority-setting and resource allocation processes.

**Evaluation:** An evaluation assesses the outcome of a project (for example, changes in housing quality) with the aim of informing the design of future projects. Evaluation is used mainly to help in the selection and design of future projects. An evaluation exercise is a learning activity.

**Gender:** The word “*gender*” refers to the social attributes associated with being male or female. It was coined in the social sciences (*borrowed from grammar – masculine and feminine words*). Gender focuses on the social perceptions that determine the way men and women are expected to behave, and what respective opportunities and constraints they face because of their gender.

**Gender Analysis:** A type of sociological analysis that seeks to understand the causal relationships leading to gender inequalities in a society. This is an important foundation for mainstreaming gender in various programmes in a community.

**Gender-Disaggregated Data:** The word “*disaggregated*” means that statistics or data are split into sub-categories. These can, for instance, include age, income, ethnicity, language or gender. Gender-disaggregated data designates statistics that are broken down between men and women, boys and girls, to help highlight the different situations and experiences of people based on gender. Availability of disaggregated data about a specific population is extremely important for the purposes of planning in a more meaningful way for all segments of society.

**Gender Equality:** Gender equality as a goal refers to equality between men and women, boys and girls in terms of access, opportunities, roles and responsibilities. It is important to remember that gender equality is not just numerical gender balance.

**Gender Mainstreaming:** The process of incorporating a gender-based perspective into all aspects of a programme. This process will differ across programmes – there is no set method. The idea is to ensure that all aspects are examined from a gender perspective in order to promote the final goal of gender equality.

**Investment Capacity Team (ICT):** A group of selected representatives of municipal departments related to finance and budgets (such as Economic Development, Budget and/or Finance, Accounts) along with a few stakeholder representatives (economists, trade and industry representatives, the private sector, etc.) who can contribute significantly to the preparation of the Investment Capacity Assessment Report.

**Initial Urban Consultation:** The first high-profile meeting of all the stakeholders involved in the urban strategic planning process. In this event, priority development issues for the city as set out in the Consolidated Urban Diagnosis are presented and discussed. This event may take two to three days.

**Issue-Specific Working Group/Working Group:** A small body of stakeholder representatives who come together to address particular issues or topics that are selected for further exploration or the purposes of the Action Planning urban consultation process. The members hold mutually complementing information, expertise, policy and implementation instruments and resources, which they bring together and use within the framework of participatory decision-making.

**Inclusive City:** A place where everyone, regardless of wealth, age, race, gender, etc., can participate productively in the opportunities that cities have to offer (UN-HABITAT, 2000).

**Indicator:** An indicator is a measurement of change that measures progress, or lack of it, towards achievement of an objective (Ministry of Interior, Thailand and GTZ, 2002). Indicators are like signposts, showing progress in social change.

**Influence:** The concept of “*influence*” implies an ability to modify some action, through indirect power or indirect control. As an essential feature of a stakeholder, influence refers to the impact that a stakeholder can have on resolving a specific issue.

**Local Resource Mobilisation:** A strategy or scheme showing how local government budgets can be maximised through identification of the various required resources. An important aspect of effective local resource mobilisation strategies is the definition of the way these resources are to be used in a transparent, equitable and purposeful manner. It is a part of action planning and a key step to ensure final implementation of action plans.

**Local Government Revenue (per capita):** The annual total of local government resources, both capital and current, divided by population (usually taken as a three-year average). This includes taxes, user charges, transfers, donations and aid.

**Municipal Planning Team (MPT):** A multi-sectoral group that comprises representatives (engineers, architects, planners, sociologists, geologists, accountants, economists, lawyers, etc.) from all departments within a municipality. The MPT is responsible for overseeing and guiding the municipal development process.

**Mission Statement:** A statement that defines the purpose or what (a city) seeks to achieve.

**Monitoring:** This is “*an internal project activity designed to provide constant feedback on the progress of a project, the problems it is facing, and the efficiency with which it is being implemented*”. (Bamberger 1986) This type of assessment is performed while a project is being implemented, with the aim of improving the project design and functioning while in action.

**Ownership:** In participatory urban decision-making, ownership refers to the right for stakeholders to engage, possess, decide and benefit in decision-making, problem-solving and achievements, either individually or collectively.

**Participatory Urban Decision Making:** A process that engages participation of citizens in urban decision-making that will facilitate equal involvement of men and women. The involvement of citizens in identifying their own needs, selecting priorities and developing alternative courses of action, offers better chances of achieving solutions that are sustainable, feasible and which the citizens are willing to implement.

**Power Dynamics:** The different levels of control over various resources that people have in a community. This is particularly important to consider when comparing the situation of women and men in a society. For example, if a woman is working outside the home and earning an income, questions about power dynamics would ask whether or not she was able to keep or control that income, or if she was forced to hand it over to her husband/father/brother.

**Responsiveness:** The ability of an entity to provide services to suit the requirements of the targeted group.

**Security:** As a norm of good urban governance, security refers to safety of individuals and their living environment. Every individual has an inalienable right to life, liberty and personal security. Cities must strive to avoid human conflicts and natural disasters by involving all stakeholders in the prevention of crime and conflict and in disaster preparedness. Security also implies freedom from persecution and forced evictions, and includes security of tenure.

**Stakeholders:** Individuals, groups or institutions with relative degrees of importance, interests and influence on, or whose agenda partakes of, a particular issue, concern or initiative towards a definite and common goal or purpose.

**Stakeholder Analysis:** Enables planners to identify and determine whom to engage and involve in the urban strategic planning process – the individuals, groups, and organisations with legitimate interests that should be represented with respect to specific issues.

**Strategic Priorities:** The overarching issues that cut across sectoral concerns and affect the future of the city.

**Strategic Urban Development Plan (SUDP):** A document that describes the objectives, strategic priorities, action plans and projects of a city, as set out in the agreements reached through the participatory process.

**Subsidiarity:** Subsidiarity means that responsibility for the provision and management of any service must be vested in the lowest echelon of authority that can deliver them in an efficient and cost-effective manner. UPMF advocates that as the level of governance closest to the people, municipalities should as much as possible be empowered to develop and implement strategic and spatial plans. Such empowerment would necessarily include delegations of power and resources to municipalities, along with efforts to build their capacity to engage stakeholders in meaningful, constructive decision-making. Subsidiarity is one of the key principles of good urban governance.

**Sustainable Development:** A type of development that meets the needs of the present generation without compromising the ability of future generation to meet their own (Brundtland Commission, 1987).

**Sustainability:** A fundamental principle of good urban governance, sustainability necessarily involves two major elements: keeping the consumption of natural resources, materials and energy within regeneration and substitution limits; and polluting the atmosphere, land and water only within limits that can be comfortably tolerated by people, buildings, wildlife and plants. Sustainability implies that cities must balance the social, economic and environmental needs of present and future generations (Also see: Sustainable Development).

**SWOT (Strengths, Weaknesses, Opportunities, Threats):** A strategic analysis tool used to identify Strengths, Weaknesses, Opportunities and Threats a city faces. Strengths and weaknesses are internal characteristics of any city/situation, while opportunities and threats are external factors that can influence the situation. Carrying out a SWOT analysis helps planners to focus activities in such a way as to build on strengths, maximise opportunities, eliminate weaknesses and reduce the impact of threats.

**Transparency:** Transparency literally means, “sharing information and acting in an open manner.” This refers to the conduct of public business in a way that affords stakeholders wide access to the decision-making process and the ability to influence it. Transparency allows stakeholders to gather information that may be critical to defending their interests and uncovering abuses. Transparent systems have clear procedures for public decision-making and open channels of communication between stakeholders and officials, making a wide range of information available. Transparency and accountability together form one of the core principles of good urban governance. (UNDP, 1997; UN-HABITAT, 2000)

**Urban consultation process:** A participatory process that aims at a common understanding of key issues and priorities and agreeing on the course of action to be undertaken before drafting the Strategic Urban Development Plan. This is a process where stakeholders bring together issues and concerns and develop a broad-based consensus on practical solutions. The consultation process is not only a means of effective plan formulation and implementation; it is also an end in itself, as it stimulates participation and civic engagement in the city.

**Urban Governance:** The sum of the many ways in which individuals and institutions, both public and private, plan and manage the common affairs of the city. This is a continuing process that can accommodate conflicting or diverse interests and take co-operative action. Governance includes formal institutions as well as informal arrangements, together with the social capital of citizens. Therefore, it is a broader concept than “government”, which refers only to the formal and legally established bodies in a political structure. (UN-HABITAT, 2000)

**Urban Planning and Management Framework (UPMF):** An inclusive, action-oriented planning approach that advocates the preparation of strategic urban development plans through a broad-based participatory process. The concept of UPMF has been developed by UN-HABITAT during the course of its work in the Balkans. It consists of four phases: Urban Situation Analysis, Sustainable Urban Development Planning, Sustainable Action Planning, and Project Implementation and Management.

**Urban Situation Analysis:** A process that looks into the current situation of a city in terms of its physical, environmental and socio-economic conditions. This is the first phase of the Urban Planning and Management Framework (UPMF), and includes a number of steps relating to stakeholder identification, assessment of the city situation, major issues and capital investment capacities.

**Urban Situation Appraisal:** An approach that analyses and validates the preliminary data collected in an Urban Situation profile (Also see: Urban Situation Profile). UPMF uses SWOT as an effective tool for the Urban Situation profile.

**Urban Situation Profile:** Provides a systematic overview of a city, with information and analysis of the existing conditions carefully organised around thematic areas. The purpose of an Urban Situation Profile is to build a shared understanding of issues and to facilitate their prioritisation by the stakeholders based on objective analysis and up-to-date information.

**Urban Strategic Planning:** A complex and continuous process of planning for city change that is oriented to the future. It helps identify and achieve the most important strategic actions in view of the current situation.

**Vision Statement:** A description of a desired situation in the future. Goals and objectives can be derived from such a vision, once defined. A city vision would include social, environmental, economic, organisational and political aspirations of the city and its stakeholders.

**Working Group (WG):** (See Issue-Specific Stakeholder Working Group)

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## Volume 1 Tools

Tool No. 1: The Monitoring and Evaluation Tool for UPMF

An example of questions to be asked in the Urban Situation Analysis Phase

<b>The Participatory Urban Planning and Management Framework is an action-oriented planning and management tool that aims at:</b>		
<b>AIM</b>	<b>Phase</b>	<b>Results</b>
A. Providing for a participatory urban planning process, which informs and engages citizens in decision-making and funding of city development	1	
B. Engaging stakeholders* in urban planning and co-financing urban infrastructure and services	3 4	
C. Improving the technical quality of urban project proposals and management	1 2 3 4	
D. Improving urban management practices	4	
E. Making urban planning transparent and accountable	1	
F. Increasing the sense of “ownership” among all stakeholders for enhanced maintenance and operation of urban infrastructure and services	2 3	

<b>Step 1: Conducting an Urban Stakeholder Analysis</b>		
Objectives	Identify stakeholders to maximize their opportunities for engagement in urban development planning and investments	
Expected Outcome	Identification of the varied interests stakeholders may have in participating in planning and co-funding urban improvements and development	
What to Monitor and Evaluate	Questions	Answers
Assessing achievement of objectives	<p>How have the stakeholders' opportunities for engagement in urban development investment been enhanced?</p> <p>To what extent are the stakeholders able to engage in urban development planning and investment?</p>	
Monitoring Results	<p>Does the analysis include all stakeholders (women, ethnic groups, etc.)? If not, explain why</p> <p>Why do you believe that stakeholders will participate in planning and co-funding ?</p>	
Evaluation of method	<p>How has the method and /or tools used helped to identify stakeholders?</p> <p>Give recommendations on how to improve on the method/tool.</p>	

<b>Step 2: Preparing Urban Situation Profiles</b>		
Objectives	Provide detailed and systematic knowledge on the physical, environmental and socio-economic situation	
Expected Outcome	Detailed reports on the physical, environmental, and socio-economic conditions of the cities and towns The report shall provide gender-sensitive data	
What to Monitor and Evaluate	Questions	Answers
Assessing achievement of objectives	Has the urban profile enhanced your knowledge and understanding of the physical, social-economic and environmental situation of the city?	
Monitoring Results	Does the report include all sectors – physical, social-economic and environmental aspects of the city? How does the report take into account the gender and ethnic perspectives?	
Evaluation of method	To what extent did the method used contribute to the quality of the report? What recommendations do you have to improve on the method used?	

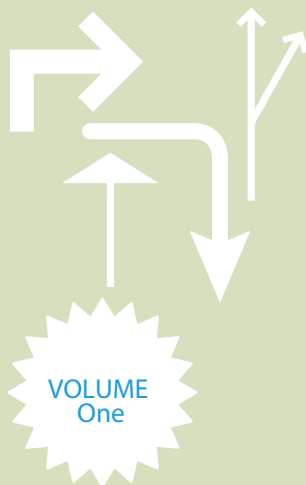
<b>Step 3: Carrying Out Urban Situation Appraisals</b>		
Objectives	Identify comprehensive and multi-sector urban development issues for action planning	
Expected Outcome	A report on the 2-3 most pressing urban issues using SWOT analysis (Strength, Weaknesses, Opportunities and Threats)	
What to Monitor and Evaluate	Questions	Answers
Assessing achievement of objectives	Has the appraisal included all multi-sector urban development issues? How comprehensive are the issues in the report?	
Monitoring Results	How do the issues in the report reflect those the stakeholders perceived/identified as the most pressing? What other issues could have been included in the report to make it more comprehensive?	
Evaluation of method	How adequate was the SWOT Analysis in identifying pressing issues? What other method would you have used to get better results?	

**Step 4: Conducting an Investment Capacity Assessment**

Objectives	Identify potential capacity and interest of public, private and community sectors urban services and capital investments	
Expected Outcome	An overview of the city's municipal capital investment capacity and the any commercial interest of among the private sector in co-funding urban improvements and development	
What to Monitor and Evaluate	Questions	Answers
Assessing achievement of objectives	Has the assessment increased the interest of the public, private and community sectors in urban services and capital investments?	
Monitoring Results	What is the capacity by sector? Who are the main potential co-funding partners? What are the major gaps in capital ?	
Evaluation of method	To what extent did the assessment help to identify potential capacity in capital investments? What sort of difficulties did you have in using this method? What other method would you have used to achieve better results?	

### Step 5: Consolidating Situation Profiles, Situation Appraisal and Investment Capacity Assessment

Objectives	Provide a consolidated report on the condition of the city or town for discussion and action	
Expected Outcome	An Urban Diagnosis, which provides and overview of constraints and opportunities	
What to Monitor and Evaluate	Questions	Answers
Assessing achievement of objectives	Does the report provide a well-structured body of information (on the condition of the city) and framework for discussion?	
Monitoring Results	Does the report include all the important issues in the selected thematic guides? To what extent does the diagnosis provide constraints and opportunities? Was the report clear and useful for discussion?	
Evaluation of method	What difficulties did you have in preparing the report? Was there adequate time and information for preparation of the report? Do you have any suggestions for making the report more presentable and more informative?	



**INCLUSIVE AND SUSTAINABLE  
URBAN DEVELOPMENT PLANNING:**

# **A GUIDE FOR MUNICIPALITIES**

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