

INCLUSIVE AND SUSTAINABLE  
URBAN PLANNING:

# A GUIDE FOR MUNICIPALITIES

3

VOLUME  
Three

Volume 3:  
Urban Development Planning

UN  HABITAT

**INCLUSIVE AND SUSTAINABLE  
URBAN PLANNING:**

# **A GUIDE FOR MUNICIPALITIES:**

# **3**

**VOLUME  
Two**

**Volume 3:  
Urban Planning**



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## 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.



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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 3. Urban Development Planning

### Acronyms

CPT	City Profiling Team
CUD	Consolidated Urban Diagnosis
EU	European Union
GCUG	Global Campaign on Urban Governance
ICA	Investment Capacity Analysis
ICT	Investment Capacity Team
M&E	Monitoring and Evaluation (M & E)
MPT	Municipal Planning Team
NAP	Neighbourhood Action Planning
NGO	Non-Governmental Organisation
PT	Profiling Tool
PUD	Participatory Urban Decision Making (PUDM)
SA	Stakeholder Analysis
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)
UN-HABITAT	United Nations Human Settlements Programme
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 Concepts**

### **2.1 Urban Strategic Planning**

Strategic planning guides development in the direction of the strategic priorities identified by all stakeholders through a consultative process. It is based on a comprehensive situation assessment (Urban Situation Analysis) and involves development of a vision, mission, goal and objectives; setting priorities and strategic directions; and defining actions, which form part of the Strategic Urban Development Plan. Urban strategic planning, and plans, in no way replace the spatial planning process or spatial plans that are to be prepared at various levels.

The strategic approach is applied throughout the planning process. This is the stage where the vision, mission, goals and objectives for a city (all of these being major highlights in a strategic approach) are worked out and agreed upon by all stakeholders. Furthermore, strategic priorities are identified by, and consensus sought from, stakeholders. Without application of the strategic approach at this stage, the whole principle of inclusive planning would be defeated.

### **2.2 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. There is a strong linkage between good governance norms and the process of developing Strategic Urban Development Plans (SUDP). Improvement in urban governance and planning practice are interdependent and mutually reinforcing.

#### **Sustainability**

Urban strategic planning calls on leaders and stakeholders representing all sections of urban society to work together for a long-term, strategic vision and develop the ability to reconcile divergent interests for the common good. Urban consultations trigger and encourage broad-based discussions on the future of the city, including the potential impact of alternative development strategies on the community's life, social and economic conditions, and the natural and built environment. The principle of sustainability is thus upheld in the urban development planning process.

#### **Subsidiarity**

The principle of subsidiarity means that the responsibilities 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. Enabling local governments to develop and implement Strategic Urban Development Plans in consultation with stakeholders, with special emphasis on preparation of realistic action plans to address immediate priorities, reflects the principle of subsidiarity. The urban consultation process embraces this principle by ensuring that the lowest level of decision-makers is empowered to facilitate the development and implementation of Strategic Urban Development Plans for their cities.

## **Equity**

Under urban strategic planning, urban consultations for the preparation of strategic urban development plans must involve representatives of all stakeholder groups, both men and women, and take into account their specific needs. As far as possible, this should include collection of gender-disaggregated data. Urban Consultations provide for participation of all stakeholders in broad-based discussions to determine a city's development priorities. Ensuring that all stakeholders – men and women, vulnerable groups – have access to decision-making processes, holds the key to equitable development.

## **Efficiency**

One of the key objectives of any Strategic Urban Development Plan (SUDP) is to maximise the existing human, physical and financial resources available in the city for urban development. To this purpose, innovative mechanisms and public-private partnerships mobilise various stakeholder groups. Through the involvement of the private sector and communities in consultations that set the priorities for Strategic Urban Development Plans, cities can mobilise more resources and build partnerships for the implementation of development projects.

## **Transparency and Accountability**

Transparency and accountability are best 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 urban consultations and the preparation of action plans is reinforced through greater access to information, including statistics and municipal financial data.

## **Civic Engagement and Citizenship**

The overarching principle of the urban consultation process is civic engagement. Involvement of stakeholders in development-related decision-making is crucial for the successful implementation of any development plans. This is achieved through consultations and through establishment of issue-specific working groups.

## **Security**

Urban consultations and the development plans that they help devise provide citizens with an opportunity to raise issues pertaining to their sense of personal and material security. Security of women and children as well as of ethnic and religious minorities, must be addressed to satisfy their specific needs.

### **2.3 Public Participation**

Public participation is the cornerstone of urban consultations for the formulation of a Strategic Urban Development Plan (SUDP). Such participation in urban decision-making is increasingly seen as the key strategy whereby government and civil society can solve urban problems effectively and in a sustainable manner. It is also crucial for ensuring equal involvement of men and women. When citizens are involved in identifying their needs, selecting priorities and

developing alternative courses of action, chances are better that any solutions are sustainable and feasible and that the citizenry is willing to implement them.

Public participation can be implemented through a number of tools such as Stakeholder Analysis, participation in City Profile Teams and Investment Capacity Assessment Teams<sup>1</sup>, Urban Consultations and Working Groups. In order to ensure full representation of various segments of society in participatory decision-making, it is essential to provide for participation of both men and women, all ethnic groups, as well as such vulnerable groups as the disabled or the urban poor. Urban consultations and working groups provide an excellent platform for participation in urban strategic planning.

Public participation takes place at various stages, ranging from the lowest level of participation, i.e., receiving information, to one where stakeholders become partners in development initiatives and begin to assume full responsibility for their management. In this phase of urban strategic planning, the levels of participation include not only information sharing but also consultation, consensus building and decision-making.

**Information:** Participating stakeholders are informed about the whole urban consultation process, and about rights, responsibilities and options throughout this process.

**Consultation:** Stakeholders have an opportunity to voice suggestions and concerns on the various issues that are highlighted in the consolidated urban diagnosis and presented for consultation.

**Consensus building:** This level entails stakeholders interaction in order to understand each other and arrive at negotiated positions that are acceptable for the whole group.

**Decision-making:** Once they reach consensus on key decisions, stakeholders begin to share responsibilities for the outcomes that may result. Negotiations at this stage reflect the various degrees of commitment exercised by individuals and groups. This level of participation is used mainly during the final urban consultations and after drafting the SUDP, when stakeholders take on responsibilities and seal their commitments with some formal agreement.

It should be noted that each of these levels of participation is used strategically at various stages in this phase, with the ultimate stage ensuring that stakeholders are involved in decision-making. Therefore, the success of urban consultations is measured against the degree of stakeholder involvement in the process, the consensus that has been arrived at and the degree of commitment pledged by all.

## 2.4 Gender

As stated in previous sections, strategic planning is the key tool for inclusive urban development. If it is to be truly inclusive and participatory, urban strategic planning must ensure that both men and women are equally involved and at every stage in the process. This is of particular importance in the development of a Strategic Urban Development Plan. This is the moment when priorities are set, with the involvement of, and ultimate consensus among, all stakeholders. Therefore, at this stage the challenge for the urban planner is to ensure that both men and women are equally *involved*, rather than merely represented, in the planning process.

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<sup>1</sup> These steps have been introduced in Volume Two "Urban Situation Analysis"



Urban Consultations present a mechanism that enables comprehensive, qualitative and effective stakeholder engagement

Equal participation by men and women at this level ensures that their different needs are not only heard but also reflected in the priorities and plans set out in a municipality. The strategies outlined in previous volumes, which look to ensure equal access to participation for men and women, should be used throughout the urban strategic planning process, particularly when preparing consultations and action plans.

### **3.0 Urban Consultations**

Stakeholder consultations are essential to participatory urban strategic planning. They enable comprehensive, qualitative and effective stakeholder engagement. Stakeholders from all sectors (public, private and civil society) and various professional backgrounds interact in order to arrive at collective solutions to urban problems. Issue-specific working groups (also referred to as working groups), comprising representatives of various stakeholder groups, are formed to develop action plans that address strategic priorities. Consensus is achieved in the form of urban agreements signed by all key stakeholders. This is the overall outcome of the whole urban consultation process, which leads to the preparation of a draft Strategic Urban Development Plan.

Urban consultations are conducted in two stages. An initial urban consultation focuses on establishing some common understanding of the development issues, starting with formulating a vision and a mission, goals and objectives, and through to agreeing on strategic priorities. Working groups, which are mandated to develop action plans, refine these strategic priorities. The second stage is the final urban consultation, which is held once the working groups have completed their tasks. The final urban consultation focuses on finalisation of action plans and agreement on key actors, roles and responsibilities, timelines and allocation of resources.

The process of urban consultations starts with involving and mobilising the relevant stakeholders identified in the stakeholder analysis<sup>2</sup> and eventually leads to the signing of agreements on an appropriate course of action. Before undertaking any activities in stakeholder consultations, it is important to understand their essence and purpose, who is involved and why, and the basic principles that guide successful consultations.

#### **3.1 Participation in Urban Consultations**

An Urban Consultation is a participatory event that brings together different stakeholders representing different sectors and professions. The objective is to create better understanding of issues, secure agreement on priorities and seek local solutions with a broad-based consensus. Throughout the urban strategic planning process, consultations take place at various levels, in different forms, at varying scales of participation, and addressing various issues.

An urban consultation is a high profile, citywide event. The initial consultation is held at the end of the first phase (urban situation analysis), after finalisation of the various analyses and assessments that describe conditions in the city. This initial urban consultation does more than mobilise a wide range of stakeholders; it also helps them to focus on the common problems highlighted in the consolidated urban diagnosis. The final urban consultation is held once the working groups have devised the action plans for the previously determined strategic priorities. The entire urban consultation process could last between six and eight weeks depending on, among other things, the nature of the issues, the commitment of the stakeholders, the effectiveness of the working groups as well as the efficiency of the organisers in terms of preparatory arrangements for the various consultation stages. Together with the Municipal Planning Teams, municipal planners are responsible for the initiation and management of urban consultations.

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<sup>2</sup> Introduced in Volume Two "Urban Situation Analysis"

## **Box 2: Making Urban Consultations Work**

Urban consultations provide an opportunity for all citizens to voice their interests. One of the basic rules for engaging stakeholders in urban consultations is inclusion and representation of all. The quality of any decisions made during urban consultations is a function of compliance with this rule. Stakeholder selection ahead of consultations must be based on the stakeholder analysis. All relevant stakeholders who have a stake or have influence in the issues highlighted in the consolidated urban diagnosis should participate in urban consultations.

Any relevant political leaders and decision-makers should also participate, as this is an opportunity for them to hear directly from the people about their aspirations and concerns. To a large extent, the success of an urban consultation depends on the consensus among all stakeholders, including vulnerable and often under-represented groups such as women, ethnic minorities, the urban poor, the disabled, children and young people. As an issue that cuts across all phases of urban strategic planning, the gender perspective cannot be over-emphasised. It is important, and particularly when building consensus, to be aware that alternative perspectives on any issue can become marginalised. Therefore, the methods used in consultations must allow for equal participation of all stakeholders, both women and men, enabling them to voice their views and have them considered.

### **3.2 The Purpose of Urban Consultations**

The overall purpose of consultations as part of urban strategic planning is to enable the sharing of information, consensus building and broad-based stakeholder engagement. More specifically, urban consultations are conducted in order to:

- Bring together all key stakeholders (as defined by the stakeholder analysis, including from the public and private sectors, as well as civil society) to discuss the development problems faced by the city;
- Define the collective vision, mission, goals and objectives and determine strategic priorities in a participatory manner involving all key stakeholders;
- Identify, review and elaborate upon strategic priorities that affect the sustainable growth and development of the city;
- Mobilise social and political support and elicit the degree of commitment that will enable the working groups to address the agreed strategic priorities through action plans; and
- Agree on the roles and responsibilities of key actors in the implementation of the action plans prepared for each strategic priority, as well as on resource allocation and the time frame for specific activities.



Engaging stakeholders involves inclusion and representation of all

### 3.3 The Basic Principles of Urban Consultations

Urban consultations are built on the following guiding principles:

- **Inclusiveness:** Bringing together all key stakeholder groups (including under-represented and vulnerable groups), giving them an opportunity to identify their concerns, to voice their opinions and determine their respective roles and contributions. It is important that the consultation provides a forum where opinions of all social groups and both men and women are heard and considered equally.
- **Continuity:** Far from being one-off events or end-products, urban consultations are a continuous process. At the end of each round of consultations, agreements should be reached on a course of action and on forms of participation, as well as on organisational arrangements and future sustainability issues.
- **Responsiveness:** A carefully structured and facilitated urban consultation process leads to practical results that are responsive to stakeholders' needs. Each of the major stakeholder groups has an opportunity to identify their concerns, to outline their perspectives, and to argue their case. Facilitators of urban consultations must ensure that the way these are organised is conducive to free and focused discussion, and they should avoid pre-defined answers or solutions. Any solution(s) must respond to participants' discussions and negotiations.
- **Expression of Collective Will:** Urban consultations are not based on statutory instruments or formal administrative procedures; instead, their mandate and legitimacy originates with the collective will that participating stakeholders have publicly expressed.
- **Co-operation:** Urban consultations build on finding some common ground and on sharing knowledge, expertise, and resources from various sources. They promote co-operation and the pooling of information while encouraging joint mobilisation of resources.



- **Consensus:** Urban consultations promote better understanding of different perspectives and interests, and make it easier to reach some common ground and shared interests. They also enhance willingness to work out mutually acceptable solutions.
- **Flexibility:** Urban consultations have been used with success in many diverse socio-cultural contexts, on various scales and with different scales of engagement. With their flexible structure, they have proved relevant for virtually any type of context or urban situation. Flexibility in the consultation process allows stakeholder involvement in the form and to the extent suitable for a diversity of situations.

### 3.4 Expected Outcomes of the Urban Consultation Process

The urban consultation process can be organised in terms of inputs and outputs at each step, as shown in Table 1 below.

**Table 1: Inputs and Outputs of the Urban Consultation Process**

Step	Inputs	Outputs
Initial urban consultations	Consolidated urban diagnosis	Vision, mission, goals, objectives, Strategic priorities Working groups
Working groups	Strategic priorities	Action plans based on strategic priorities
Final urban consultations	Action plans from working groups	Finalised action plans Urban agreements/pacts Draft Strategic Urban Development Plan

### 3.5 Gendered Urban Consultations

Urban consultations are an important component of the urban strategic planning process. The consultative process must endeavour to involve various stakeholders. This includes placing special emphasis on the equal representation and involvement of men and women. In order to achieve equal representation, it is important to understand the unique conditions, needs and capabilities of men and women, so that consultations can maximise their involvement.

Some obstacles will often stand in the way of equal participation, particularly for women, and they must be addressed if a gender-equal urban consultation is to take place. These issues may include accessibility of meetings in terms of transport, timing and security, or cultural barriers, such as speaking out in a mixed setting. Strategies that secure gender-equal participation can facilitate the inclusion of all voices in the consultation process.

The two stages of the consultation process will also deepen equal participation of men and women in urban planning. The initial consultation – which focuses on sharing information, views and perspectives – will enable women’s views to be equally heard. The second consultation focuses on priority setting, ensuring that the respective priorities of men and women are equally considered, and that women’s views have not dropped off the agenda. This combined approach will ensure more substantive participation of women, and a more inclusive result from the process.

Equal involvement of men and women through the consultation process will reinforce stakeholders’ commitment to the urban strategic planning process, and use of gender strategies in stakeholder analysis will have provided a good foundation for this. The equal roles of men and women in the decision-making that is part of the consultations will enrich the overall planning process.



## 4.0 The Initial Urban Consultation

The initial urban consultation is the first major event that brings various stakeholders together to discuss the priority development issues of a city. This event may take between one and three days.

### 4.1 Objectives and Expected Outcomes

The main objectives of the initial urban consultation are:

- To review the priority issues set out in the consolidated urban diagnosis and to identify strategic priorities for the city development participatory process
- To collectively set out a vision, a mission, goals and objectives for the city; and
- To form issue-specific stakeholder working groups for the purpose of refining the strategic priorities and developing action plans.

The expected outcomes at this stage are a vision and a mission statement for the city, followed by well-defined goals and a set of objectives for each specified goal. Furthermore, strategic priorities for the city's development are expected to emerge from the overall priority issues in the light of the vision, mission, goals and objectives. The outcome of this meeting should be the setting up of issue-specific stakeholder working groups for each identified strategic priority.

### 4.2 Key Actors

Urban planners and the Municipal Planning Team are the key actors responsible for organising and co-ordinating the event, with the CEO overseeing the whole process. Specific roles must be assigned to the MPT members and the planners.

All relevant stakeholders must be invited to participate in the discussions. This includes both the stakeholders that are affected by development issues and decisions, and those that have the power and resources to influence the decisions. It is important to remember that all stakeholders should be treated equally in terms of contributions and discussions. However, participation should not be limited to invitees only. The consultation must be widely publicised in the local media and should be open to all interested citizens.



Participation of high-level decision-makers ensures political, financial and organisational support for the process and its outcomes

### **4.3 Preparatory Activities**

The initial urban consultation must aim at securing the widest possible participation from stakeholders. However, it is equally important to ensure the participation of high-level decision-makers to gain political, financial and organisational support for the process and its outcomes.

Other preparatory tasks required for a successful initial urban consultation include:

- Setting up and briefing an organising team.
- Appointing a facilitator/moderator and integrating the facilitation requirements into the planning of the Consultation.
- Developing and gradually refining a list of participants to the consultation.
- Preparing an agenda and programme of activities and determining the number of days the consultation will last.
- Preparing resource materials for all participants, including: copies of the consolidated urban diagnosis and other relevant information, presentations highlighting the key issues emerging from the consolidated urban diagnosis, and any tools that will help define a collective vision and identify priorities.
- Selecting discussants and developing a detailed agenda, including presenters' and facilitators' notes or guidelines.
- Organising the key logistics: venue, dates, equipment, etc.
- Briefing municipal administrative or support staff for organisational, administrative and logistical support.
- Raising public awareness of the forthcoming consultation, disseminating information and generating publicity through the media, including radio and TV, newspapers and magazines.
- Finalising substantive and logistical preparations.
- Re-confirming key stakeholders' participation as well as political support and involvement.

### **4.4 Key Elements and Suggested Agenda for an Initial Urban Consultation**

The discussions in an initial urban consultation will set the ground for the success of the entire participatory planning process. The following key elements are recommended for inclusion in the initial urban consultation.

#### **Reviewing the Consolidated Urban Diagnosis**

The first important element of the consultation is a review of the findings of the consolidated urban diagnosis. Following the formal opening and briefing on the objectives and the course of the consultation process, the city situation as described in the diagnosis and other documentation should be presented to the stakeholders. This is followed by a discussion of any gaps, problems or priority issues under each thematic area. The purpose of this exercise is to achieve a common understanding of the city context and a framework for subsequent actions. This is a major opportunity to highlight some of the gender issues raised in the analysis phase and elicit further feedback from stakeholders on these issues.

In this process, tools such as the criteria chart and the cause-and-effect graph (see *tools No. 9 and 11 at the end of this volume*) can help identify priorities.

## Developing a Vision, a Mission, Goals and Objectives

Once any major gaps and priorities have been identified, a brainstorming session (*tool No. 1*) will collectively set out a vision, a mission, goals and objectives for the city. The vision must reflect the strengths, weaknesses, opportunities and threats that have been identified. The purpose of this exercise is for the stakeholders to reach a common understanding of the needs of the city and arrive at a consensus on what they want their city to be like. The exercise can be more effective if carried out in small groups, which will also elicit more equal participation by women and men.

## Determining Strategic Priorities

Determining strategic priorities involves prior review of, and agreement on, the *priority issues* highlighted in the consolidated urban diagnosis. The priorities must also be consistent with the vision, mission, goals and objectives that have been identified in a prior step. To assist them in this task, participants can use a criteria chart or criteria questions (*tool No. 11*).

The leadership of the municipality must endorse these strategic priorities before the working groups begin developing action plans. Political backing is essential if any of the action plans thus prepared are to be implemented.

## Setting up Working Groups

The setting up of working groups is the outcome of the initial urban consultation. Once the priorities have been identified and a vision, a mission, goals and objectives agreed upon, participants to the consultation issue a formal statement outlining the next steps. The statement is also a way of sharing the proceedings with any high-level officials and participants who were not able to attend all the sessions. The statement will help elicit their commitment and support for future actions. A statement also ensures that those women who have been unable to attend the consultations are equally able to access information about the proceedings. Therefore, the working groups should ensure that channels of information reach both men and women equally.

**Table 2: Suggested Agenda for Initial Urban Consultations**

Session	Day	Topic	Aim
Plenary	¼	Opening and presentation of consolidated urban diagnosis	Common understanding of the urban situation
Group Discussion	½	Determining a vision, a mission, goals and objectives	Development of alternative vision, mission, goals and objectives (VMGO)
Plenary	¼	Presentation of group discussions	Ensure common VMGO
Plenary	¼	Identification and discussion of the strategic priorities, with potential commitments logged in	Identification of development guidelines that address major stakeholders' common priorities
Group Discussions	¾	Group analysis of strategic priorities (one group per priority)	Focused discussion on a single issue Getting a different perspective on each issue.
Plenary	½	Summary of group discussions Establishing working groups on strategic priorities Conclusions of the consultation Closing and thanks	Consensus on strategic priorities, forming working groups and compiling conclusions Reporting on the achievements of the initial urban consultation

## 5.0 Issue-Specific Working Groups

Cities can usually identify and prioritise issues of common concern with relative ease. However, reaching a consensus or broad agreement on effective solutions and reconciling short- and long-term gains often proves to be far more difficult, as is finding a balance between the costs and benefits for different social groups. Furthermore, converting agreed solutions into successful, implementable action plans is also a complex process requiring intensive negotiations among stakeholders. Many of these issues can be more easily dealt with if all groups of stakeholders are included in the decision-making process at an early stage. This is the main purpose of establishing issue-specific stakeholder working groups (hereinafter referred to as “working groups”).

### 5.1 Objectives and Expected Outcomes

The primary objective of the working groups is to prepare action plans for the strategic priorities that have been identified. As products of the initial urban consultation, working groups have very specific tasks to perform. One such group is set up for each strategic priority, with a focus on specific issues pertaining to this priority area and on participation from interested stakeholders. Examples of issues for which working groups may be set up during urban consultations include: air and water pollution, solid waste management, access to healthcare, inner city traffic systems, housing, revitalisation of public spaces and rehabilitation of green areas.

Working groups are not independent entities; they draw their mandates from the existing institutions that participate in the urban strategic planning process through their representatives. They are not permanent, either. They remain in function until strategies are negotiated, action plans are developed and agreements on commitments are reached.



Working Groups are a result of the initial urban consultation and have very specific tasks to perform.

## 5.2 Principles for Setting Up Effective Working Groups

In many cases, working groups originate from, and use the experience of, the various consultative groups established at the beginning of the “urban situation analysis” phase, such as the city profile team or an investment capacity assessment team. Others emanate from the discussion groups established during the initial urban consultation. In every case, working groups are composed of representatives of stakeholder groups and institutions involved in the strategic planning process. They last as long as is required for discussion of, and agreement upon, strategies and action plans. The number of working groups, their composition, size, and working arrangements vary depending on the nature of the issue they focus on and the stage in the process.

**Number of Working Groups:** For practical reasons, the number of strategic priorities – and therefore the number of working groups – should remain limited in the first round of the urban consultation process. The optimum number is three to five. This favours both co-ordination and efficiency, especially if urban planners and members of the Municipal Planning Team are responsible for facilitating these groups.

**Composition:** Working groups should comprise 10 to 15 members, including representatives of the various stakeholder groups, institutions, organisations and even individual citizens who may wish to contribute to the discussions. Adequate gender and ethnic representation is extremely important and should be given utmost attention.

**Membership:** There are two methods of setting up working groups. The first is to have participants in the initial urban consultation volunteer to join one of the working groups. Under the second method, the team organising the urban consultation nominates stakeholder representatives that work in the various groups. A combination of the two approaches is also possible and can work in favour of equal representation of men and women on each working group.

**Chairing of Meetings:** Each working group elects its own chairperson to preside over the proceedings. The chair maintains a group spirit and ensures that the debates remain focused on the set objectives. The chair can also act as a co-ordinator/facilitator. If this is not possible or desirable, one of the working group members should assume the role of facilitator.

**Documentation of Meetings:** The working group should appoint one of its members as permanent rapporteur. The role of a rapporteur is to keep minutes of all the meetings and record the key points in the discussion, together with any conclusions and agreements reached during meetings.

**Consensus building:** Working groups operate based on the principle of consensus building, which in practical terms means co-operation and dialogue between stakeholders. As a result, any negotiated positions that are arrived at are acceptable to the whole group. Just as importantly, this is a good way of ensuring that the final decisions of a working group equally reflect the views of women and men.

**Flexibility:** Working groups should be flexible and able to quickly adapt to changes. This can be achieved through sub-groups for any sub-issues that crop up when a major problem is broken down into smaller components.

**Frequency of Meetings:** Working groups set up their own calendar of meetings and adapt it to the time schedule of the final urban consultation. They may need to meet even as frequently as once a week if they are to be ready with their draft action plans on time. Meetings must also be timed to provide equal access of all members, and in particular must take into consideration the different responsibilities of the men and women sitting on the group.

The smooth, effective running of a working group is a function of three distinct factors: its composition, the degree of commitment and competence of its members, and the way its activities are organised.

### **5.3 Roles and Responsibilities of Working Groups**

As stated earlier, the primary responsibility of working groups is to develop action plans addressing the strategic priorities that have been identified during the initial urban consultation. In order to do this, the working groups elaborate, consolidate, and build on the discussions and preliminary agreements reached during the prior consultation.

In their activities, the working groups rely largely on the results of the urban situation analysis, including information from the urban situation profile, the SWOT analysis conducted as part of the urban situation appraisal, and the investment capacity assessment of the city.

Working groups operate within tightly defined terms of reference as well as time frames. The responsibilities of working groups include:

1. Clarification and analysis, from all perspectives, of the strategic priorities identified during the initial urban consultation;
2. Development of alternative solutions and strategies, and evaluation of alternatives using various tools;
3. Identification of key stakeholders whose inputs and influence are critical for the development and implementation of solutions;
4. Negotiation of commitments with stakeholders as part of the process of action plan development;<sup>3</sup>
5. Development of action plans covering the activities, actors, time frames and resources needed for implementation; and
6. Presentation of draft action plans for finalisation during the final urban consultation.

### **5.4 Clarification and Analysis of Strategic Priorities**

Clarifying and analysing a specific strategic priority and examining its various dimensions are the primary tasks of a working group. In order to do this, a working group may need to refer to the urban situation profile, the urban situation appraisal and the investment capacity assessment as well as to the consolidated urban diagnosis if group members are to develop a clear understanding of that specific issue. This stage also includes collection of any additional information that may be necessary, and sharing it within the group. This is followed by an analysis of the underlying causes of the problem (*tool No. 11*) and its various associated factors and conditions. It is necessary to clarify the immediate and longer-term impacts and implications of the issue, and to define any institutional, technical and other aspects that need to be taken up by the working group. The concept-mapping tool can be of assistance in this respect (*see tool No. 3 in the “tools” section of this volume*).

Once the priority area has been clarified and analysed to the extent that its nature, causes and effects are fully recognised and understood, then group members can begin developing strategies and looking for solutions.

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<sup>3</sup> The process of Action Planning is described in detail in Volume Four of the Series “Sustainable Action Planning”.

## 5.5 Development and Appraisal of Solutions and Strategies

Developing solutions and strategies is the second responsibility of a working group. In practice, group members must answer two questions: what should be done, and how it should be done. A good way of selecting the best option to address the specific issue at hand is to assess various possible options against criteria such as effectiveness, time frame and costs (*tool No. 6 and/or tool No. 7*)

### Identifying Key Stakeholders

The clarification and analysis process cannot be optimal if the review of stakeholders is not conducted on a regular basis. In this respect, the stakeholder analysis made at the beginning of the urban strategic planning process is one of the key elements. However, it is obvious that some of the stakeholders may have more interest in one specific priority area than in the other. They may also be able to exert greater influence or possess better knowledge or resources with regard to a specific issue. Therefore, stakeholders may be more willing to sit on and contribute to a specific working group rather than the other. Furthermore, their expertise and resources may be suitable only for a specific working group. Another important point is, such stakeholder analysis must bring out those resources of stakeholders that may otherwise remain hidden – particularly the knowledge and expertise of women.

This is why the stakeholder database must be regularly updated to ensure that the working group always involves the key stakeholders for a specific issue.

### Developing Action Plans

Once a specific strategy or option has been identified as a preferred way of solving a problem, the next step is to turn this solution into a string of activities or action plans. Action plans outline the following aspects:

- List, sequence and time frame of activities to be undertaken in order to implement a selected course of action
- Person or organisation responsible for conducting these activities
- Resources (financial, human, technical and other) required to implement the selected course of action
- Preliminary commitments to ensure that money and other resources will be delivered when needed and as agreed
- Co-ordination mechanisms to ensure that any activities performed separately by the various actors are co-ordinated and complementary.
- Monitoring mechanisms, including a gender perspective, to keep track of progress in the implementation process

Tools such as scenario planning (*tool No. 10*) can be useful when developing action plans.

### Presentation of Action Plans at Final Urban Consultation

The final task of the working groups is to present the action plans to a wider audience during the final urban consultation. The chairperson of the group or the facilitator can make the presentation.

In their presentations, the working groups should briefly present the priority issue that their discussions focused on, the strategy that addresses the issue in the best possible way and finally the action plan for implementing this strategy.



## **6.0 The Final Urban Consultation**

The final urban consultation provides an opportunity to present draft action plans to stakeholders for finalisation and adoption. The signing of a formal agreement between relevant stakeholders is the next step. The event should last at least one and half day to allow for presentation of the working group activities and clarification of all issues.

### **6.1 Objectives and Expected Outcomes**

The main objective of the final consultation is to work out some broad consensus on the best way of implementing the projects aimed at the agreed strategic priorities. Once the plans have been presented, reviewed and finalised, all relevant parties are invited to sign the commitments as formalised in urban agreements. These agreements may take various forms and names such as urban “pact” or “agreement”, “memorandum of understanding”, “inter-stakeholder” or “inter-organisational agreement”.

Together with the vision, mission goals and objectives, the final action plans make up the draft Strategic Urban Development Plan that is to be endorsed by the municipal assembly. Preparation of the draft Strategic Urban Development Plan is the final step in the urban consultation process.

### **6.2 Key Actors**

Municipal planners and members of the Municipal Planning Team are the key actors responsible for organising and co-ordinating the final urban consultation, with the CEO overseeing the whole process as was the case with the initial urban consultation. Specific roles should be assigned among the MPT, the planners and the municipal administrative staff. All stakeholders who attended the initial urban consultation, all members of the working groups and the leadership of the municipality should be invited to attend the final consultation.

### **6.3 Preparatory Activities**

The final urban consultation is the stage where all agreements are formally concluded. All key municipal officials must take part in this consultation, including the mayor, the chief executive officer, the president of the municipal assembly, the chairpersons of various municipal committees and directors of various departments.

The other preparatory tasks required for the final urban consultation are similar to those needed for the initial urban consultation. They include the preparation of urban agreement documents for signature by stakeholders.

### **6.4 Key Elements of, and Suggested Agenda for, the Final Urban Consultation**

The final urban consultation differs from the initial urban consultation in substantive terms. This consultation provides the platform for discussion of draft action plans and finalisation of commitments by various stakeholders. The key elements of the final consultation are described below.



## Presentation of Draft Action Plans by Working Groups

The first activity in a final urban consultation is the presentation of draft action plans for each strategic priority by representatives of each working group. The presentations must highlight aspects such as: the course of action to be undertaken, the activities involved, the persons responsible for overseeing various activities, required resources, the time frame allocated for each individual activity and the collaborating partners. Those making the presentations should also discuss the co-ordination and monitoring mechanism as well as success indicators for each activity. Indicators of success should be developed with a specific gender dimension, and be based on the collection of gender-disaggregated data to ensure that the positive impacts are being equally shared between women and men.

## Review and Finalisation of Action Plans

The presentation of action plans should be followed by an open discussion or brainstorming session to review the plans and clarify any remaining issues. Following these deliberations, the plans should be refined and finalised. The action plans form an integral part of the draft Strategic Urban Development Plan. The preparation of the draft Strategic Urban Development Plan and the municipal endorsement procedure are described in sections 7 and 8 of this volume.

## Signing of Agreements

In the final session of the consultation, all relevant stakeholders are expected to express their formal commitment towards the implementation of the action plans and the Strategic Urban Development Plan. Preliminary commitments are usually negotiated at the working group level, but the formal endorsement takes place during the final urban consultation. The major figures at this signing ceremony include top municipal officials, including the mayor and chief executive officer, along with high-level representatives of other stakeholders. An outline of the suggested agenda is shown in Table 3 below.

**Table 3: Agenda for Final Urban Consultations**

Session	Day	Topic	Aim
Plenary	½	Opening and presentation of action plans drafted by working groups	Consensus on key actors, roles and responsibilities, time frame and resources
Plenary/ Groups	½	Discussions on action plans	Clarification and finalisation of plans.
Plenary	½	Consolidation of SUDP Signing of urban agreements	Consolidate the action plans into a draft Strategic Urban Development Plan (SUDP). Securing commitments for SUDP implementation.

## 7.0 Drafting Strategic Urban Development Plans

Drafting a Strategic Urban Development Plan is the last stage in the urban strategic planning process before the Plan is presented for approval. The SUDP outlines a collective vision for the future development of the city. This vision is based not only on what the MPT members, key stakeholders and others want, but also on a clear understanding of the problems and resources at hand. Planners provide the analysis and help the city examine the options available for its sustainable development.

Through the analytical planning process, planners consider the physical, social, economic and environmental aspects of urban development and scrutinise any connections between them. They analyse both existing conditions and future trends. The next step is, together with stakeholders, to identify strategic priorities and develop action plans, with a view to solving problems in a co-ordinated and comprehensive manner.

The Strategic Urban Development Plan consists of these action plans prepared by working groups, as integrated and set out in a formal document.



Strategic Urban Development Plan provides policy direction and ideas for action

## 7.1 Objectives of Strategic Urban Development Plans

Being strategic is about setting goals and identifying the means of achieving them. In practice, this means that after a thorough assessment of the situation one adopts an approach which is guided by an underlying vision, sets goals, objectives, priorities and direction, and maps out the main tactics for achieving these. With specific regard to sustainable socio-economic development, a strategic outlook requires a comprehensive understanding of the issues and their implications, though not necessarily a comprehensive set of actions - at least at any one time.

A “**Strategic Urban Development Plan**” sets out the objectives, strategic priorities, required courses of action and priority projects of a city. This document reflects the agreements reached through the participatory process, keeping in mind the issue of sustainability in an urban context. The SUDP identifies a number of priorities, each of which determines a set of actions.

The SUDP is a “programmatically” document, which identifies and organises some of the actions required to turn the common vision of all stakeholders into reality. It is important to note that the SUDP does not replace spatial plans such as general or detailed urban plans, but rather provides strategic direction and guidance to these.

## 7.2 Key Actors

The planning process typically involves the performance of a number of roles. Some actors operate primarily as technical analysts or researchers, others as developers of action plans and others still as policy makers.

### The Municipal Planning Team (MPT)

As explained earlier, MPT members play an active role throughout the urban strategic planning process. In the formulation of the Strategic Urban Development Plan, MPT members are responsible for:

- Providing data and consolidating a report based on the Urban Situation Analysis
- Drafting a vision, a mission, goals and objectives for the Strategic Urban Development Plan
- Actively participating in working groups for the development of action plans
- Reviewing the draft action plans prepared by working groups; consolidating, analysing, synthesising, harmonising and integrating the action plans into a draft Strategic Urban Development Plan
- Providing any other guidance, inputs and support to municipal urban planners
- Acting as mediators among parties with different, often conflicting interests; MPT members may also become facilitators, using their professional judgement to help identify the best solutions to those issues generating conflicts
- Managing the entire planning process in order to involve various interest groups, citizens and public officials, in stimulating and thought-provoking ways
- Ensuring that gender considerations are adequately addressed and reflected in the Strategic Urban Development Plan. The Municipal Gender Officer should sit on the MPT and act as a key resource in this regard.

## **Director of Urbanisation and Urban Planners**

Municipal urban planners are the focal point for managing the process of urban strategic planning. Their responsibilities include:

- Co-ordinating the MPT, City Profile Team, Investment Capacity Assessment Team and working groups
- Consolidating the outputs from all working groups and preparing the Strategic Urban Development Plan under the guidance of the Municipal Planning Team
- Forwarding the draft Strategic Urban Development Plan to MPT for review and comments, and making changes to the draft SUDP once reviewed
- Presenting the draft to the municipal committees on town planning, policy and finance and ultimately to the city council for approval.

## **Working Groups**

As described in the chapter on urban consultations, working groups bring together key stakeholder representatives. They are responsible for:

- Evaluating each specific strategic priority from all possible perspectives, clarifying the issues and proposing solutions
- Drafting the action plans, covering activities, actors, time frames and resources for the purposes of implementing solutions
- Presenting the action plans at the final consultation
- Revising the action plans, if required, based on suggestions from the policy and finance committees and/or the municipal assembly.

MPT members, urban planners and all stakeholders are collectively responsible for setting a vision, a mission, goals, objectives and strategic priorities for a city through the urban consultation process. An effective planning process requires the individual and collective support, understanding and co-operation of the stakeholders as expressed over the course of City Profile Team, Investment Capacity Assessment Team and working group meetings. All of these must play an active part in the planning process. In this way, inputs from the citizenry supply the development plan with the common interests and the expression of community-wide values.

### **7.3 Purpose of the Plan**

A Strategic Urban Development Plan encompasses many aspirations and dimensions, but its main goal is to serve as a dynamic plan with tangible impacts on a city. The final form of the SUDP and the process of its formulation are expected to provide a basis for managing public policies, plans, programmes, actions and investments for the future. The strategic nature of this plan ensures that long-term objectives can be adjusted according to short- and medium-term actions and developments.

### **Policy direction and basis for decision-making**

A Strategic Urban Development Plan lays down the vision, mission, goals, objectives, strategic priorities and general development direction for a city. It is based on the analysis of the existing situation and, in particular, on the identification of inequalities in the geographical, sectoral

and social distribution of resources, infrastructure and services. The SUDP is developed to address priority problems while accommodating the inevitable growth of cities over the next five to 10 years.

### **Guidance for spatial plans**

As stated earlier in this section, SUDPs are not meant to replace spatial plans such as general or detailed urban plans. Rather, they provide the rationale, justification and strategic direction upon which any spatial plans must be based.

### **Planning framework for Action**

SUDPs are not static documents. They change to reflect a city's changing situation. They are not theoretical documents, either. They provide clear frameworks for actions that will help the city realise its vision and achieve its chosen mission. SUDPs identify key stakeholders, determine resource requirements and their sources, and measure progress against a pre-determined set of indicators. Unlike conventional master plans or comprehensive development plans, an SUDP identifies partners and resources during the process of plan formulation, thereby ensuring ownership as well as implementation of action plans.

### **Entrenching ownership**

The entire urban strategic planning process emphasises the need to create a feeling of ownership, importance and responsibility in all the partners involved in city development. This is possible only through active engagement of all the stakeholders in the process; this in turn includes equal involvement of both women and men, their participation in decision-making and adoption of the strategy, followed by joint actions for implementation. The SUDP is a physical manifestation of this process of ownership building.

## **7.4 Key elements of the Plan**

Whereas the substantive elements of the Strategic Urban Development Plan for each city are defined through the consultative process and, consequently, are necessarily different in every case, certain important elements must be included in every plan. These are described briefly as follows.

### **Introduction and outline of the process**

This opening section of any SUDP explains the purpose of the Plan and describes the process of urban strategic planning through which the plan has been prepared. This section must lay special emphasis on the participatory and inclusive nature of the process and the involvement of key stakeholders.

### **Summary of the Urban Situation Analysis**

This section discusses all six thematic areas and the issues emerging from the four components of the urban situation analysis, namely: the stakeholder analysis, the urban situation profile and appraisal, and the investment capacity assessment. By way of conclusion, this section identifies a few key thematic priority areas that can find their way into the urban

strategic planning process. The section may even split the priorities into those requiring intervention in the short, medium and long terms.

This section of the plan fulfils its purpose to the extent that it is a tool for informed discussion, consensus building and strategy formulation.

### **Vision, mission, goals and objectives**

As explained in the chapter on strategic planning and urban consultations, stakeholders are called upon to define the above-mentioned elements through a consultative process. The questions underlying these elements are the following:

- **Vision**                      What should the city be like in 5, 10 or 15 years?
- **Mission**                     What is the primary purpose of the city?
- **Goals**                        What do we want to accomplish through this plan, keeping in mind the vision and mission?
- **Objectives**                 What achievements are both desired and possible?

### **Strategic Priorities**

The prioritisation process must consider the declared goals and objectives above. Some three to five strategic priorities that cut across sectors must be adopted by consensus. It may take only a single question to identify strategic priorities, namely: What are the most important things we need to address in order to move towards the vision and mission?

### **Detailed Action Plans<sup>4</sup>**

Every action plan that forms a part of the SUDP must be clearly defined in terms of:

- purpose, as a direct answer to the issues/problems associated with a specific strategic priority
- specified inputs and outputs
- specific activities and tasks
- implementation arrangements
- roles and responsibilities for each implementing partner or stakeholder
- a budget and financial plan
- time frame, and
- a monitoring and evaluation process

## **7.5 The process of drafting the Plan**

The SUDP is primarily a consolidation of outputs from previous steps, within the framework of the vision, mission, goals and objectives determined through the consultative process. The key to preparing a good plan is the effective integration of sectoral plans and programmes.

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<sup>4</sup> The process of formulating Action Plans is described in detail in Volume Four of this Series "Sustainable Action planning"

## **Integrating sectoral plans and programmes**

Strategic planning deals not only with the long-term, but also with the short-term and intermediate planning period. Therefore, those involved must address important immediate issues as well as long-term goals. Experience shows that strategies work best when developed in line with each other and keeping in mind the long-term vision and goals.

For example, water and sanitation have frequently been dealt with as a shelter- or infrastructure-related issue, and poverty has been treated as a social policy issue, instead of both being considered as interrelated and closely linked to environmentally sustainable development. Sectoral plans and programmes can be integrated if the issues are examined from all perspectives and dimensions, to the effect that:

- contradictions between different sectoral programmes are resolved;
- overlaps are eliminated;
- time frames for various activities are integrated; and
- reviewing of action plans through impact assessment can contribute towards their effective harmonisation.

### **7.6 Formal Adoption and Dissemination of SUDP**

For a Strategic Urban Development Plan to become a legal document, the municipal assembly must approve it formally. This process involves the committee on town planning or urbanisation (where established), the policy and finance committee, and the municipal assembly as a whole. The draft SUDP is presented to these bodies for review and comments. The detailed guidelines for this process are provided in the next section on securing endorsement of a Strategic Urban Development Plan.

Once approved, the Strategic Urban Development Plan must be widely disseminated among institutions, public and private organisations, and the public. This can happen through a number of channels: for instance, through distribution of brochures or leaflets describing the key elements of the plan, and organisation of a public review. Dissemination must be such as to reach all segments of the population, including women. This is extremely important if the citizenry is to be kept informed and involved in the process.

Finally, periodic evaluation of action plans focuses on the impact of the urban strategic planning process. The vision and mission of the city are, by definition, long-term elements and must not be altered on a short-term basis. However, the goals, objectives and strategic priorities can be modified, based on the progress of action plan implementation.

## **8.0 Securing Approval of SUDP**

For the draft Strategic Urban Development Plan (SUDP) to become a legal document, the municipality must formally approve it. Every country and every city have their own procedures for adoption and approval of development plans. However, it is the norm in most cities that if a plan is to come before the Municipal Assembly, various technical and political committees of the municipality must endorse it first. These may include the Committee on Urbanism/Urbanisation, the Policy and Finance Committees and/or the Budget Committee. It is for municipal urban planners to prepare and facilitate the presentation of the SUDP in these committees as well as in the municipal assembly.

While it is important to keep all senior municipal officials updated on the latest developments in the field of urban planning and management, it matters even more so that those chairing the relevant committees are kept well informed about the preparation of the SUDP. Their support should be sought, in particular, to establish and confirm the vision, mission, goals, objectives and strategic priorities as defined in the initial urban consultation. Once the final consultations with stakeholders regarding the draft strategic urban development plan are completed and a final consensus is reached, this plan is ready for presentation to further levels.

## **9.0 Some Key Considerations**

Active participation of stakeholders at every stage is the most important element in the preparation of a Strategic Urban Development Plan. Urban consultations must be so organised as to elicit a wealth of suggestions and inputs from stakeholders. Strategic priorities must be identified by consensus. Building partnerships and mobilising resources for implementation must be an integral part of the planning process.

The Strategic Urban Development Plan is a framework document – it provides policy direction and ideas for action. It does not substitute for spatial plans at the city or neighbourhood level. Nevertheless, it does provide direction to the spatial plans, with a view to making them effective and practicable. The procedure for securing approval of the SUDP will vary from country to country, even from city to city. The municipal assembly or any other authorised arm of government must not view stakeholder endorsement as a substitute for formal approval of the SUDP.



## Glossary

**Accountability:** 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:** A 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 means 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 through a process of gathering information and viewpoints through discussion. It is a position arrived at through negotiations and 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:** 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. The sharing of power leads to equity in 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*). It focuses on the social perceptions that determine the way men and women are expected to behave, and what opportunities and constraints they face because of their gender.

**Gender Analysis:** A type of analysis of a society 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 separated into sub-categories. These can, for instance, include age, income, ethnicity, language or gender. Gender disaggregated data refers to 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 population is extremely important for the purposes of planning in a more meaningful way for all segments of society.

**Gender Equality:** The goal of gender equality 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 from programme to programme – there is no set method, the goal is to ensure that all aspects are examined from a gender perspective 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, 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 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 for the purposes of the Action Planning process. Working group 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, 2002)

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

**Influence:** The concept of “*influence*” implies an ability to modify some action, as in indirect power or indirect control. An essential characteristic of a stakeholder, influence refers to the impact that a he/she can have on resolving an issue.

**Local Resource Mobilisation:** A strategy or scheme that helps maximise a local government budget through identification of various sources of 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 the 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:** 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 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 a participatory urban decision-making process, ownership implies the right of stakeholders to engage, possess, decide and benefit in decision making, problem solving and achievements, either individually or collectively

**Participatory Urban Decision Making:** Citizens’ participation in urban decision making that facilitates equal involvement of men and women. When the citizenry is involved in identifying their needs, selecting priorities and developing alternative courses of action, the chances are better that any solutions are sustainable, feasible and ones that the citizens are willing to implement.

**Power Dynamics:** Refers to 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 for 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:** A tool that enables planners to identify and determine whom to engage and involve in the urban strategic planning process. This analysis identifies and defines the individuals, groups, and organisations whose legitimate interests should be represented with respect to specific issues.

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

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

**Subsidiarity:** Subsidiarity means that the responsibility for the provision and management of any service must be vested in the lowest level of authority that can deliver these services in an efficient and cost-effective manner. The urban strategic planning process advocates 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 would necessarily include delegation of power and resources to municipalities, along with efforts to build their capacity to engage stakeholders in a meaningful, constructive decision-making process. Subsidiarity is one of the key principles of good urban governance. (UN-HABITAT, 2002)

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

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

**SWOT (Strengths, Weaknesses, Opportunities, Threats):** A strategic analysis tool used to identify the strengths, weaknesses, opportunities and threats faced by a city. 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.” In the context of governance it refers to the conduct of public business in a manner that affords stakeholders wide access to the decision-making process and the ability to influence it. It allows stakeholders to gather information that may be critical to uncovering abuses and defending their interests. Transparent systems have clear procedures for public decision-making and open channels of communication between stakeholders and officials, and make a wide range of information available. Transparency and accountability together form one of the core principles of good urban governance. (UNDP, 1997; UN-HABITAT, 2002)

**Urban consultation process:** A participatory process that aims to arrive at a common understanding of key issues and priorities and to agree on the courses of action to be undertaken before drafting the Strategic Urban Development Plan. The consultation process enables stakeholders to raise issues and concerns and develop a broad-based consensus on solutions to their problems. The consultation process is not only a means for effective plan development and implementation; it is also an end in itself as it stimulates participation and civic engagement in a 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 accommodates conflicting or diverse interests and takes co-operative action. Governance includes formal institutions as well as informal arrangements and citizens’ own social capital. Therefore, governance is a broader concept than “government”, which refers only to the formal and legally established bodies in a political structure. (UN-HABITAT, 2002)

**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 present situation of the city in terms of its physical, environmental and socio-economic state. It is the first phase of the Urban Planning and Management Framework (UPMF). This phase includes a number of steps relating to identification of stakeholders, assessment of the city situation, key problems and investment capacities.

**Urban Situation Appraisal:** Analyses and validates the preliminary data collected in an Urban Situation Profile (Also see: Urban Situation Profile). UPMF uses SWOT as the key tool for the Urban Situation Appraisal.

**Urban Situation Profile:** A document that provides an overview of the city in a systematic manner. It includes information and analysis of the existing city situation, carefully organised along thematic areas. An Urban Situation Profile aims 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 towards the future. It helps to identify and deliver the most important strategic actions in view of the current situation.

**Vision Statement:** Description of a desired situation in the future. From such a vision, goals and objectives can be generated. A city vision typically includes the social, environmental, economic, organisational and political aspirations of the city and its stakeholders.

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

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## **Tools**

Many different tools and techniques can be used for Urban Strategic Planning. Some of these have already been introduced in previous volumes as being best suited for specific stages of this process.

The following are the tools and techniques that are most useful for the key stages in preparation of a Strategic Urban Development Plan (SUDP): vision and mission formulation, setting the goals, objectives and strategic priorities, and planning activities for implementation.

### **Generating ideas**

#### **Tool 1. Brainstorming**

Brainstorming is a popular and widely used idea-generating technique and comes in handy when getting many ideas, solutions or options is the main objective.

It can be used at almost any stage of Urban Strategic Planning and for various purposes, but will be particularly useful at the stage of vision and mission formulation.

Brainstorming typically produces a list of ideas, potential solutions or options that serves as a starting point for further analysis. Differently coloured cards on which ideas can be recorded, displayed and structured are very useful in a brainstorming session. These can be put up randomly at first, and then moved around or clustered as the ideas are discussed and clarified.

### **Organising and Clarifying Ideas**

#### **Tool 2. Flow charts**

Flow charts are pictorial representations of the flows of information, ideas or components as they move through a system. Flow charts come in many forms, of which the most commonly seen are diagrams and organigrams, i.e. diagrams illustrating structure of an organisation. Another use for flow charts is for displaying work in progress as split into successive stages and time frames.

Concept maps and process maps are variations of flow charts.

#### **Tool 3. Concept Mapping**

Concept mapping is a technique that illustrates the relationships between ideas with visual maps of connections. It is typically used to organise and consolidate information related to a specific problem or subject. Concept maps can deal with interrelations between different elements and aspects of the same concept, or between different though related concepts. Concept maps are useful for problem solving and even more so when discussing and clarifying specific strategic priorities within the Working Groups. The outcome is a “map” where concepts are linked to each other with lines and arrows describing their relations.



#### **Tool 4. Process mapping**

Process mapping, just like concept mapping, gives a graphic depiction of the relations between different elements or aspects of a process. The difference with concept mapping is that this time, these relations only concern a process.

Process mapping is best used for the implementation of action plans, where a specific order of activities is essential.

The outcome is a visual illustration of the sequence of activities and critical points in the process that may cause delays or complications. Awareness of such critical points is useful when developing alternative solutions.

### **Analytical Tools**

#### **Tool 5. Force Field Analysis**

Force Field Analysis focuses on those factors and forces that will support change in the current situation and those that will make efforts to bring change more difficult. The purpose of this analysis is to measure the strengths of the two kinds of forces: those driving change and those restraining it. Based on which of the forces are stronger, we can plan activities that will capitalise on the existing strength of the driving forces and mitigate the negative influence of the restraining ones.

This analytical tool can be used at the Urban Situation Analysis stage and when Action Plans for implementation are developed.

The outcome is a graph showing the respective strength and nature of impact of the individual factors and forces taken into consideration.

#### **Tool 6. Cost-benefit analysis**

Cost-benefit Analysis compares the costs and benefits related to specific projects or decisions. Although costs are usually, though not always, presented in monetary terms, the benefits have a primarily social aspect that can be expressed in more material terms, e.g., the construction of a new road will shorten commuting times. The public sector is familiar with this method, with tax-payer money used to improve the population's quality of life and the resulting "profit" expressed in non-monetary terms.

The cost-benefit method is useful at the "action planning" stage, when assessing the potential actions and projects for implementation.

The outcome is a report defining the costs and potential social benefits resulting from the planned activity or project.

**Tool 7. Activity Based Costing/Management**

Activity based costing is one of the methods of calculating costs of production or of service delivery. Each separate activity in the process is analysed in terms of costs such as materials and labour, with strictly defined percentages added as overheads to the cost of a given activity. This method ensures that all costs are properly allocated to the particular product or service. Activity based management is an extension of the ABC technique (see Tool 8 below), taking into consideration citizens’ needs and ensuring that the full cost of service will be recovered from customer fees.

This method will be used at the stage where the costs of project implementation are assessed, but should also be used in the everyday management of a municipality, especially in reference to service provision.

**Prioritisation /Decision Making**

**Tool 8. ABC Technique**

The “ABC” technique enables the setting of priorities related to everyday work and can therefore help organise working-group activities. This method analyses tasks in terms of two criteria: importance and urgency.

Important and urgent tasks must be addressed immediately, those not important but urgent can be delegated, important though not urgent tasks must be planned for and dealt with when scheduled, and unimportant, non-urgent tasks should be dropped altogether. This assessment can be carried out at the beginning of the day or of the action planning process. The result is a list of activities marked A (for important and urgent), B (for important but not urgent), and C (for urgent but not important).

Instead of letters, one can use colour stickers or highlight the various activities with different colours. A matrix may also be used, similar to the stake-influence matrix used for stakeholder analysis.

TASKS	Important	Unimportant
Urgent		
Non-urgent		

## Tool 9. Criteria Chart

Criteria Charts are to be used when selecting strategic priorities, or projects for implementation, based on objective criteria. In order to ensure objectivity, a number of criteria are specified at the beginning of the review process, and each potential priority or project is analysed in the context of these criteria.

Criteria charts can be used very effectively during city consultations. The working groups that are part of a city consultation identify an initial set of criteria during their brainstorming sessions, and pass them on to the plenary session for further elaboration.

The outcome is a table containing a list of criteria, where each of them assigned a specific number of points depending on the significance of a given criterion, with the total number of points “scored” by individual strategic priorities or projects for implementation.

Criteria for	Definition	Maximum points	Points scored
<b>Overall positive impact based on:</b>		20	
• Socio-economic impact analysis			
• Environmental impact analysis			
<b>Feasibility</b>		20	
• Possible to complete with available human resources			
• Possible to complete with available financial resources			
• Possible to complete with available technology			
<b>Sustainability</b>		20	
• Will enhance sustainability of the environment			
• Will get citizens' support			
• Will improve well-being and quality of life of the population			
<b>Effectiveness and efficiency</b>		20	
• Will shorten time for service delivery			
• Will result in positive cost/ benefit ratio			
<b>Inclusiveness</b>		20	
• Will enhance standards of living and social integration of less privileged groups			
<b>TOTAL</b>		100	

## Planning Tools

### Tool 10. Scenario Planning

The purpose of scenario planning is to prepare more than one alternative action or solution and analyse these options before making a final decision. Scenarios make it possible to test today's decision in the context of the future.

Traditional planning identifies trends and extrapolates them into the future, whereas scenario planning assumes inevitable change. Scenario planning tries to understand the driving forces behind change, such as political and economic conditions, demographic changes, etc., to foresee future developments and tendencies.

Scenario planning can be used at the stage of stakeholder mobilisation, for vision and mission formulation, and when developing projects for implementation.

The outcome is a collection of alternative solutions or actions, each of them being a separate "story" or scenario.

### Tool 11. Problem causes and effects analysis

This tool can be used to 'unpack' the various dimensions of a problem in order to arrive at the core issue, and the potential solution. The key problems are listed for each thematic area used in the urban situation analysis (see table below), and their causes and effects discussed and recorded. This can help working groups in developing more effective solutions.

Thematic Area	Major problem(s)	Causes	Effects
Shelter			
Social development and eradication of poverty			
Environmental management			
Economic development			
Governance			
International co-operation			

### Tool 12. Facilitation of Working Groups

Facilitation requires specific skills such as effective interpersonal communication, idea generation, problem identification, decision making and, last but not least, conducting meetings. These skills are equally important in facilitating meetings both large and small; they can be very useful for urban planners not only during urban consultations and when facilitating working group meetings, but also in their everyday work.

## **Purpose of Facilitation**

All meetings share some common features, including the presence of someone who chairs them. The most successful meetings are those where the chair sees their role not only as a leader but also as a facilitator. Chairs admittedly have an agenda to push through and must make sure that important issues are discussed, decisions made, and actions taken; facilitators add another dimension as they focus on the way the debate is organised and run in order to make sure that everyone can participate. This includes things like:

- Making sure that everyone feels comfortable participating
- Making members feel good about their ideas and opinions as presented during the meeting
- Making sure the group feels that the ideas and decisions are theirs, not just the chairperson's
- Supporting everyone's ideas and refraining from criticising anyone for what they say.

All of this must, of course, serve the specific purpose of the meeting. Other key tasks, therefore, include:

- Developing a shared understanding the goals of the meeting and the way it is organised
- Keeping the group focused on the agenda and moving forward
- Involving everyone in the meeting, including drawing out the quieter participants and controlling the more vocal ones
- Making sure that decisions are made democratically

## **Planning a Good Facilitation Process**

A good facilitator is concerned with both the outcome of the meeting or planning session and with the process.

Many factors affect people's degree of confidence and trust when interacting with each other and participating in a debate. These include:

- the environment and general "climate" of a meeting or planning session
- the logistics and room arrangement
- the ground rules of the debate

Elements as diverse as respect for participants' ideas, and the proper size and arrangement of the meeting room are vital for the general climate and logistics. Other issues like smoking in the room, starting on time or mobile phone conversations during the meeting may be the matter of local culture, and should be taken into account when referring to them in the ground rules.

## Working Group Meeting Procedure

Each of the meetings should have its agenda and specific objectives to achieve. A meeting should focus on specific issues, and the role of the chairperson is to ensure that other topics with little import on the meeting's objectives do not dominate the discussion.

A rapporteur will record the substance of the debate for further reference, especially if specific decisions or commitments have been made that must be reflected in Action Plans.

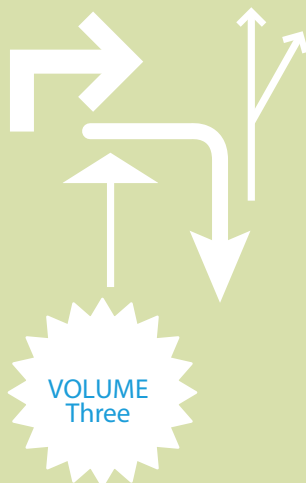
Working groups produce action plans, and in order to do so in a timely manner some members may be assigned specific tasks to perform between the meetings and then present their findings to the group.

It may be useful to prepare a work programme for the group in order to make the assignments and responsibilities clear and to keep track of the activities undertaken by the working group. A sample of such a Work Programme may look as follows:

Stakeholder Working Group on				
Task	Person responsible	Output	Deadline	Comments

### Guidelines for Facilitating Working Groups Meetings

- Start the meeting on time
- Welcome everyone and make introductions if new participants join the group
- Review the agenda, objectives and ground rules for the meeting
- Encourage participation and respect the rights of every participant
- Stick to the agenda
- Bring closure to each item discussed
- Write down commitments for future involvement
- Make decision after each agenda item
- Be flexible
- Deal with difficult participants diplomatically, involve the rest of the participants
- Summarise the meeting results and any follow-ups that may be required.



**INCLUSIVE AND SUSTAINABLE  
URBAN DEVELOPMENT PLANNING:**

# **A GUIDE FOR MUNICIPALITIES**

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