



Introduction Of  
Comprehensive Participation Of  
Citizens As Well As Governmental  
And Non-governmental Organizations In

**The Urban Planning Process**







# INTRODUCTION OF COMPREHENSIVE PARTICIPATION OF CITIZENS AS WELL AS GOVERNMENTAL AND NON-GOVERNMENTAL ORGANIZATIONS IN THE URBAN PLANNING PROCESS

- Participatory planning handbook -

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NALAS



# FOREWORD

This document is for the use of the urban partners, municipalities, communities members and the project offices, of the project implemented in two municipalities Sukth in Albania and Prijedor in Bosnia and Herzegovina implemented in partnership by the Association of Municipalities and Towns of the Republic of Srpska, and the Albanian Association of Municipalities, in cooperation with the Network of Association of Local Authorities in South-East Europe (NALAS), and with the support of by GTZ (German Agency for Economic Development).

The urban planning process, in progress at this stage in both municipalities, focuses on participatory aspect to tune the technical aspects of planning with the democratic aspects of urban plan formulation.

The participation component was implemented with the great support of the municipalities political leaders, local community leaders, the planning department's directors and staff members, the private firms involved in the technical presentation, and the last but not the least the members of both project offices, Anita Zrnica, Franka Paloka, Jelena Hrgar, Kadri Gega, Mirjana Ostojic and Ada Ilia.

We will like to mention that the presented document is not a blueprint for citizens' participation in the spatial planning, but it is rather a guideline which should be perceived as a tool which should be adapted by the stakeholders according to the local situation.



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# PUBLIC PARTICIPATION: THE ORGANIZATIONAL FRAMEWORK AND THE PARTICIPATORY TECHNIQUES

## Context

The Association of Municipalities and Towns of the Republic of Srpska, and the Albanian Association of Municipalities, in cooperation with the Network of Association of Local Authorities in South-East Europe (NALAS), and with the support of by GTZ (German Agency for Economic Development), are in the stage of the implementation of the pilot project "Urban integration of informal settlements" in municipalities Prijedor (Republic of Srpska) and Sukth (Albania). The GTZ support through the "Open Regional Fund" (ORF) of NALAS aims to improve municipal affairs and among others to improve urban planning processes with emphasis on the urban integration of informal settlements.

The main goals of project are the development of models for social, economic and physical integration of informal settlements as a part of fulfilling the terms for accession to the EU that are in compliance with the *Vienna Declaration*, mentioning in the paragraph VI that: "The urban, social and economical integration of informal settlements within the overall city structure will be a key factor in preparing for accession to the EU".

Although the planning laws in the respective countries foresee participation of the citizens in the planning process, the implementation and practicing of participation is only rudimentary applied and the performance proves to be unsatisfactory. Therefore, in operational terms, the project envisages activities to support, in partnership with local professional organizations, the formulation of the urban plan for Nova Orlovaca settlement (brief information in the box 1), and for Sukth municipality (brief information in the box 2), and to develop skills and knowledge of the local stakeholders in the participatory planning process.





## Objective of the document

Proper planning asks for citizens' participation. This process may be a round table or workshops or a large public debate with stakeholders direct or indirect affected or interested. The general objective of the document is to contribute in stimulating "demand" for public participation in the planning process, inviting the local major stakeholders to navigate through the a large array of techniques which in long run certainly help for a good governance in both municipalities.

More specifically the document intends to transfer relevant knowledge to the main urban stakeholders, public administration and communities living in the informal settlements, to make possible the construction of a sustainable dialog through participatory organizational structures able to employ various methods and techniques adapted to the planning process phases. The document offers a variety of instruments which may encourage, support and organize the participants in the development of an initial plan of action in the field of urban development planning, instruments collected from international bibliography.

## Structure of the handbook

The present document has been designed to cover three main areas: the relevant information about cities Prijedor and Sukth, and the stakeholders' analysis; the management aspects regarding participation in the spatial planning process and the inventory of the tools, methods and techniques may be employed in the planning process.

More specifically chapter one, the introduction, contains information related to location, territorial and demographic data and the main problems the communities and the municipalities face with. The chapter presents the existing legal context related to public participation in the planning process, and the stakeholders' analysis with focus on the organizational aspects which support the dialog with citizens, and the interest and motivation to participate. Recommendations, within the existing legal framework, are elaborated to ensure the participatory process in both pilot municipalities.

The chapter two is dedicated to the benefits of the citizen's contribution in the planning process, and the role of the local authorities as democratic leader to build confidence and trust into the planning process.

The chapter three presents the role of the planning departments in municipalities, the identified problems they face and the techniques to employ in order to build the confidence of citizens in the planning process, from the plan formulation to the plan implementation. The main questions brought up by the chapter tackle the process of the institutionalization of the participatory process and the capacity building of the urban actors during the process.

Chapter four develops the management aspects of the participatory process, presenting the organizational network may support a coherent and a sustainable public dialog. The chapter describes in details how to create the advisory commission and the working group, how to organize, prepare and run public meetings. The chapter comes with additional actions that may be develop in order to consolidate the participatory process and to create the innovative environment for getting new forms and new groups involved in the planning process. This part ends with actions and techniques, from information to involvement, which may be used by the municipality and the community leaders during the plan formulation.

In addition, the chapter responds to a specific request of the Prijedor planning department director: *How to organize the public participation to assure the enforcement of the plan?* Consequently, it is presented the organization of the public hearing, making clear distinction of public hearing as a democratic tool which ensures the opportunity for citizens to express on matters of policy/plan and the public hearing which involves legal rights and is based on strict procedural requirements.

The chapter five ends the document presenting the critical aspects which may occur in the participatory planning, mentioning the factors that should be considered and the strategic options the local stakeholders have.

The two documents appended to the handbook, the Annex A and the Annex B, named *Tool-Kit for participation, detailed techniques, models and scenarios* and *Tool-Kit for participation, a comprehensive approach*, contain of a number of tools which enable local authorities and local stakeholders to build the participatory process for various situation such as flood risk, industrial derelict site reused, upgrade urban areas, etc.

# 1. INTRODUCTION

## 1.1. Municipalities in brief



### Box 1:

**Nova Orlovača, Prijedor Municipality:** Nova Orlovača settlement area is part of the local community Orlovača. It is located in the south-east part of Prijedor city. Prijedor municipality is a local administration with a self-governing authority within the Republic of Srpska and BH. The total area of Prijedor municipality is 834.05 km<sup>2</sup>. The municipality is composed of 71 settlements, 56 cadastral municipalities and 48 local communities.

Over 50 per cent of the citizens have moved during the past, and currently there are 25 000 returnees. 17 000 are displaced persons from elsewhere in Bosnia and Herzegovina and almost 2 000 are refugees from Croatia. There are over 2 000 housing units providing shelter for the displaced people in Prijedor. Settlement „Nova Orlovača“, with its sub-settlements known as “Nova”, “Nova Orlovača - Topolik”, “Nova Orlovača -Vrbice” and “Orlovača -Celpak” has a surface of 59.9 ha, and a population of 2181 inhabitants living in 315 houses. The ownership status on land has not been solved yet.

Main urban problems refer to the poor infrastructure, industrial derelict land, and floods caused by Miloševica and Gomjenica rivers.



### Box 2:

**Sukth municipality:** Sukth Municipality, Albania, has a surface of 5700 ha. being located along the east-west corridor of Tirana - Durrës, and has under its jurisdiction 7 villages, Sukth i Ri (395 h), Vadardhe (660 ha), Kulle (503 ha), Rrushkull (1182 ha), Perlat (324 ha), Hamalla Hidrovor (1165 ha). The total area is 51.9 km<sup>2</sup> with a population of 24 526 habitants. The sea coast which is under the jurisdiction of Sukth Municipality is approximately 9 km long.

The existing informal buildings in Sukth have various functions such as 836 dwellings, 27 commercial, 20 services and 21 mixed uses. There are in total 5902 households out of which 3,103 households and 12,860 inhabitants are undergoing the process of legalization. Around 70% of the population is living in informal dwellings. The planning department is in the process of recording households' information. However, there is a lack of relevant maps and cadastre.

Main municipality problems refer to the poor physical infrastructure, the lack of social services, flood risk, derelict land, the legal base and knowledge for environment protection. The completion of the process of the first registration of the land and the legalization process represents the cornerstone for a sustainable urban development of Sukth municipality.

## 1.2. Existing legal framework and organisational aspects related to planning and recommendations for immediate actions

The interviews with municipality and community leaders, the two round tables organized, and the questionnaires distributed to the main urban stakeholders have depicted:

- (1). The necessity to create conditions for citizens' participation, on a permanent basis, and not on temporarily situation;
- (2). The need of strengthening the public institutions by providing training and financial resources; and
- (3).The increasing role of the awareness campaign on significance of the participatory planning and the planning requirements which must be conducted in organised manner, continuously, and in cooperation with expert teams.

The national legislation on spatial planning in place creates the formal basis for both municipalities Prijedor and Sukth to elaborate the urban plans, and to involve people in formulating and implementing plans. The existing legal provision mentions the duties of public authorities to make the process of planning public, and making plans available to all interested parties. Yet, there is a need to describe procedures and activities on how the urban stakeholders are informed, consulted and involved during the various stages of the planning process.

Coming to organizational aspects, it is important to know the main features of the stakeholders



active in both municipalities (see the box 3). At this moment, the Urban Planning Departments have no or only little practice to implement the legal provision in order to engage more citizens in the planning process. Means of communication applicable in practice, most regarding the information and minimum consultation, are legally adequate, but there is only weak response by residents who are not used to participate in plan preparation.

Citizens focus on immediate solutions employed to improve their present living conditions and solving actual problems rather than looking ahead. Therefore appropriate techniques should be developed and employed by the municipalities in order to convince the citizens about the benefit of adopting the participatory approach in the planning process.

At the community level, the inhabitants of Nova Orlovaca and Sukth, are organized in committees, with appointed local leaders, named president or head of the village. Organized monthly meetings are held to identify problems and forms of dealing with these problems. The list of problems is sent to the Municipality, and the problems are addressed according to the municipal budget (participatory budgeting).

In addition to the municipality and the community there is another important urban stakeholder represented by NGOs and private professional firms. This sector is growing and represents an important factor to enhance the dialog between the triangle of citizens, communities and the municipalities. Professional firms bridge the gap between donors' agencies and municipalities, in the professional areas such as good governance, strategic planning, rehabilitation areas, management of the floor area ratio, and energy efficiency.



### **Box 3: Conclusion of the stakeholders' analysis, as a result of the questionnaires distributed during the first mission**

The questions (a) What are the interests, the motivation and willingness to participate? (b) Are stakeholders able to perform, what are their weaknesses and what are their potential contribution? and (c) How citizens are involved in the planning process and when? a brief summary presents the answers received for the municipality and community representatives:

**a. What are the interests, the motivation and willingness to participate?** The interests and motivations are tied up with the legal requirements and responsibilities. The local authorities are interested in the planning process in monitoring the legal requirements, standards and procedure. In Prijedor, the second major reason of the local authorities to accept and to encourage public participation is the legal and moral implication of the plan in relation with the environment protection (the sustainable development principle). Sukth presents an interesting aspect of the plan ownership in relation with the source of funds. (Plans financed from private sources

are perceived as private property, and therefore are not available to the public). The residents express both individual and collective needs and intentions for the content of the plan and for investments influencing in a legal manner the decision to solve the existing problems and needs.

**b. Are stakeholders able to perform, what are their weaknesses and what are their potential contributions?** The performance is perceived as effective in partnership with experts from the public and the private sector, with responsibilities and knowledge regarding the procedure and legal requirements in preparation of the plan's documentation. Prijedor makes clear the distinction between public and private interest in planning process, mentioning that the conflict of interest for those making the plan, may represent a constrain for an efficient and effective public participation.

Weakness may occur in these cases where residents try to set personal interests above general interests and when they want to solve property issues in an unacceptable manner (pressure on administration). It was mentioned the financial capacity of the stakeholders groups which may contribute in the plan implementation stage.

**c. How citizens are involved in the planning process and when? :** The citizens are involved in the following forms:

**c.1.** Submit written comments on the draft of the plan within the time limit of 30 days. In Prijedor citizens may comment in the Book of Objections and Suggestions, or by sending their comments directly to the Planning Department/firm commissioned to make the plan.

**c.2.** Citizens may participate in the experts panel debate expressing orally objections and opinions.

**c.3.** Citizens may participate in the Municipality Assembly Sessions organized for the plan adoption.

Nevertheless, what can local authorities do at this stage, in the existing legal context, to secure the involvement of the citizens in the planning process? Both municipalities received support through the project, in order to create the advisory committee in order to prepare and carry on the participatory process on broader scale. In the Sukth municipality, the committee became operational as a result of an agreement signed by the municipality and the head of the villages. Additional capacity building programs should be envisaged and financed.



Two additional recommendations are proposed to be discussed by the municipalities, attorneys and politicians, before implementation. One recommendation targets the public procurement process. The local authorities should stipulate in the ToR formulated for the bidding sessions, that legal entities should provide a special section, explaining how citizens are to be involved in various stages of the planning process and how many times. This section becomes subject of evaluation among the technical and financial offers.

Another option comes from the quality management procedure, ISO 9001 operational for public administration. In the section regarding the citizens/client satisfaction, a procedure on how public is part of the public decision should be presented, including the urban planning process. This procedure makes clear the responsibility of the planning department in formulating, implementing, monitoring and evaluating of the plans with regards of citizens.

## 2. WHAT IS THE PUBLIC PARTICIPATION AND WHY TO DO IT?

Participation is part of principles of the urban plan building process. The aim of the planning process is to encourage the involvement of selected decision makers, stakeholders, experts, representatives of non-governmental organizations, donors, etc to provide “common ownership” of the results. This approach ensures a broad social consensus and clear public support for strategies and planning (Strategy Building Process, EU Red-Practical Guidelines).

If participation is to occur or to share a awareness in common with other stakeholders, the document refers to the administrative actions of being in contact with citizens during the preparation of the urban development plan, and during the implementation phase of the plan (zoning regulations and zoning ordinances issued by the municipality. The international literature, research studies and urban projects outcomes, highlight the medium/long term benefits, but also mention the inherent difficulties to build the participatory process, such as:

Participatory planning strengthens the democratic credibility of the public administration being part of the decentralization process, aiming not only to satisfy the public demand, identifying key urban problems or establishing priorities, but also to mobilize additional resources, to develop skills, creativity, innovation and to promote professional education.

The sense of the community is enhanced through the involvement of local residents making sure public services meet people’s needs, preferences, values and the aspirations of housing and living.

Participation is important but is not an end in itself, it only results in the build up of trust and confidence in the process, keeping all those affected or interested in the urban affairs. Participation makes no difference between level of education, age, gender and economic and social position. All people have an understanding of their living place, are able to assess their situation, and to propose ideas or measures to improve their living conditions.





However, the participation is voluntary for citizens, and if for any reason someone feels that he/she is neither learning nor contributing, he/she should be free to move elsewhere and come back later. If there are people who cannot be convinced to be part of the process, they should not be excluded but contrary, they should be informed about what is going on in the urban development, as an alternative of keeping them prepared of joint in the process later on.

The last but not the least, the participatory planning represents not only local affairs, it has a great role in attracting the interest of external entities. This is especially the case when the international donors or financial agencies are invited to support the community development or improvement.

### 3. WHAT THE PLANNING DEPARTMENT AND THE PLANNING COMMISSION SHOULD DO, TO BE IN CONTACT WITH CITIZENS?

The handbook considers the participation aspect in relation with the capacity of the plan commission/planning departments of the pilot cities: Prijedor and Sukth. Both parties in the project, elected officials and executive officials, know that the degree of success it achieves rests greatly on the amount of public support it has, considering that the comprehensive plan will be difficult to implement if it is based on inaccurate assumptions of public consensus or has been developed without benefit of direct public involvement.

The results of the interviews and the round table organized highlight that very well; well-developed plans have encountered significant implementation problems and outright resistance because the public was not involved or informed fully on a continuing basis from the beginning.

In addition, considering the development control activities implemented by inspectors is extremely difficult to implement and enforce them, if the reasons for doing this are not clear to the public. If the plan and regulations have developed public support, and the planning commission and planning department remain responsive to the public by consistently informing citizens of their activities, the conflicting circumstances are less likely to occur.

Once all factors are considered, the necessity to include the public in planning activities and to maintain an adequate public education mechanism becomes increasingly apparent. Therefore, it is important to know what various segments of the community think of the



planning program. Such knowledge will allow both the plan commission and the planning department to gauge public opinion.

There are various techniques available for administration to employ for reporting to the public and learning more about community attitudes and opinions. These might include the traditional public hearing, personal contact, special programs, and regular use of citizen advisory groups fueled by opinions collected from the citizens, politicians, private sector representatives, media representatives, and civic group leaders.

The last but not the least point of discussion is trust and the realistic approaches to tackle the urban problems. These techniques cannot be effectively used in the condition of a low level of confidence and trust among stakeholders, and if the problems which affect them are not solved with the available resources at the right time.

Considering all these characteristics, the document presents the main aspects both municipalities learned during the process of participation in the urban plan formulation. The main concern in preparing the participatory process was to find answers to the following management aspects:

1. How to institutionalize this process to be efficient and effective?
2. How to build the dialog capacity of the community members during this process?

There were three conditions accepted by the project stakeholders to achieve a fair successful participatory process to sustain the plan. The conditions accepted during the round tables organized by the project were:

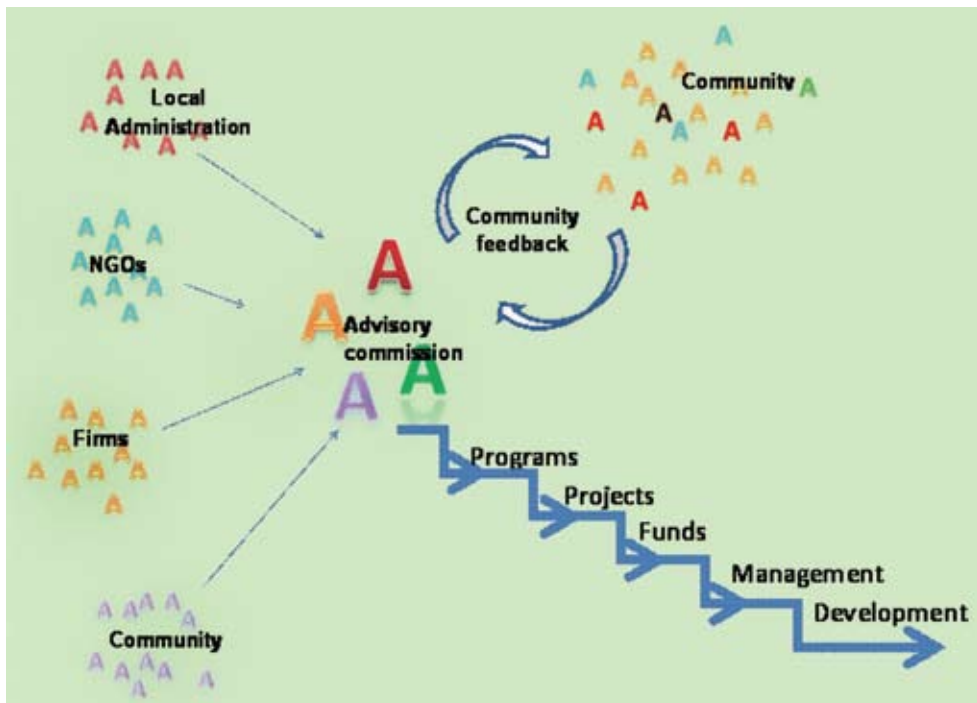
- (a). Municipality plays the leading role, being open to go out for consultation to “buy” ideas/ opinions and options from the community, but also to transfer knowledge to the community (the educational role)
- (b). Community has the right to spell out its opinion/choices but it should structure its saying to keep the process effective avoiding any artificial conflict and
- (c). During the public meeting to focus on reaching an immediate consensus on the points of the meeting agenda, and negotiate the rest in line with the available time.

# 4. PARTICIPATORY PLANNING PROCESS

## ➤ 4.1. The management aspects

This section presents the incremental development of the organizational framework created in order to create a coherent and sustainable public dialog about the existing situations and the development goals. The organizational structure should include decision makers, selected representatives from institutions influencing the development process or are responsible for public service delivery, and the last but not the least experts from different sectors. The logical framework of the participatory process is presented below:

Figure 1: The logical framework



Source: Presentation in the second round table, Sukth, Albania, 2009



## Advisory Commission/Committee (AC)

Participation can be greatly enhanced through the creation of citizen advisory commissions. This commission represents the dialog partner for the municipality. The commission studies problem areas and offer recommendations, advise the planning department on specific subjects and problems, and can participate in the deliberations of the planning commission of the municipality. A special attention should be done to the principles of representatives and proportionality. (The demographic features and the social and economic status of the community are important to be considered when organize the AC!).

When selecting persons to serve on committees, it is recommended that individuals be chosen whose profession or situation in the community has placed them in a position to hear and understand the viewpoints of various segments of the population. This might include clergy, teachers, business people as well as other respected long time residents, newspaper people, etc. When citizen advisory committees submit a final report, the report should be publicized in the newspaper and, if it is the case made, it available for public inspection.

## Working Group

The group has the role of organizing the public meetings, from the content and logistic point of view, mentioning the responsibilities such as preparing the room, recording the public interventions, moderating the event, introducing the subject, etc. (It can be done by representatives of the municipality, NGOs, education organizations, professional firms, community workers/representatives). In the case that the municipality subcontracted out the task of the urban plan formulation to a professional organization (i.e. external planning agency) this firm may organize the participatory planning process under municipality supervision and coordination (at least three public meetings for the whole plan formulation process).

A special attention should be done to community workers who play a vital role in activating and mobilizing the residents.

Information on how to organize a strategy planner, workshop planner, action planner and progress monitor format are appended in the annex A, (Formats).

### Organizing and running the public meetings (see also “Public hearing”, point 4.4)

*Preparatory stage:* The working group prepares the following activities:

a. Establish the date and the hour to start (usually during the evening or weekend), venue and the budget according to the number of the invited persons. The room for meeting should

be well lighted and ventilated. For large rooms a microphone should be provided to help insured that presentations/testimony is heard and recorded.

b. Establish the agenda for discussions, name the chairman, the moderator or facilitator, the topics for discussion, and the speakers for each topic, and the last but not the least state the rules for the conduct of the meeting, and the time limits placed on topics, and on individual comments.

c. Inform well in advance (7-10 days) citizens through media announcements about the intention of the local authority to organize a public debate (notification), explanation of its nature, and send official invitations to the participants accompanied by the executive summary of the documents to be presented during the public meeting.

d. Organize the logistic support, such as technical facilities for presentations, equipments. According to the budget, during the break/breaks, the organizer may provide beverage (water, coffee, etc).

A list of equipments and supplies should contain: banners and directional signs, name badges, bell (meeting announcement), clock (timing speakers), maps and plans of the area, computer equipment, beamer and screen, pointer, flipcharts, pin board, sticky dots, post-its (different colors and size), pencils/pens normal and colored-different size, cutter, paper different size (A4-A0), rubber bands, note boxes for participants, staples/staples extractor, chairs, desks (for computer equipment/beamer, for taking minutes, for VIP), tape recorder and cassettes, power outlets/extension cables, camera, catering gear (cups, plate, etc), rubbish bags.

### *Run the event*

It is recommended to run at least three public events during the plan formulation process. The event starts with the official welcomes of the participants, the presentation of the objective/s of the meeting and the expected result/s by the end of the meeting. Introducing the topics and the speakers may be done by the officials or by a moderator. Point also the rules of the meeting (i.e. keep mobile phones switched off, announce the time limit for comments, speaker presentation, etc).

In both cases, the person in charge of this role should highlight the issues for what people are asked to have an opinion/intervention, and present the rules of the meeting in order to run an efficient and effective meeting. During the debate, the moderator should continuously conduct the event highlighting the points commonly accepted, and point out the issues left for further negotiation (if there is no option for an agreement/consensus during the event).

The moderator, according to the agenda, gives the floor to all the professional speakers in charge to introduce the issues selected for discussion. Managing the time, the moderator



should offer to the audience time for questions for clarification before starting the real debate.

A coffee break is useful to organize, allowing the participants to share his/her opinion on the presented topics/issues. The event continues with opinions/ideas collected from the audience, all these interventions being recorded. The moderator should conduct the discussion in line with the objectives presented at the very beginning in order to reach the expected results.

The moderator should find the proper time to give the floor to the officials or to professional speakers for explanation/clarification, if he or she feels that will help the debate. For the final conclusion the moderator may split the participants into working groups (if this is the case is good to know for the very beginning to chose an appropriate location) and invite them at the end of the event for a plenary meeting which should conclude on the points commonly accepted, and on the issues left out for further negotiations. The main follow-up activities and responsible parties to manage/implement the results of the event should be clearly mentioned.

**Note:** Organize in the end of the meeting a press conference to announce the result of the public debate and the follow-up activities.

### Follow up: Implementation of the conclusions of the event.

All recorded comments/testimony should be analyzed after the meeting and should be incorporated into the presented plan/policy, or may represent an input for the next stage of the plan development/policy formulation. According to the legal requirements, these conclusions may become subject for formal acceptance by the attorney, or approval, being voted by the municipal council. The result of the analysis should be made public in order to respond to the issues raised during the public meeting.

Besides these aspects there are a number of support activities which may be used to increase the visibility of the planning department within the community, but to collect additional/complementary comments/opinions/ideas from the public as well. The next section of the document presents three of the aspects: Planning Information Centre, Media, and special programs.

## ➤ 4.2. Additional action

### Planning Information Center (PIC):

An operational PIC increases the transparency of the planning department and makes the planning more accessible to the public. Establish a room/space in the municipality, with direct access from the street where people, respecting a schedule, can enter and be in contact with any information about the stage of the urban development plan, or with the planning documents (ordinance and maps). One staff member of the planning department should guide the participants in offering information and explanation. The PIC can easily become in a few years “the one stop shop” of the municipality where citizens can get all administrative information and documents or permits.

### Contact with Media:

The forms of mass media; radio, television, and newspapers are important and useful. Newspapers are simple to use, always current in its output, comprehensive in coverage, and its publication provides a record which can be preserved. The published news story is always a vital element in a public relations program.

To gain full news coverage of its activities, the plan department should cultivate a good relationship with the personnel of the local press by dealing fairly and openly with them. The commission should avoid favoritism of one medium over another, and should keep decisions and deliberations open to the media at all times.

The person in charge of public relations should consult the newspaper editor to learn the deadlines for public news releases, and how these should be elaborated avoiding complicated or highly technical materials in reporting a story. There are at least five types of news releases, each with a different purpose. These are:

- ▶ The story which stimulates interest by the satisfaction of curiosity; for example the explanation of some planning technique.
- ▶ The story which explains some service to the public in an effort to gain greater support.
- ▶ The story which aims at securing the cooperation of citizens on a specific project.
- ▶ The story which provides information to enable citizens to make up their own minds on some policy question; the adoption of a zoning amendment, for example.
- ▶ The story which provides information to enable the citizen to appraise a program.





## Special Programs:

Bringing the planning program to the public on a personal level can provide both an advisory and educational service. The use of civic organizations such as community service organizations (NGOs), unions, religious associations, ethnic groups, and voluntary societies, as sounding boards is a popular and inexpensive activity.

*Exhibitions* are an effective means of demonstrating the nature of any urban program. A carefully planned exhibit at a central point in the downtown area can tell a story effectively. Local festivals, fairs or community events should be used to the fullest for these are activities many citizens attend. Exhibits can make good use of maps, charts, photographs, diagrams and models. Almost any sort of visual aid can help illustrate a theme or tell a story in an interesting and imaginative way.

*Public school education programs* in planning are also helpful devices for building the base of citizen interest and support. Such programs require the solid cooperation of school authorities, and should not be attempted without expert guidance and assistance. This is necessary for they involve preparation of materials graded for various levels of ability and require extensive training of the teaching personnel responsible for the instruction.

Another means for attracting citizen interest in a planning program is the use of *contests*: essay contests in schools, school poster or model contests, or a competition for the best design for a new public facility. There can also be neighborhood contests: clean-up; paint-up competitions; contests for the best improved backyard; or for the most improved neighborhood appearance. These contests may produce tangible results which benefit the community. More important, such efforts teach people that they can work together and improve their own area with a "plan" in mind. This will also help people to see that a similar effort on a community-wide basis can be equally successful.

It may be used as well *events with focus on smaller neighborhood groups* to stimulate citizen interest. This can be especially effective if there are some easily identified problems which everyone is concerned about. These meetings can be held in homes, schools, churches or community centers or wherever convenient.

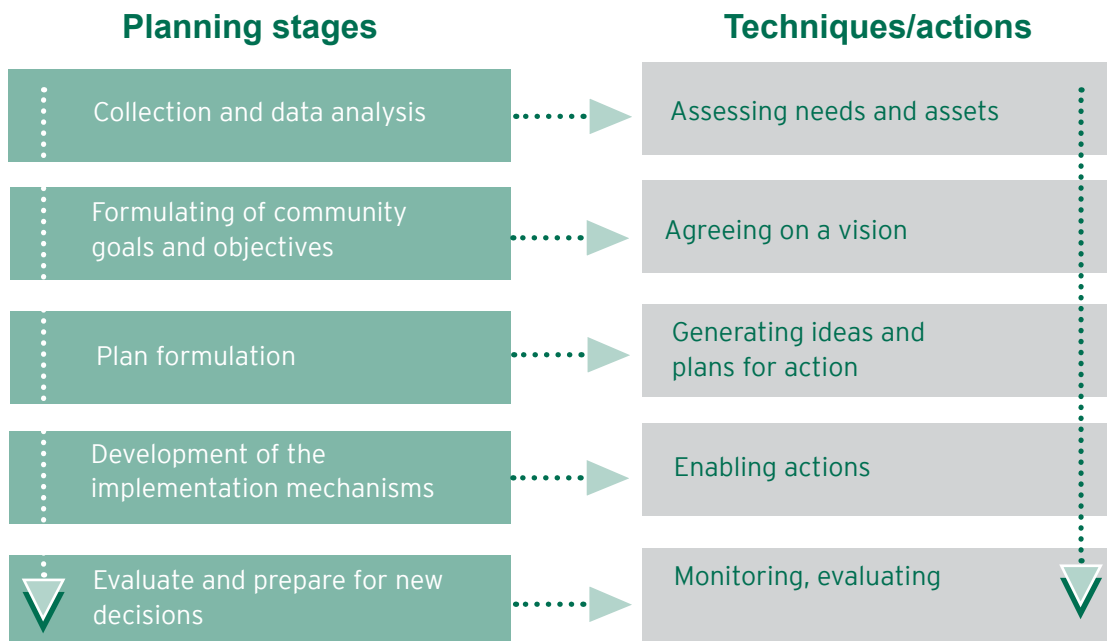
When using this technique, meetings should begin by discussion of personal feelings, and frustrations. The group can gradually be led to some understanding of the relationship between their own personal and neighborhood problems and those of the larger community, to be able to realize that solving the larger problems of the municipality may ultimately help them, and that planning is a worthwhile tool for such problem solving.

### ➤ 4.3. Actions and techniques for citizens' participation

The broad concept of the participatory planning of this handbook is to link the planning process to community, employing suitable techniques at each stage of the plan elaboration. The document presents in the following section the possible techniques to be used for each planning stage in line with the available time and allocated budget for the meeting.

Besides this part of the document, the annexes A and B present in detail a variety of options to use for various scenarios. The annex A is dedicated to scenarios, methods and formats may be used by both municipalities during the planning process, with focus on the main problems presented in the Box 1 and Box 2, in the chapter 1. The annex B offers to the municipalities more opinions in organizing tailor made public participation events.

Figure 2: Techniques and actions in coordination with the planning stages





**Stage 1 - Preparation:** Municipality announces the intention to prepare the urban plan.

*Recommended actions and techniques to be employed*

1.1. Organize one conference, accompanied by press release, media announcements, and the website of the municipality, to inform about the intention of the local authority to develop the urban plan. The announcement should contain the objective of the plan, the stages of the plan development with time table and deliverables, and the main stages were community is invited to participate during the plan formulation. Other forms of publicity may be employed according to the budget allocated for this activity.

Simultaneous to this, the institutions and organizations of public interest should be informed, in order to receive (legally binding) information on existing and planned physical, environmental, social, etc. infrastructure and conditions.

**Stage 2 - Assessing needs and assets:** This stage is an auditing stage of the urban situation such as public infrastructure, economic infrastructure, social infrastructure and environmental infrastructure. All public services are scanned in quantitative and qualitative terms. Main urban dysfunctions are precisely described and located geographically.

Special attention should be done to the land issues, housing, drinkable water and sewerage system, waste management and transport infrastructure. In terms of physical planning these aspects require good coordination between land and utility infrastructure investments.

*Recommended actions and techniques to be employed*

- ▶ 2.1. Data/information collection is done through urban analytical techniques, as questionnaires, interviews with public utility and services providers (to assess capacity), and public utility and services users (to assess client satisfaction).
- ▶ 2.2. Focus group meetings are an efficient technique to be used to be in contact with the elected officials and the appointed officials to collect sector data/information, but also to debate with councilors their political programs proposed regarding the city problems.
- ▶ 2.3. Intensive reconnaissance trips in the project areas may be organized to see the places, to identify the problems that affect people, to have ad-hoc meetings with citizens. Street stall techniques may be used to record community needs.
- ▶ 2.4. Problem assessment workshop to identify in specific areas the level of problems by quality and quantity and local capability to deal with these problems, such as flood, health, crime, etc

- ▶ 2.5. A workshop with a focus on SWOT analysis, key management issues identification and problem solving priorities is recommended to organize by the end of the stage 2.
- ▶ 2.6. Organize a citizen's forum to present the final report regarding the stage 2. A summary of the final report of the stage 2 should be presented and debated. A revision/upgrade of the report should be done according to the forum result.
- ▶ 2.7. Open an Information Point first in municipal building, and then expand in other locations using public buildings. Information about planning process and intermediary results should be displayed.

**Stage 3 - Agreeing on a vision:** After the data and questions have been gathered, structured and analyzed, community leaders and citizens face the difficult problem of identifying and articulating goals for the community.

The third stage is about framing questions about development: in what direction should new residential or industrial areas to be encouraged to expand? What areas can be most efficiently served with utilities and available services? What can be done to protect prime land agriculture? Where the green areas are most needed? What areas may be used for sanitary landfill?

*Recommended actions and techniques to be employed*

- ▶ 3.1. Organize the User's Group workshops to identify what groups of people (gender, ages, ethnic, economic groups) want - what and how in terms of type of urban services, utilities and alternative land uses, and where in term of location.
- ▶ 3.2. Newspaper supplement is a working relationship established between those promoting the community planning initiatives and the local paper's editors and journalists. It contains proposals or ideas generated during the workshops and it is distributed to large numbers of people to generate public debates and new ideas. It is distributed with the local papers at specific dates, especially after any implemented workshop.
- ▶ 3.3. Video interview on the street is a technique which is useful to spread information about the planning initiatives, but also to collect opinions/ideas useful for the community development process.



- ▶ 3.4. Review sessions, based on materials/reports produced, are meetings useful for process monitoring and maintaining momentum. All those involved in the various actions are invited back to a session together with others who may wish to be involved in the future activities.

**Stage 4 - Generating ideas and plans for action:** This stage involves the formulation of the plan elements and policies based upon background information and stated development goals and objectives.

*Recommended actions and techniques to be employed*

- ▶ 4.1. Organize micro-planning workshops with community's representatives to develop neighborhood initiatives/plans, being supported by experts, either from the planning department or from specialized firms commissioned to finalize the municipal plan.
- ▶ 4.2. Open space workshops are a flexible, voluntary technique, leaving to the community members to adapt the framework of discussion. The workshop needs support from a skilled moderator. People can contribute with ideas and options on what improvements are needed in the planning process which is in the development, or to contribute with programs needed.
- ▶ 4.3. Award scheme practice increase the level of publicity and also increase the participation level. People or groups may be rewarded for their contribution. Young people, in schools, should be involved in the participatory process and rewarded for their ideas/contribution.

Techniques from the stage 3, regarding publicity, can be used in this stage, as well.

**Stage 5 - Enabling actions:** The content of the plan will have no impact on the community unless it is formally adopted by the legislative body. For the plan implementation, the public-public or public-private partnership mechanisms should be developed for making funds available. This stage includes development, enactment and administration of the various tools for implementing the plan. Municipality may enact certain regulatory controls to handle growth and changes in land use.

*Recommended actions and techniques to be employed*

- ▶ 5.1. Information stalls are organized to assess public opinion about projects, location of the project, and the time implementation scheme. This technique should be organized using a particular street/park or other significant public spaces

- ▶ 5.2. Public debates, organized by local authority, can discuss projects based on the impact on the community, time implementation and costs. This technique asks for participation of experts in the project field. The advisory committee/commission participation is compulsory. Within the preparation of municipal/regulatory plans, at least three public debates/assemblies should be conducted.
- ▶ 5.3. The Information Points opened in municipal buildings and in other locations using public buildings provides all needed information to support decision making process. The newspaper supplement represents in this stage a vehicle for community information.
- ▶ 5.4. Review sessions, based on materials/reports produced, are meetings useful for process monitoring and maintaining momentum. All those involved in the various actions are invited back to a session together with others who may wish to be involved in the future activities.

**Stage 6 - Monitoring, evaluating:** As the last part of the process this stage is an ongoing part of the plan. The entire process from stage one is constantly reviewed. Data must be updated and plans kept current to be useful.

6.1. Review sessions, based on materials/reports produced, are meetings useful for process monitoring and maintaining momentum. All those involved in the various actions are invited back to a session together with others who may wish to be involved in the future activities.

6.2. Public hearing is a formal tool to control changes in land use involving all interested parties affected by the land changes. They have the right to deny the plan change proposals.

## ▶ 4.4. Public hearing

A special attention should be done to the public hearing, and this is because of its nature. Generally speaking public hearing is employed to obtain public comments on controversial or sensitive policy aspects, and focus on the ability to increase the local potential to reach the solutions that have a strong support at the community level. Two basic requirements are that the public be notified and be allowed to attend. There are two types of hearings, fundamental different.

**Type one:** The public hearing ensures an opportunity for citizens to express on matters of policy/plan which may affect a group of citizens, or a jurisdiction. For this one, the Court



does not review the result of the hearing, as soon as it is in line with the Constitution and the State legislative framework. The organization of this type of hearing has been already presented under the point 4, The Management Aspects.

**Type two:** The public hearing involves the legal rights of one or various private parties of the specific jurisdiction in the land use matters. This type of the hearing asks for strict procedural requirements. This section continues with presentation on how this type may be organized, to assure enforcement of the regulatory plan or to offer some flexibility of the plan during time.

### Hearing Preparation

In addition to the minimum legal notice required by law, the hearing and its subject matters should be publicized by articles in the newspaper.

1. Emphasize through newspaper notices and other available media that letters or written comments will be considered equally with oral presentations during the hearing.
2. Careful attention to acquire a hearing location large enough to accommodate the commission and attending public. Seating should be provided for all. This will also prevent distractions created by people moving about the room.
3. Prepare the meeting room ahead of schedule. Place maps, charts or other displays so that can be seen by the public as well as the commission.
4. The studies, plans, or ordinances should be discussed and coordinated with the legislative body, advisory committees and other government units before the public hearing.
5. Copies of the proposals to be presented should be distributed throughout the community prior to the meeting. Copies might be given to interested citizens, civic clubs and interest groups. Copies should be also being placed in the courthouse, city hall and public libraries for public inspection.
6. Most importantly, the department members must make themselves familiar with the material to be presented at the hearing. They should be able to discuss major provisions of each proposal and the reasoning used to support it.

### Running the Public Hearing:

At the outset, the chairperson should explain the purpose of the hearing and the ground rules under which it will be conducted. It should be explained that all comments are to bear relevance to the subject at hand and that a time limit (set in advance) for each speaker may

be observed. The chairperson should then explain the agenda to be followed throughout the hearing. For example:

1. The petitioner shall present the facts and arguments in support of the case.
2. Comments and questions from the community may be interjected throughout the testimony to clarify subject matter.
3. Comments from organized groups, committees, or individuals regarding the merits of the case will be heard.
4. Comments from groups or individuals in opposition to the proposal will be heard.
5. Rebuttal by petitioner will be heard.
6. Close of hearing.
7. Discussion by department/assembly and staff recommendations.

Those persons wanting to present testimony or comment should state his or her name and address. Remarks should be carefully noted by the commission and added to the record meeting. Each person should have sufficient opportunity to express his or her views. If time does not allow this, a second meeting might be scheduled.

At the close of the hearing, the chairperson should thank those attending for their testimony and assure them that their comments will be reviewed and carefully considered during the decision making process. A public hearing is held for the purpose of hearing testimony and just that. It is not used as a forum for public debate between proponents and opponents.

### Hearing Review:

The comments presented should be reviewed immediately or soon after the hearing. Written and oral testimony should be given equal weight. Critical remarks and opposing points of view should be given as much attention as favorable comments. Official action should be taken as soon as possible and must be taken in an open meeting. The results of the department's review should be made known to the community. This should be done through the newspaper and other media. A personal letter to each participant may also be considered.





# 5. CRITICAL ASPECTS IN THE PARTICIPATORY PROCESS TO BE CONSIDERED

Participation yet needs to consider the following aspects in order to develop gradually the stakeholder capacity to organize and run an efficient and an effective public participation:

1. How can community participation be ensured?
2. How to secure, in long run, the participation process?
3. How to ensure that participations is empowering rather controlling and manipulative?

## 1. How can community participation be ensured?

Factors to consider:

- ▶ Necessity for conducting voluntary public hearings/assemblies in addition to the legal minimum
- ▶ The history of non-participation take time to change
- ▶ The unbalanced level of knowledge and expertise among community members and professional workers may hamper an effective participation.
- ▶ The risk of working only with individual community representatives instead to enable more broadly based group and community participation

What should be done?

- ▶ The creation a mutual trust and respect between community and professional workers
- ▶ A commitment to listening to community views and giving them priority
- ▶ Allocate resources for community level involvement and action
- ▶ Use the large array of techniques to ensure that participation is accessible to the diversity of people

## 2. How to secure, in the long run, the participation process?

Factors to consider:

- ▶ The development of the local culture of participation
- ▶ The cost-effectiveness viewed in perspective
- ▶ The perception of the public managers on the real support of the participatory techniques in their daily duties
- ▶ Funding for community participation is short term and insecure, being used more for pilot approaches and ideas
- ▶ Co-ordination between the bottom-up nature of the community participation and the funding bodies which may require specific approaches to be used and outputs to be achieve before the community participation process starts

What should be done?

- ▶ Give priority to organizational development and capacity building to strengthen understanding and commitment within and between various agencies, local, regional, national, international.
- ▶ Achieve results to enhance the further development, and to secure funds to continue

## 3. How to ensure that participations is empowering rather controlling and manipulative?

Factors to consider:

- ▶ The power relationship between professionals and communities. Professionals may be reluctant to demystify their knowledge



- ▶ The unexpected negative consequence of the community participation programs
- ▶ The use of the community development by those in power as social form of control

What should be done?

- ▶ Community participation should be meaningful all stages of the planning process, not just at the first stages of the planning process
- ▶ Transfer power to the community during the planning process to build self-esteem confidence and skills

## ANNEX A:

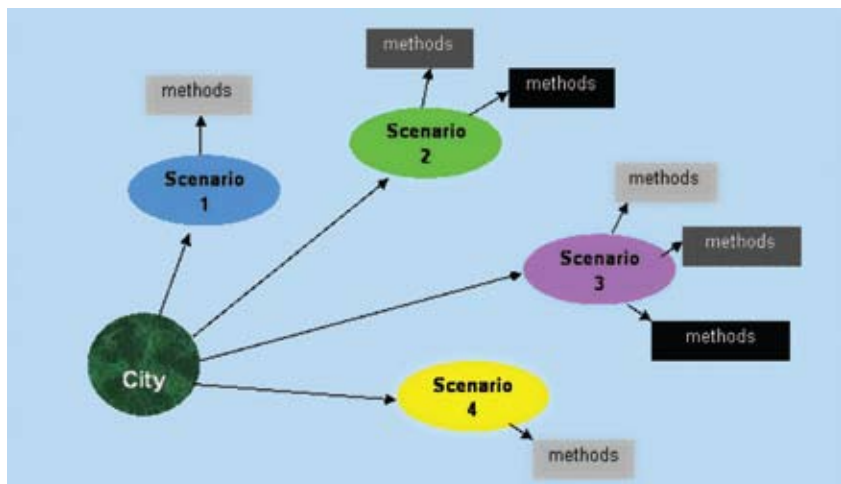
### Tool-Kit for participation, detailed techniques, models and scenarios

- ▶ Scenarios which cover common development situation
- ▶ Methods to get people in physical planning
- ▶ Formats useful for organizing events

The general objective of the annex is to increase the group appreciation of participatory techniques, as a tool of cooperation development between local administration, citizens, private sector, and NGOs, presenting instruments which may support and organize the participants in the development of an initial plan of action in the field of urban development planning.

The annex focus on the possible options in participatory techniques based on scenarios and methods related to the local situation presented in the Chapter 1, Box 1 and Box 2, which may be developed by the stakeholders to solve the municipalities' problems and to envisage its development goals.

Figure 3:  
The tool-kit tree



## I. SCENARIOS

### 1. Planning study:

Planning consultants are commissioned by the municipality to prepare a study of the potential of an area of the city

#### Development stages

1. Press release: Authority voice sets out the objectives of the study and ask for involvement
2. Survey: Send survey forms to individuals and organizations known to have useful data
3. Letter and invitation: Send letter to organizations inviting representatives to attend a process planning session
4. Process planning session: Briefing on objectives and limitations. Run a workshop to establish the nature/agenda of a planning day or other necessary activities
5. Planning day: Report progress to date, including survey results. Establish issues, opportunities and possible solutions. Establish future consultations
6. Draft report: Circulate the draft report to those expressing the interest for comments. Revise the draft
7. Final report: Submit the final report to the municipality

### 2. Settlement upgrading:

Can be applied particularly to communities to upgrade their neighborhood with assistance from the authorities, technical experts and support agencies

#### Development stages

1. Committee formed: residents form a committee and develop contracts with the authorities, technical professional and support agencies
2. Field workshop: Produce a plan of action with input from the technical experts, local authorities and support agencies
3. Project groups created: Groups meet regularly and negotiate with authorities part of the plan specially for the utility infrastructure
4. Focus-planning workshops: Plan action produced is reviewed and revised.



- Reorganization of the of the project group if necessary
- 5. Action plans progressed: Project groups pursue targets agreed at the focus-planning workshops
- 6. Neighborhood council established: a more formal/structured version of the original committee

### 3. Derelict site reused:

Community initiative to make use of a derelict urban site in public ownership

#### Development stages

1. Research: initiators find out background information such history of the place, planning position, etc.
2. Public meeting or forum: to launch initiative, find out further information, and establish steering group
3. Ideas competition: for best ideas for improving the site. Public exhibition and judging the proposal
4. Development partnership: formed to implement project, including local authority, founders, local amenity groups, site neighbors. Appoint architects to draw up proposal based on the wining scheme.
5. Art workshops: to design and make any work of art.
6. Open house or street stall: to keep people informed and get their views for further improvements. Secure funding.Implementation: using self-build input from local people on all or parts of the scheme.
7. Opening ceremony
8. Management body established: from users of the facility

## II. METHODS

### 1. Action planning event:

- ▶ allows people to produce plans of action at which all those affected can work together
- ▶ local elected officials and executive staff work together for an intensive period
- ▶ timetable structure contains: introduction, problems/issues, options/solution, synthesis, production, presentation
- ▶ methods: planning forum, design workshop, task force micro-planning workshops, open space workshop, planning for real, road show.
- ▶ target group: local residents, business people, professionals,
- ▶ scenarios: city revitalization, local neighborhood initiative

### 2. Micro-planning workshop:

- ▶ involves 8-12 community representatives working closely with a small team of experts and facilitators for several days
- ▶ part of a regular intensive workshop program repeated every year
- ▶ structured in 5 steps: identify problems, identify strategy options, plan action needed, allocate tasks, monitor and evaluate
- ▶ methods: action plan
- ▶ objectives: working together to arrive at a development plan and work program
- ▶ scenarios: settlement upgrading, services upgrading

### 3. Planning day:

- ▶ involves representatives, a cross-section of the main stakeholders, to work creatively together to devise and explore options for a site, neighborhood or city. A briefing pack is sent to all those attending. The pack contains background information about the area and the development process
- ▶ workshop formats are designed to encourage the development of creative ideas. Facilitators will often be from outside the area to provide a measure of independence
- ▶ a printed summary is produced as soon as possible afterwards and the proposal may be exhibited to a wider public
- ▶ methods: design workshop
- ▶ objectives: working together to explore options for a site
- ▶ scenarios: planning study



#### 4. Community planning forum:

- ▶ multipurpose events designed to secure information, generate ideas and create interaction between interest groups with a minimum of advance planning
- ▶ are particularly useful at an early stage in a participation or development process
- ▶ combine interactive displays, an open forum, workshop groups, and informal networking
- ▶ methods: elevation montage, interactive display, table scheme display, task force
- ▶ objectives: to identify what the inhabitants expect of their place for future
- ▶ scenarios: community centre, village revival

#### 5. Design assistance team:

- ▶ comprised of a number of specialists from relevant disciplines who visit an area and take part in a participation process
- ▶ assistance multidisciplinary teams are invited by the local people or agencies to listen and advise, or to act as a facilitator
- ▶ the teams prepare a report with their recommendations before leaving
- ▶ methods: participatory editing, planning day, planning weekend
- ▶ objectives: to offer to the community a fresh, independent view
- ▶ scenarios: industrial heritage, local neighborhood

#### 6. Task force:

- ▶ multi disciplinary teams of students and professionals which produce proposals for a site or neighborhood
- ▶ intensive program based on site studies, lectures, participatory exercise. Running time 3-6 weeks
- ▶ structure in 6 steps: building a skill base (1 week), small projects life (1 week), public engagement on large life project (3 days), studio working (2 days), presentation (1 day), publication (6 months)
- ▶ methods: community planning forum, urban design studio
- ▶ objectives: bring people from outside with their vision, objectivity and criticism
- ▶ scenarios: new neighborhood

### III. FORMATS

#### Strategy planner

Example used: improving the public spaces/facilities in the neighborhood

Method	Who involved	Time table	Purpose	Responsibility
To be completed with the planned activities	Person or organization involved in implementing the activity	Number of months/weeks	Purpose of the activity	Mention the responsible organization

#### Workshop planner

Example used: for workshops

Time	Activity	Format	Responsibility	Equipment
Number of minutes	To be completed with the desired activity	Type of activity (briefing the participants, etc)	Person involved	Equipment used for each activity (flipcharts, video)

#### Action Planner (for workshop or meeting)

Workshop title/theme:

Date and time:

Person responsible:

Topic	Action needed	By whom	When	Help needed	Priority (1-5)
Subject for discussion (i.e. green spaces)	Type of action (i.e. pedestrian path)	Responsible organization	month	Professional support	Score the priority





### Progress monitor

(for summarizing the outcomes of community planning activity and planning the next steps)

Type of project: green spaces

Topic	Action taken	By whom	Outcome	Next step	By whom
Subject for discussion (i.e. green spaces)	Type of action accomplished	Responsible organization	What was done (i.e. planted tree)	What should be done next (see priorities)	Responsible organization

## ANNEX B

### Tool-Kit for participation, a comprehensive approach (in line with the planning process)

- ▶ Assessing needs and assets
- ▶ Agreeing on a vision
- ▶ Generating ideas and plans for action
- ▶ Enabling actions
- ▶ Monitoring and evaluation

In addition to the previous annex, the annex B intend to link the development of local management capacity with a large array of options which may be used by both municipalities in developing the planning process.

The presented techniques should be selected according to the local problems, organizational capacity and human resources, available time, and the budget allocated to the participatory events.

### Check list of questions for choosing appropriate techniques for a particular situation:

- ▶ Who leads the participatory process?
- ▶ What is the motivation and focus of community participation?
- ▶ Who is the community?
- ▶ What level of participation is appropriate?

- ▶ Who organizes the participatory process?
- ▶ How much time and how many resources have you got?

## I. ASSESSING NEEDS AND ASSETS

### 1. Community profile and appraisal

- ▶ **Purpose:** survey and analyse the needs and resources of the community using information and informing local decision-makers
- ▶ **Description:** agencies work jointly with the community utilizing their resources in gathering existing data and in designing and administering research tools. Community profile and appraisal in five stages: preparing, collecting data, analyzing and interpreting data, presenting the results and using the results
- ▶ **Techniques used:** steering group, questionnaires, interviews, focus groups, media, community forum/advisory group
- ▶ **Resources:** community development worker, venue suitable for steering group meetings and presentations, budget for training and data collection, producing and disseminating reports, and existing umbrella strategy

### 2. Neighborhood maps

- ▶ **Purpose:** mapping is important to enable a community to explore local distinctiveness and express what community values in its area.
- ▶ **Description:** community uses arts media to create a unique picture of the local life, identifying and assessing its local value, assets and resources. Neighborhood maps have three main stages: getting started, gathering information, and producing and displaying the map.
- ▶ **Techniques used:** artwork maps created as a result of meetings in public spaces, display representative maps (photography, painting, collage, video, etc) desktop geographical information system package,
- ▶ **Resources:** community worker, place suitable for meetings and a place for displaying the map, small budget



### 3. Rapid participatory appraisal

- ▶ **Purpose:** assessment of the needs problems and preferences of the community in a participatory way
- ▶ **Description:** quick and relative chip method to collect relevant information about community with the help of the community members. The rapid participatory appraisal has five phases: preparation, collecting information, analysis information, review and feedback, and final report with recommendations
- ▶ **Techniques used:** SWOT analysis, problem tree analysis, rapid appraisal guideline/manual, setting priorities methods, interviews, focus groups,
- ▶ **Resources:** community development worker, places suitable for the study team, public meetings, budget for training, data collection and analysis, report.

## II. AGREEING ON A VISION

### 4. Future workshops

- ▶ **Purpose:** enable excluded groups to express ideas, problems, come with creative ideas and solution for a better urban environment. The method contains four stages: preparation, critiques, fantasy and implementation.
- ▶ **Description:** Method is based on an interactive workshop. There are activities for the initiation of the workshop, inviting participants, workshop preparation with location and logistics, event opening, problem presentation, negative experience presentation relating to the topic, clustering the key points, selection of the clusters, positive objectives, explore ideas, desires, and positive alternatives for the future, prioritize the ideas and proposals, develop projects based on clustering ideas, presenting the ideas, identify key obstacle in the implementation process, design action plan.
- ▶ **Techniques used:** workshop, brainstorming, scoring
- ▶ **Resources:** facilitators, room and workshop materials, budget for one day workshop

### 5. Guided visualization

- ▶ **Purpose:** Develop a common vision of what a sustainable community would be in order to guide the planning process
- ▶ **Description:** This method presents a script to take people on a journey into the future in five stages: setting the scene, mapping the present, guided visualization, recording and describing visions and identifying priority ideas for action
- ▶ **Techniques used:** spidergram, brainstorming, various diagrams to interconnect issues identified by participants, positive stories and pictures of the future, generate ideas and plans for actions, taking into account potential and actual barriers
- ▶ **Resources:** facilitator, workshop materials, spacious room, half a day

### 6. Future search

- ▶ **Purposes:** This method creates a shared vision among a diverse community stakeholders as an engine for actions for changes/improvement
- ▶ **Description:** This method consists in organizing in five stages, a number around 60 persons split into stakeholder groups reflecting the particularity of the groups (young people or women, ethnic, etc or geographical areas, or shared concern). Activities have to review the past, explore the present, create future scenarios, identify a shared vision, make action plans.
- ▶ **Techniques used:** workshop
- ▶ **Resources:** facilitators, planning group, spacious room, with eight tables, room for presentation, displaying facilities, budget for the planning event

## III. GENERATING IDEAS AND PLANS FOR ACTION

### 7. Planning for real

- ▶ **Purposes:** This method engages communities in the processes of planning and designing the future of their areas and aids communication between professional planners and community.
- ▶ **Description:** This method runs in three stages: preliminary meeting for process presentation, building and display a model in community location, using community events and hold open meetings for specific groups or locations within the city, exchanging ideas and information, agreeing on actions after a prioritization process and the identification of the short/medium/long term implementation
- ▶ **Techniques used:** meetings, game playing, modeling, simulation methods, option cards
- ▶ **Resources:** facilitator, spaces for displaying the model, and hold meetings, budget



## 8. Work book methods

- ▶ **Purposes:** Method used to engage communities in a dialogue with planners to be actively involved in making decision concerning the development of their neighborhood
- ▶ **Description:** interactive technique for public participation. During the process citizens identify ideas and priorities for the area, being refined during the planning process. In some cases residents may implement ideas/proposals, but in other cases the ideas of the residents are put to the relevant departments of the municipality.
- ▶ **Techniques used:** work books, interactive questionnaires, priorities setting among solutions, need assessment techniques, awareness raising
- ▶ **Resources:** coordinator/coordinating committee, budget for training

## 9. Citizen's juries

- ▶ **Purposes:** method increase the accountability of the local authorities involving citizens in generating ideas, debating and evaluating specific issues/ proposals/plans.
- ▶ **Description:** This method reflects the legal process of appointing a representative group to listen and to assess evidence. There are four stage: preparation, setting up the jury defining the questions to be considered, assembling information, appointing external moderator to facilitate the process, selecting witnesses, and selection of the jury from the community, hearing witnesses and assess the evidence, build conclusion and agree on recommendations to be fill in the report handled to the decision-making body for dissemination or implementation
- ▶ **Techniques used:** public hearings
- ▶ **Resources:** external moderator, advocate, meeting room for 20-30 people, budget

## IV. ENABLING ACTIONS

### 10. Community networks

- ▶ **Purpose:** The approach is to enable communities to share knowledge, ideas, resources and experiences learn from each other and provide mutual support to enable more effective community action.
- ▶ **Description:** This method requires support from communities and professionals networks and is developed in four stages: preparing the network, establishing the network, developing the network and supporting the community action. It starts with political/organizational support, involve a small planning group, and focus on an issue of concern across a number of communities, agree on priorities for action and necessary support and work at the policy level to ensure that decision makers are listening to the community's voice and examination whenever organizational changes should be made

- ▶ **Techniques used:** network focus meetings, regular newsletter, data base, workshops
- ▶ **Resources:** time, budget to support the network, office space and equipment

### 11. Community participation advisory groups and community councils

- ▶ **Purpose:** This method is used to enable widespread community involvement and actions, to advise key agencies on community participation processes, to liaise between communities and authorities and to mediate different interests
- ▶ **Description:** Generally the advisory groups and community councils give priority to liaison, mediation, facilitation and advisory roles. They may act as a umbrella groups, sometime complementary with community network, for coordinating participation work through all stages of the planning cycle. The stages involved include identification and agreeing on a need, establishing the group or council, agreeing on remit of the group or council, provide information and training and supporting the group or council and enabling it to work.
- ▶ **Techniques used:** meetings, networking, lobbying, guideline, handbooks
- ▶ **Resources:** office space and equipment, time, operational budget

## V. MONITORING AND EVALUATION

### 12. Story-dialog methods

- ▶ **Purpose:** This method uses the story-telling and structured dialogue to reflect on, learn from and evaluate practice, by tapping into and developing the knowledge base of both practitioners and community members.
- ▶ **Description:** This method is used to solve a problem, develop knowledge or evaluate projects or programs choosing a generative theme, writing the case story, sharing the case story-the structural dialogue, creating insight cards, application of the method making distinction between case story (individual particular experience) and case study (professional tool linking together more individuals stories as building blocks and bringing these together with information drawn from a range of other sources.
- ▶ **Techniques used:** structured dialogue meeting, logic models, case study, benchmarks, indicators, outcomes for use in monitoring and evaluation
- ▶ **Resources:** facilitator, location large enough for meetings, budget



# Reference:

Annexes contain methods and techniques from:

- ▶ 2006, Nick Wates, The community planning handbook, Earthscan
- ▶ 2002, WHO Regional Office for Europe, Community participation in local health and sustainable development, approaches and techniques,

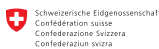
Strategy Building Process, EU RED Practical guidelines

# PARTNER ORGANISATIONS

Organizations, institutions and companies that have given significant support to NALAS and its Member Associations are recognized as NALAS Partners. Their support may include, but is not limited to lobbying for NALAS and its members, expertise support and financial support. In addition, NALAS proved to be a valued asset for many of these partners, by providing regional experience, guidelines or coordination of activities conducted in the member countries



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