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ENGLISH VERSION

**MAKING URBAN GOVERNANCE
WORK:**
The Role of Toolkits in Supporting Good Governance in
Selected Case Cities

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CHAPTER I

INTRODUCTION

1-1 BACKGROUND

Much has been written on good governance and its application to cities. Within less than a decade, governance has become a universal norm that is widely shared at all levels from international development agencies, to central and local governments globally, and non-government organisations (NGOs). The notion of governance itself has been applied in multitude of ways and with multiple meanings, covering a range of different institutions and sectors.¹ Somewhat like the notion of “community”, governance is most commonly used in a largely benevolent, warm and persuasive manner. Equally like community, governance is something of a “slippery” concept that defies static definitions.² Nevertheless, most definitions of governance emphasise the messy business of decision-making, involving processes and institutions (both formal and informal) and which provide for the relationship and interaction between Government and the range of other stakeholders affected by government activities. As the International Institute for Environment and Development suggest, rather “than government taking decisions in isolation, there is a growing acceptance (indeed expectation) of an engaged state negotiating its policies and practices with those who a party to, or otherwise affected by, its decisions”.³ Reconstructing relationships of power and letting citizens “in”, remains the major challenge for cities worldwide.

The significance of governance to cities is underlined by the simple fact that the majority of the World’s population will soon live in cities. The trend of urbanization is irreversible.

¹ For the purpose of this report, in general terms governance involves: “the exercise of economic, political and administrative authority to manage a country’s affairs at all levels. It comprises the mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences.” *Governance and Sustainable Development*, United Nations Development Programme (1997).

² *Citizens and Governance Toolkit*, Commonwealth Foundation (2004).

³ Reshaping local democracy through participatory governance, Environment & Urbanization Brief – 9 (April 2004) International Institute for Environment and Development.

The challenge is to optimise the benefits offered by human settlements of all sizes (including cities, towns and villages). Cities offer tremendous potential as engines of economic and social development, creating jobs and generating ideas through economies of scale and creative and innovative civic cultures. But cities can also generate and intensify social exclusion, denying the benefits of urban life to the poor, to women, to youth, and to religious or ethnic minorities and other marginalized groups. Good governance has a pivotal role in optimising the benefits and minimising the disbenefits.

The significance of good governance to cities, towns and villages is well rooted within the international community generally (including international agencies and central and local governments). The United Nations' Rio Agenda 21 Conference (1992) whilst predating the widespread notion of governance, anticipated its significance to the success of cities and towns globally and the need to develop and enhance both personal and institutional capacities of all actors with a stake in the future of their cities⁴. In the postscript of the 1996 United Nations Conference on Human Settlements (Habitat II) held in Istanbul (Turkey), a number of specific initiatives were launched focused on the promotion of good urban governance, including the United Nations Development Programme's (UNDP) Urban Governance Initiative (TUGI) and UN-HABITAT's Global Campaign on Good Governance⁵. In the over twenty years of experience of the United Nation's agency primarily responsible for cities, UN-HABITAT, it is neither money nor technology, nor even expertise (although these elements are important) that are of primary significance, but good urban governance.

The *Habitat Agenda* is the global plan of action that articulates the international community's commitment to sustainable human settlements development and adequate

⁴ United Nations Conference on Environment and Development, Agenda 21, Chapter 7 (Promoting Sustainable Settlement Development).

⁵ TUGI's objective was to contribute to making cities in the Asia Pacific Region more liveable through strengthening capacities, promoting good governance principles, and enhancing the tools available to urban administrators and decision-makers. UN-HABITAT launched the Global Campaign on Urban Governance in 1999 to support the implementation of the Habitat Agenda goal of "sustainable human settlements development in an urbanizing world." The campaign's goal is to contribute to the eradication of poverty through improved urban governance. There is a growing international consensus that the quality of urban governance is the single most important factor for the eradication of poverty and for prosperous cities.

shelter for all⁶. In adopting the Habitat Agenda, member states recognized the importance of good governance and committed themselves to fostering “transparent, responsible, accountable, just, effective and efficient governance of towns, cities and metropolitan areas”⁷ and called for the promotion of human settlements management aimed at “achieving transparent, representative and accountable governance through institutional development, capacity-building and partnership”.⁸ For the purposes of this report the objectives of good urban governance are shown and illustrated in Annex I.

There is one attribute that, above all others, marks the significance of good governance to cities and towns worldwide: the ability of people to talk, rationalise, agree and disagree about the future of “their” place. Urban development is an inherently political process and the critical agendas, methods and processes through which decisions are made form the bedrock of urban governance. The ability of city governments to bring greater equity and transparency in their allocation of their funds, or the understanding and preparedness against possible natural disasters, or local people making their own strategies against crime, violence and insecurity, all boil down to the common denominator: the need to get citizens involved in their cities, and empowering them to take part in and have a real voice in the way a city is run, managed and developed. Participatory governance therefore “embraces a more systematic consideration of who should be included, and how.”⁹ This report focuses on toolkits that seek to enhance the understanding, and practice, of participatory governance.

Interest in the use of tools and “toolkits” in participatory urban governance developed from a growing awareness in developing societies that the needs of the urban poor were being ignored by conventional, technocratic, approaches to planning, management and

⁶ UN-HABITAT is the UN focal point for the implementation of the *Habitat Agenda*.

⁷ *Habitat Agenda*, paragraph 45 (a).

⁸ *Habitat Agenda*, paragraph 228(o). In response to these calls, UN-HABITAT launched a Campaign on Urban Governance with the goal of reducing urban poverty through the enhancement of local capacity as one of two pillars of sustainable human settlements development. UN-HABITAT’s campaign and country level operational activities focus on eight interdependent and mutually reinforcing principles of governance: sustainability, subsidiarity, equity, efficiency, transparency and accountability, civic engagement and citizenship, and security. These are set out in Annex I with illustrative practical measures.

⁹ Reshaping local democracy through participatory governance, Environment & Urbanization Brief – 9 (April 2004) International Institute for Environment and Development.

development. Much of the foundation for methods in urban participation and governance grew from two sources – one rural, the other urban. On the one hand, the evolution of participatory rural appraisal, an approach to development that emerged in the late 1980s and 1990s, was perceived as providing potential techniques for engaging the residents of cities in the developing world. On the other hand, consultative and participatory techniques for involving citizens in aspects of urban management and development in developed countries (whilst dating to the 1970s) was maturing and being extended in terms of application.

Whilst urban tools have a partial heritage in rural participatory techniques and methods in developing societies, there are also some marked differences between rural and urban areas that underscore the significance and need for specifically urban focused approaches and tools¹⁰. One of the most striking and overriding differences however, is the presence and increasing significance of local government in urban areas. Although often weak and under-resourced, local government in developing countries is nevertheless a key stakeholder within local urban development and management processes. It may be an important land owner. It is often responsible for drafting building and zoning regulations, and issuing licenses for enterprises. In many cases it may be responsible for basic urban service delivery (from waste management to water and sanitation). All these aspects directly impact upon urban residents and especially the urban poor. Effective participatory decision making hinges therefore on engaging local government and ultimately facilitating a greater pro-resident (and pro-poor) delivery of services.

In a growing number of (so-called) developed society cities the challenge of promoting participatory decision-making is also present. There are inevitable and increasing limitations to the local government provision of services and it is therefore necessary that city residents and other stakeholders are proactively engaged. In-migration also

¹⁰ The rural-urban distinction is not a clear one and in reality rural and urban areas are inextricably linked. Where differences are recorded one can point to different economic structures and natural resource bases, or to the fact that communities in urban areas in many countries tend to be more mixed, comprising of residents with a variety of different birthplaces. Tenure too can be a pressing difference with urban (especially low income) residents experiencing a variety of tenure forms. There is a remarkable consistency of low-income urban households often lacking tenure security (and therefore giving rise to specific governance related issues).

represents a particular challenge in engaging with continually evolving communities. There is a variety of expectations, experiences and receptiveness to participating in city life, and multiple languages to cater for. The evolving linguistic profile of many cities in Europe or North America for example, is indicative of the challenge of successfully engaging communities in participatory governance.

Until recent years, despite the fundamental significance of local government, there has been few studies focused specifically on the relationship (or interface) between municipal government and ordinary citizens, and the participatory processes involving both.¹¹ *Toolkits therefore have an instrumental role in supporting the development of capacity for participatory decision-making in local government.* For poorly resourced local government, toolkits provide a ‘sounding-board’ and guide for developing capacity and ways of working that are new and often daunting. They help support understanding and an appreciation of the potential benefits of engaging stakeholders. As the case studies present this varies from helping to reduce the budgets for delivery of waste management services in Sri Lankan cities, to introducing multi-stakeholder strategies in China. For better-resourced local governments, toolkits can provide a road-map for engaging with communities in new ways (and supporting the development of these communities) as in the case studies from Canada, Japan and the United Kingdom. Toolkits are part of the ‘software’ for harnessing the energy and ingenuity of local people in addressing some of their own needs. As the case study from the UK suggests, the presence of toolkits provide a sense of security and confidence for local government and other agencies in supporting and enhancing local governance through participatory decision-making.

¹¹ *Municipalities & Community Participation: A Sourcebook for Capacity Building*, Janelle Plummer (2000), Earthscan, London.

1-2 STRUCTURE OF THE REPORT

The report is structured in three main sections with supporting annexes. Section 1 deals with basic definitions and asks the critical question: what is a toolkit? The presentation suggests that the concept of a toolkit (or toolbox) is broad and varies in the degree of abstraction (or conceptualisation versus practicalities), its primary purpose (from informing to a snapshot of hands-on methods) and its principal audience. To illustrate the spectrum, a selective scan of available toolkits focused on good governance was carried out and a typology of toolkits suggested. This section also places toolkits in the broader framework of “knowledge management” suggesting that they are a key component in knowledge sharing efforts and the “cascade” of knowledge available, which in itself has important ramifications for supporting and enhancing good governance.

Section 2 provides a more in-depth presentation of toolkits. The first part of the section briefly describes the types of toolkits that have been applied in a number of cities globally. These snapshots are designed to illustrate the range of application of toolkits in diverse cities and addressing diverse issues. The second part presents five detailed and contrasting case studies of where toolkits have been developed, adapted and applied at the city level. The cases are drawn from Canada (Canso Town, Nova Scotia), China (Yangcheng County), Japan (Yokohama City) Sri Lanka (Colombo Core Area) and the United Kingdom (Hastings). Each of the cases offers a very different “take” on toolkits and their local development and application, but share the common purpose of enhancing participatory urban decision-making and involvement. Each case study concludes with a reflective learning section designed to inform the final section (3) of the report.

The final section (3) provides an overview of the building blocks of a “model toolkit”. The section focuses less on the substance of a model toolkit as the key principles and characteristics in both developing a toolkit and structuring the know-how it embraces. The section also makes a number of recommendations as to further possible developments and the role of toolkits in addressing good governance.

1-3 What is a Toolkit? ~ TOOLKITS AND KNOWLEDGE

What is a toolkit? On the surface there is a straightforward answer: a set of principles, ideas and methods for enhancing local decision-making processes and building local capacity. A box (or rather book) of useful tricks, in other words, that can be used to address and enhance the “soft” processes of governance. In practice however there are a number of different approaches that fall under the general label “toolkit” – and are variously referred to as handbooks, sourcebooks, guidelines or checklists. Equally there are a number of different ways in which they might be classified, for example by the principle or characteristic of governance addressed, the geographical application of the toolkit or the actual and potential user groups. For the purposes of this report what might be described as pedagogical approach has been applied in scanning toolkits in terms of their contribution and approach to learning and sharing knowledge and, crudely where they sit within a general cycle to learning and application. The classification or type of toolkits available is further addressed in Figure 1-2.

Most theories and approaches to “knowledge”, distinguish between *explicit* and *tacit* (or implicit) knowledge. Whilst explicit knowledge is easily recorded, formalised and shared as in the development of toolkits, tacit knowledge tends to be subjective and composed of insights, intuitions and emotion. The utility and significance of tacit knowledge is increasingly acknowledged, although in practical terms these are not separate but complementary types of knowledge. Nevertheless, a key challenge is to effectively utilise and share the tacit knowledge and this report returns to this question in Section 3 in considering a model toolkit; in anticipation it is suggested that behind every toolkit (as a product) lies a network of users and learners (the embodiment of tacit knowledge). In addition, toolkits are significant in supporting the “acquisition” (as opposed to the “transfer” of knowledge based on formal training, scholarships and reliance on expatriate experts¹²) of knowledge – that is the hands-on, on-the-job and experiential learning that is so significant in understanding, appreciating and achieving participatory governance.

¹² *Developing Capacity through Technical Cooperation* (ed) S. Browne (2002, Earthscan, London). This publication describes knowledge acquisition as a considerably more subjective process based on interactive learning, more responsive to the needs of learners and reliant more on group and on-the-job learning.

Local community based organisations don't learn to interface with their municipality and promote local needs through formal training or text books of standardised or generic processes, but through hard won experience.

Toolkits are, therefore, best understood as the first step in attempting to transfer this tacit experience into an explicit form of knowledge that can be shared; in other words “externalising” local experiences.¹³ In general terms (though there are exceptions where toolkits are tailored-made) toolkits are most often the product of extracted and documented experience from practical local experience. These tools are decontextualised and offered as standard good (or useful) practice. The local application of these methods requires adaptation and recontextualisation to the circumstance in which they are to be applied (and potentially to furthering the cycle of reflection, learning, extraction, and application elsewhere). Principles and practice are therefore incontrovertibly linked. This cycle is illustrated in the diagram Figure1-1 below. Significantly the cycle of learning (from concrete experience, to lesson learning, extraction and further application) can continue and further toolkit elaboration and development take place. Whether a particular toolkit (or type of toolkit as in Figure 1-2 below) starts with so-called *inductive* learning where ideas and conclusions are drawn from concrete experience, or *deductive* learning where principles, rules, methods and tools are drawn up and then applied, is a matter for consideration. In reality both are subject to change and development as a cycle of learning continues.

There are a number of distinct advantages to toolkits:

- Inspiring and supporting local implementation
- Providing a set of ideas to get things going
- Encouraging innovation and experimentation
- Providing a process “map” where one doesn't currently exist – and avoiding the necessity to “reinvent the wheel”

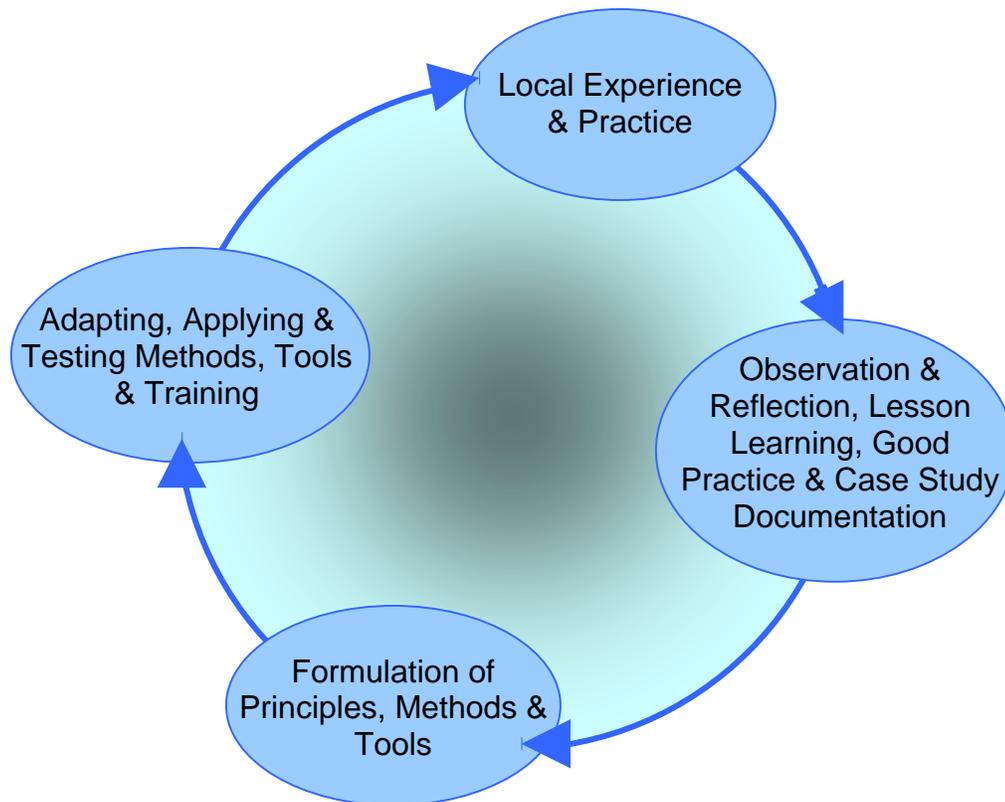
¹³ There are four modes of converting and sharing knowledge (Nonaka and Takeuchi, 1995): tacit to tacit (socialization); tacit to explicit (externalization), explicit to tacit (internalization) and explicit to explicit (combination).

- Providing for hard won experience and learning (potentially globally) to be packaged and relatively easily shared
- Providing confidence that processes and methods have been tried elsewhere – and work
- Potentially providing links to organisations and individuals that can support the exchange of tacit knowledge
- Providing a method of converting good practice into useable tools that can be applied elsewhere
- Capturing new and innovative ways of enhancing local participatory decision-making and participatory governance
- Supporting the formulation of value-based frameworks

Equally, however, toolkits have their limits and limitations. The new and largely experiential approach to urban participatory governance to some extent was a reaction to the more conventional – didactic – approaches characterised by more formal methods of training, lectures and manuals. New approaches placed more emphasis on the need to learn by doing, improvisation and reflecting on practice. The cycle of doing and learning has come full circle in some respects. But the new and innovative ways of promoting participatory governance are being once again documented, codified, their tools and methods extracted and packaged into toolkits for application elsewhere. Inevitably, and in spite of the emphasis that many current toolkits place on the need for flexible application and adaptation at the local level, they are governed by a degree of inflexibility and hence can only be conceived as one method of transferring knowledge (a point that is returned to in Section 3).¹⁴ An additional latter day challenge is becoming both the selection of a toolkit (which is best or most suited) and, in particular, the promotion of toolkits as part and parcel of the implementation of international programmes.

¹⁴ A similar reasoning as was applied from the development of participatory rural appraisal from the late 1980s could be applied to the development and popularity of toolkits: the tendency towards formalism through the process of extraction and the promotion of routinisation in their application hence overlooking other options and innovations. See Robert Chambers, “Participatory Rural Appraisal (PRA): Challenges, Potentials and Paradigm”, *World Development* (1994).

Figure 1-1:
Practice, Learning and Toolkit Development Diagram – Continuum Process –



1-4 GOVERNANCE TOOLKITS

The range of toolkits focused on good governance is exhaustive. Toolkits exist to cover most processes or issues imaginable in the field of governance ranging from internal organisational, management and development processes, to methodologies and methods on conducting business. In order to narrow the field of assessment this report focuses selectivity on toolkits that are designed to address decision-making processes in the way that cities and towns are managed and planned (in itself) representing a broad range of approaches. It does not therefore focus on toolkits that address internal/external institutional management and governance processes of urban based institutions and sectors – for example how schools, hospitals or care centres (to name a few) promote governance. However, this is not to deny the considerable significance that such toolkits make to the total value of urban governance locally. Nor does the report assess toolkits,

manuals and guidelines focused on the urban programming of international and internal support agencies. Some agencies have developed elaborate guidance manuals that address how aspects of governance can be promoted in both the design and substance of new programmes often on sub-sectoral issues such as water and sanitation, health or education.¹⁵ The review has also been limited to toolkits that are available in the English language.

Figure 1-2 illustrates the range of toolkits that are available. This is not a comprehensive record, but rather a selective listing to illustrate the types of toolkits, the variety of organisations promoting their development, the range of users and their geographically diverse local application. For purposes of presentation the table lists five principal categories or types of toolkit though in practice there is not a strict distinction and a degree of overlap between the categories is inevitable. Some toolkits may therefore fall into more than one category, for example by combining both a presentation of tools and methods and providing specifically designed training courses on these methods. The five types are as follows:

- i) ***Process or Systems Toolkits***: these toolkits tend to present a full process (and programme) lifecycle, from the initiation of the approach to its completion, and in so doing present a range of methods to move users through the process lifecycle and a series of sequential steps. In general they tend towards a goal and outcome orientation (such as the formulation and implementation of strategies and action plans) and address a particular problem, issue or need. Like technical manuals they tend to focus on sectoral/sub-sectoral issues (such as environmental management and planning). In general however they focus on the significance of participatory/ multi-stakeholder decision-making processes, systems and strategy formulation, rather than necessarily detailed technical responses (for example on water supply or construction design etc). They can be initiated and developed at any level: international external support agencies, national government and associations and tailor-made at the city level, though are generally designed to

¹⁵ Often authored by those responsible for identifying, developing, managing, appraising and evaluating programmes and projects.

affect change in local government decision-making processes. These toolkits are drawn up primarily for central and local government technical and administrative staff, and in some cases non-government organisations.

- ii) **Methods “Catalogues”**: the principle purpose of these toolkits is to provide ideas and methods, catalyse action and inspire. Often described as “working tools”, these toolkits are generally conceived for flexible application and updated as new experience and methods emerge. They tend to present methods and tools in a “yellow pages” or A-Z format and apply a common format to the profiling the individual tools. Unlike process or systems toolkits they offer users a range of tools that can be applied singularly or in combination in response to a particular local need where participatory decision-making needs promotion. They are not designed for “step-by-step” application but as a set of tools and methods so support problem solving. Evaluation and assessment of the local adaptation and application of such toolkits would therefore tend to focus on the individual methods or tools applied, rather than the toolkit per se. The individual tools are generally extracted on the basis of learning from good/innovative practice. As a result of their “self-build” orientation and flexibility, there is less emphasis on the part of the toolkit developer on ensuring implementation of the toolkit as such. Because of their open style and presentation format (often well illustrated, easy to read and relatively jargon-free) they have the widest potential audience from technical practitioners to non-government organisations, and where sympathetically developed to community based organisations.

- iii) **Sourcebooks**: these are less actual toolkits than the exploration (often conceptual) of key principles and approaches that underlay methods and tools. They rarely present detailed methods and tools (as with methods catalogues). They are generally formulated on the basis of (substantial) case study research through which deductions are made and general principles identified. They are strong on presenting the variety of local experience and are of particular use in the practical orientation of their research focus. Sourcebooks are therefore useful in designing

new approaches at the local level. The target audience and users are policy makers, senior administrators, external support agencies and training institutions.

- iv) **Technical Manuals:** manuals that could be considered for inclusion within the range of good governance toolkits, employ a balance (or emphasis) towards multi-stakeholder involvement and participatory decision-making in addressing technical and policy design issues and solutions. These manuals are focused on sub-sectoral issues such as housing design, water and sanitation systems, waste management, disaster preparedness and so on. They are generally designed for use by technical practitioners (such as municipal engineers, planners and policy-makers, and technical oriented non-government organisations).

- v) **Training Toolkits:** materials developed with the primary purpose of supporting the development of participatory urban decision-making through the delivery of training either through training-for-trainer packs or participant training materials (or both). They are targeted at those in key decision-making roles (such as elected local representatives or municipal technical practitioners) or roles where the significance of good governance can be advocated and promoted (such as key non-government organisations or local government associations).

Figure 1-2: Toolkit Typology

TOOLKIT TYPE	FOCUS / PURPOSE	EXAMPLE	AUTHOR / DATE	GEOGRAPHICAL APPLICATION	CORE USERS	CITY LEVEL ADOPTION
PROCESS or SYSTEM TOOLKITS	Present a complete programme lifecycle. Focus on sub-sectoral issues (such as environmental management and planning). Generally, focused on the significance of participatory multi-stakeholder decision making processes, systems and strategy formulation, rather than necessarily detailed technical responses	Urban Environmental Management and Planning - Sustainable Cities Programme	United Nations Environment Programme and UN-HABITAT (1998)	Global (Asia-Pacific, Latin America and the Caribbean, Africa)	Municipal Officers	Adapted and applied in over 60 cities in Latin America and the Caribbean, Africa, Europe and Asia and the Pacific
		Cities for Climate Protection Campaign	International Council for Local Environmental Initiatives	Global / International	Municipal Officers	Applied in over 674 local authorities in 30 countries
		Strengthening Rural Communities	Government of New South Wales, Australia	Australia (rural communities)	Local organisations and community groups	Unknown
METHODS "CATALOGUE" (Yellow Pages)	Provide ideas, catalyse action and inspire. Self-build approach to applying methods. Generally drawn up on the basis of learning from and extracting current good/innovative practice	Local Government Participatory Practices Manual	Federation of Canadian Municipalities (1999, 2 nd Ed 2002)	Canada / International	Central and Local Government Officials and Officers	Toolkit developed from practical experience in Canadian cities. It has been translated into French and Spanish and in modified form into Arabic and Chinese.
		Tools for Participatory Urban Decision Making	UN-HABITAT	Global	Central/local Government Officials and Officers. NGOs	Sri Lanka
		Participatory Methods Toolkit	King Baudouin Foundation and Flemish Institute for Science and Technology Assessment	Europe / International	Practitioners in participatory methods	Toolkit developed on the basis of practical experience
		People and Participation: How to put Citizens at the Heart of Decision-making	Involve (United Kingdom) (2005)	United Kingdom	Practitioners in participatory methods	Toolkit developed on the basis of practical experience
		Toolkit Citizen Participation (web-based)	Toolkit Partnership – a group of civil society (NGO) and local government organisations from all over the world	Global / International	Practitioners in participatory methods	The Toolkit consists of the submission and presentation of local case studies (a good practice type web presentation)
		Citizens and Governance Toolkit	Commonwealth Foundation (UK Commonwealth)	International (Commonwealth)	Local Government	Unknown
		Report Card	The Urban Governance Initiative	International	Local organisations and community groups	Unknown
		Community Planning Handbook	Nick Wates (2000) Earthscan	United Kingdom / International	All levels of practitioner in participatory methods	Toolkit developed on the basis of practical experience
		The Peacebuilding Toolkit: A Guidebook of Transitional Issues for Reconciliation	Consortium of Humanitarian Agencies	Sri Lanka	Practitioners in participatory methods	Unknown
Creating Better Cities with Children and Youth	David Driskell (2002) Earthscan and UNESCO	International	Practitioners in participatory methods	Unknown		
SOURCEBOOKS (In Support of Capacity Development)	Exploration (often conceptual) of key principles and approaches that underlay methods and tools. Often use case study experience and/or research to formulate conclusions and recommendations. Useful in the design of new methods.	Municipalities and Community Participation: A Sourcebook for Capacity Building	Janelle Plummer (2000) Earthscan	International	Municipal Staff (Senior/middle)	Drawn from case study research in ten municipalities in India, Pakistan, Sri Lanka and Egypt
		Participatory Budgeting	UN-HABITAT	International	Municipal staff and local organisations	Drawn from detailed case study documentation from 14 cities in Brazil/Latin America, Spain and France
		Citizens as Partners: OECD Handbook on Information, Consultation and Public Participation in Policy-making	Organisation for Economic Development and Co-operation (2001)	Europe	Central and Local Government Officials and Officers	Unknown
		Municipalities and Finance: A Source for Capacity Building	Ian Blore, Nick Devas and Richard Slater (2004) Earthscan	International	Central and Local government. External Support Agencies	Drawn from research in Brazil, India, Kenya and Uganda
		Local to Local Dialogue: A Grassroots Women's Perspective on Good Governance	UN-HABITAT and Huairou Commission (March 2004)	International	Practitioners in participatory methods	Drawn from past experience (especially in India) and implementation in Argentina, Czech Republic, Kenya, and Russia. Tanzania and Uganda
		The World Bank Participation Sourcebook	World Bank (1996)	International	Practitioners in participatory methods	Unknown
		Action Planning For Cities: A Guide To Community Practice	Nabeel Hamdi and Richard Goethert (1997)	International	Practitioners in participatory methods	Unknown
		A Resource Guide for Municipality Community Based Crime and Violence Prevention in Urban Latin America	World Bank (2003)	Latin America	Mayors and municipal officials	Unknown
TECHNICAL MANUALS	Address both process (governance) and technical and policy design issues/solutions focused on sectoral issues (such as housing design, water and sanitation systems, waste management, disaster preparedness etc). Often aimed only at experts and practitioners.	Integrated Sustainable Waste Management – A Set of Five Tools for Decision-makers	WASTE (2001)	International	Municipal urban engineers and planners, and policymakers	Summarises lessons learnt in an Urban Waste Expertise Programme field research in Africa, Asia and Latin America
		Services for The Urban Poor	Andrew Cotton and Kevin Tayler (2000) Water Engineering and Development Centre	International	Municipal urban engineers and planners, and policymakers	Drawn largely from operational experience in South Asia
		Sustainable Transport: A Sourcebook for Policy Makers in Developing Cities	Deutsche Gesellschaft fur Technische Zusammenarbeit (2002)	International	Policy Makers and their Advisors	Unknown
		The Integrated Environmental Strategies Handbook: A Resource Guide for Air Quality Planning	United States Agency for International Development (2004)	International	Policy-makers and municipal officers	Unknown
		The Gender Management System Toolkit	Commonwealth Secretariat (March 2004)	International	Policy-makers and municipal officers	Unknown
		The Urban Housing Manual: Making Regulatory Frameworks Work for the Poor	Geoffrey Payne and Michael Majale (2004), Earthscan	International	Policy makers and administrators, training professionals, external support agencies	Unknown
		Urban Design Toolkit	Ministry of the Environment, Government of New Zealand (Feb 2006)	New Zealand	Local level practitioners	Unknown
TRAINING TOOLKITS	Delivery of training and capacity development. Source materials to support governance skills development	Locally Elected Leadership (LEL) Series	UN-HABITAT and Local Government and Public Service Reform Initiative (1 st ed 1994; 2 nd ed 2005)	International	Locally elected representatives	Translated into 25 languages and used in cities globally
		Introductory Training Materials on the Urban Environmental Management and Planning	Sustainable Cities Programme - United Nations Environment Programme and UN-HABITAT (1998)	Global (Asia-Pacific, Latin America and the Caribbean, Africa)	Municipal Officers	Adapted and applied in over 60 cities in Latin America and the Caribbean, Africa, Europe and Asia and the Pacific

CHAPTER II

CASE STUDIES

INTRODUCTION

This section of the report is divided into two parts. The first shorter section introduces summaries – or “snapshots” - of cities where toolkits have been adapted (or developed) and applied. It illustrates the range of circumstances where toolkits are applied and the diverse governance issues introduced. The second part then provides five detailed case studies of toolkit application from five countries: Canada, China, Japan, Sri Lanka and the United Kingdom. As with part 1 of this section, the case studies demonstrate a range of approaches and types or styles of toolkit involved. The section is balanced to illustrate the utility of toolkits in both so-called developed and developing countries.

In many cases the detailed evaluation of the application of the toolkit at the city level is difficult to ascertain. Section 3 to this report suggests further methodical research into the use and utility of the toolkits will help provide a greater insight and understanding as to their potential impact.

2-1 INTRODUCING THE TOOLKIT SNAPSHOTS

In this part of the report a number of selected snapshots of tool application at the local level are introduced to demonstrate the variety of toolkits and experience. A common, flexible, template was used to help scan toolkits and summarise key information attached as Annex II. The basic information covered includes the location and agency responsible for the toolkit, the main focus and objective of the toolkits and a brief description of the context in which it has been applied. The summary also includes a brief overview of the structure and content of the toolkit and the main user and beneficiary groups. Where available (given the limitations of accessible information) the summaries also include an overview of detailed assessments (case studies) of adaptation and application at the local level (including the results, impacts and what can be learnt from the process). One thing is clear from the toolkit review. The level of follow-up, evaluation and lesson learning

from the application of toolkits is disappointing and this report makes recommendations on the possible focus of possible future diagnostic studies.

The snapshots presented illustrate the range of circumstances in which toolkits are developed and applied. This includes the local development of tailor-made toolkits in Japan, the development of national toolkit resources (as in the cases of Canada, Philippines and the UK) and the local adaptation and application of toolkits developed by international agencies (as in the case of Tanzania). *The Participation Toolkit*, presents an entirely different approach where the toolkit itself is a collection of methods and techniques deployed by cities globally. In reference back to the typology presented in Section I, these snapshots are illustrative of three of the types of toolkits (though as was emphasized these are not hard-and-fast categories, but a guide to the approach, outlook and structure of the toolkits). The snapshots by type are as follows:

PROCESS OR SYSTEM TOOLKITS

- (1) *First Aid Kit for Community Planning in Iwate*, Iwate Prefecture, Japan
- (2) *Pearls of Wisdom in Regional Activities; For Smooth Implementation of Regional Activities*, Kobe City, Hyogo Prefecture, Japan
- (3) *Local Strategic Partnerships Delivery Toolkit*, Office of the Deputy Prime Minister, Government of the United Kingdom; (as applied in Stoke-on-Trent)
- (4) *Urban Environmental Management and Planning SCP Source Book Series*, UN-HABITAT, United Nations Environment Programme; (as applied in Tanzania)

METHOD “CATALOGUES”

- (5) *Local Government Participatory Practices Manual*, Federation of Canadian Municipalities – International Centre for Municipal Development, Canada; (as applied in the City of Vancouver, Canada)
- (6) *CDS Toolkit for Philippine Cities*, City Development Strategies in the Philippines, Philippines; (as applied in Tagatay City)
- (7) *Participation Toolkit*, Toolkit Partnership (Web based resource www.toolkitparticipation.nl); (as applied in Jantetelco Municipality, Mexico)

SOURCEBOOKS

(8) *Local to Local Dialogue: A Grassroots Women's Perspective on Good Governance*, UN-HABITAT and Huairou Commission; (as applied in Nairobi, Kenya)

1. FIRST AID KIT FOR COMMUNITY PLANNING IN IWATE

Iwate Prefecture, Japan

1st edition March 2002, reprinted 2003

Figure 2-1-1: First Aid Kit for Community Planning in Iwate



The Iwate Prefecture (1,382,602 population)¹⁶ is becoming more diverse in terms of its needs (including an aging population). Many citizens had started to undertake proactive and participatory approaches, and some had established non-profit organisations (NPOs) in order to create “good places to live”. Similar community development processes promoting citizen participation were also being undertaken

by the municipalities and local townships/villages of the Prefecture. The Prefecture published the *First Aid Kit* to support these overall processes.

The *First Aid Kit* project team started discussions in April 2001, commenced work in December and completed the Kit in March 2002. The project team was set up within the Urban Planning Division and an external “Community Development Promotion Guideline Committee” was established with twenty-one members under the chairmanship of Iwate Prefecture University. Some reference materials on community development drawn together by Kobe City after the Great Hanshin Awaji Earthquake were used in the Kit development. The Kit was published as a practical book (A5 size, 195 pages) and is targeted principally at citizens, but is also of use to local government officers (municipalities and township) engaged in community development.

¹⁶ As of 1st February 2006.

The Kit is structured to review methods in community development in five phases: initiation (the decision to start up community development activities or address specific issues); how to create a clear image of the proposed activity; organising a group; drawing up a plan; and, putting the plan into practice. In each phase, the Kit explains the role of citizens and local governments supported by case examples. An annotated Kit contents is included in Annex III

The Kit has been well received by those involved in community development both as a comprehensive and easy-to-understand resource, and as a sign of commitment of the Prefecture to community development. While the Prefecture is not aware of any cases where the Kit has been applied as such (partly because there are not immediate issues to which a community development response is necessitated), it has been picked up by non-profit organisations (NPOs) and introduced on their website and publications; in once case this has involved distribution in a periodical with 5,000 distribution.

Further information:

Community Development Section, Urban Planning Division, Prefecture Land Development Bureau (019-629-5891/5892)

Availability:

http://www.pref.iwate.jp/~hp0604/01machi/machi/matizukuri/kyukyubako_index.htm

2. PEARLS OF WISDOM IN REGIONAL ACTIVITIES; FOR SMOOTH IMPLEMENTATION OF REGIONAL ACTIVITIES

Kobe City (Regional Activities Promotion Division), Hyogo Prefecture, Japan

May 2005

Citizen-led activities started and developed in Kobe City (population: 1,526,734¹⁷) as a direct result of the Great Hanshin Awaji Earthquake in 1995. In the aftermath of the

¹⁷ As of 1st February, 2006.

earthquake, the city authorities and citizen-groups have worked closely together for the recovery of Kobe and recognise that “co-productive and participatory community planning” is critical to the planning process. In 2003 the City established an ordinance relating to the promotion of regional activities by Kobe citizens and established the Regional Activities Promotion Committee within the Mayor’s Office. The Committee (consisting of six citizen-members actively involved in community development and three academic experts) was charged with creating “a regional society that is unique and attractive”, fulfilled with power and knowledge of the citizens’. The committee agreed that the development of a manual would be necessary to offer know-how in problem solving and community empowerment in the pursuit of this goal. The Toolkit is notable as it is aimed primarily at citizens and areas where little or no knowledge and experience of community development activities previously existed.

Figure 2-1-2: Pearls of Wisdom in Regional Activities; For Smooth Implementation of Regional Activities



The Toolkit (B5 size, 60 pages) provides a resource for those wishing to engage in community development activities. It provides contact lists (including useful lists of various activity groups and organisations) and sets out procedures for solving issues. The Toolkit explains the stages of such activities, from initiating and developing a community activity, to eventually linking with other activities and further developing a community organisation. It adopts a problem solving approach through the presentation of case stories. An annotated toolkit contents is included in Annex III. Kobe City is planning to publish a supplementary toolkit to *Pearls of Wisdom* (during 2006) which will focus on foundation issues in community building and development (including community and issue profiling and the identification of stakeholders). These issues were not addressed in the existing toolkit but are considered critical to effective community development.

Further information:

Contacts: Citizen Activities Support Division, Citizen Participation Promotion Bureau, Kobe City 078-322-5189

Availability: <http://www.city.kobe.jp/cityoffice/15/050/manual.manual.html>

Available at the City Office; through Citizen Activities Support Division and each Ward's Community Development Promotion Division.

3. LOCAL STRATEGIC PARTNERSHIPS DELIVERY TOOLKIT

Office of the Deputy Prime Minister(ODPM), Government of the United Kingdom

The British Government launched a national strategy for neighbourhood renewal in all LSPs in January 2001. Its aim is to ensure that within twenty years, no one will be disadvantaged by where they live. This will be achieved by reducing the gap between the poorest areas and the average by tackling crime, unemployment, ill health, underachievement and poor housing. It seeks

Figure 2-1-3: Local Strategic Partnership Delivery Toolkit



to achieve these objectives by improving the delivery of mainstream public services and national programmes in all poor neighbourhoods rather than relying on special regeneration funds targeted on a few.¹⁸

The local delivery mechanism for the national strategy is known as Local Strategic Partnerships (LSPs). These are local authority-wide, non-statutory partnerships that include representatives from the community, private and public agencies. LSPs are charged with developing Community and Local Neighbourhood Renewal Strategies (LNRS). Much of their detailed work is undertaken by thematic partnerships (for example, focused on crime and disorder). Critical to the process is effective community participation and the new focus invests more to help residents and communities become

¹⁸ The initial focus was on 88 local authority districts that contain 82% of the poorest 10% of wards in England.

more involved in the neighbourhood-level delivery through neighbourhood partnerships or neighbourhood management.

A Local Strategic Participation Delivery Toolkit (web-based, Word format) was designed to support on-going efforts in all Local Strategic Partnerships (LSPs) in producing credible plans, putting in place their means for delivery, and reviewing and improving existing strategies. The Toolkit is aimed primarily at those working for LSPs or partner organisations which include local service providers, a community empowerment network, the community and voluntary sector and the private sector. The Toolkit is also of potential use to others working in neighbourhood renewal more generally, members of the public interested in the work of LSPs and staff of key stakeholder organisations.

The Toolkit was developed by ODPM following evaluations and reviews of Local Neighbourhood Renewal Strategies and neighbourhood renewal programmes. It was seen as an ideal opportunity to help LSPs draw on evidence to strengthen delivery (it is currently being revised for a 2nd edition). The Toolkit contains a number of useful tips and case study examples. It is split into four essential steps or actions for delivery: the business of delivering neighbourhood renewal (together with an introduction and overview of the national strategy); developing a strategy; delivering your strategy; and, reviewing your success. A key component of the LSP is to ensure residents are not only involved in planning and developing local strategies, but equally are being supported in their involvement with neighbourhood partnerships and in the delivery of the strategy. Equipping people with the skills and knowledge they need is fundamental to neighbourhood renewal.

The involvement of Bentilee Community Housing Tenancy Support Scheme (in the Midlands town of Stoke-on-Trent) demonstrates the significance of broad based strategic partnerships in delivering local strategies. It emphasises the importance of finding out about peoples' needs at the start of the process and providing assistance, which is targeted and encourages independence. In this case one of the key features and tools used was the introduction of a tenancy support service, which provides a tailor made

mentoring service for vulnerable new tenants. When Bentilee Community Housing took on 925 hard-to-let flats from Stoke-on-Trent City Council in April 1998 they were faced with a 35% annual turnover, very high levels of abandonment and tenancies lasting an average of 6 months. Approximately 90% of new tenants were male, under 25 and unemployed. By April 2003 a dramatic turn around had been achieved. The annual turnover rate had reduced to 24%, less than 5% of properties were abandoned, new tenancies were lasting an average 18 months and 50% of new tenants were in work, with 45% female and half over 25 years for age. As a result there has been major cost benefits in terms of reduced turnover of tenants, lower costs in re-letting empty properties and reductions in anti-social behaviour. In addition, by employing local people, the scheme has gained local credibility and sent the message that local people have talents and skills that are in demand. As such the example demonstrates a small, but significant, improvement in local governance with a local scheme that is leading the way in investing in local solutions to local problems.

Further Information:

www.renewal.net

(The Neighbourhood Renewal Unit's knowledge management good practice website)

4. URBAN ENVIRONMENTAL MANAGEMENT AND PLANNING SCP SOURCE BOOK SERIES, SUSTAINABLE CITIES PROGRAMME IN TANZANIA
UN-HABITAT, United Nations Environment Programme¹⁹

The Sustainable Cities Programme (SCP) is a joint UN-HABITAT/UNEP facility established in the early 1990s to build capacities in urban environmental planning and management (EPM). The programme targets urban local authorities and their partners. It is founded on broad-based stakeholder participatory approaches, emphasising the basic principles of good governance (inclusion, transparency, accountability, efficient service delivery and sustainability) through the implementation of sequential steps in EPM.

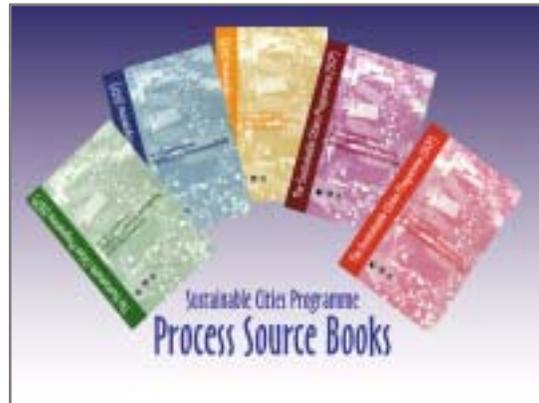
¹⁹ The Sustainable Cities Programme (SCP) has over sixty participating cities from Latin America and the Caribbean, Arab States, Europe, Africa, and Asia and the Pacific. In all cases cities are adapting and applying the SCP EPM method set out in the toolkit series.

In its entirety the Toolkit consists of a set of cross-referenced training and resource materials, the centrepiece of which is a set of Source Books. The Toolkit consists of the following elements:

Overview

- Programme Approach and Implementation (1998, 78pp)
- The SCP Process Activities: A snapshot of what they are and how they are implemented (1998, 19pp)

Figure 2-1-4: SCP Process Source Books



The **SCP Source Book Series** (1999) uses a common format providing an: (i) overview; (ii) a guide (the substantive part of each volume); (iii) examples, illustrations and supporting materials (such as city/country case studies and sample formats)

- Volume 1 Preparing the SCP Environmental Profile (1999, 109pp)
- Volume 2 Organising, Conducting and Reporting an SCP City Consultation (1999, 180pp)
- Volume 3 Establishing and Supporting a Working Group Process (1999, 123pp)
- Volume 4 Formulating Issue Specific Strategies and Action Plans (1999, 117pp)
- Volume 5 Institutionalising the Environmental Planning and Management Process (1999, 73pp)

Training Manual

- Introductory Training Materials on the Urban Environmental Planning and Management (EPM) Process – training materials (including training exercises and sample work sheets and formats) in support of Volume 1-5 above (268pp)
- Introductory Training Materials on the Urban Environmental Planning and Management (EPM) Process: Trainer's Guide (2001, 27pp)

SCP Environmental Technology Manuals

- Urban Air Quality Management Handbook (2001, 92pp)
- Building an Environmental Management Information System: Handbook with Toolkit (2000, 221pp)
- Integrating Gender Responsiveness in EPM (163pp)
- Measuring Progress in Environmental Planning and Management (2001, 29pp)

The SCP started in the Tanzanian capital, Dar es Salaam, in 1992 under an initiative known as the Sustainable Dar es Salaam Project. Dar es Salaam was one of the first demonstration cities in Africa where EPM was revitalized under the SCP.

The Dar es Salaam Project in particular has helped demonstrate the significance integrated spatial planning where the SCP method has been used to consolidate and coordinate issues-based strategies into a Strategic Urban Development Planning Framework. The Dar es Salaam Project also successfully scaled up two strategies to the city-level: privatisation of solid waste collection and participatory-based servicing of unplanned settlements. The success of waste management in Dar es Salaam has attracted other urban centre in Tanzania to embrace the EPM process. A participatory community based and labour intensive infrastructure upgrading in Hana Nassif informal settlement, provided a demonstration of an innovative approach both in institutional set up and use of labour based community contracting and management. Indicatively in Hana Nassif over 60,000 paid worker days were generated by the approach between 1997 and 2000 (over 50% of which were women worker days). The success of the Dar es Salaam Project has resulted in the introduction of the local governance process advocated by SCP in a further nine municipalities. Each of the municipalities has undertaken the sequential SCP phases concluding with the implementation of demonstration projects and scaling up of initiatives.

The ultimate objective of the SCP capacity building programme (and Toolkit) is to make the EPM process approach the way of ‘doing business’ in local authorities. This requires

a change in attitude and behaviour in the way in which the relationship between environment and development is understood, and the way in which planning and management engenders collaboration, co-operation, negotiation and consensus building with others. Institutionalization of the SCP approach has occurred in different ways at the local and national level in Tanzania. For example, the Ministry of Lands and Human Settlements Development has incorporated the approach in the National Human Settlements Development Policy and the University College of Lands and Architectural Studies (the sole educators of urban and regional planners in Tanzania) has incorporated the approach into relevant curriculum. At the local level too, city and municipal officials have increasingly realized and appreciated the advantages of collaborating with other stakeholders in the private and popular sectors in EPM, so underlining and localizing good governance.

Further Information:

<http://www.unhabitat.org/programmes/sustainablecities>

The Sustainable Cities Programme in Tanzania 1992-2003: From a city demonstration project to a national programme for environmentally sustainable urban development (UN-HABITAT/UNEP 2005)

The Sustainable Dar es Salaam Project 1992-2000: From urban environment priority issues to up-scaling strategies city-wide (UN-HABITAT/UNEP 2005)

The Sustainable Cities Programme and the Localising Agenda 21 Programme: Current Perspectives (UN-HABITAT/UNEP 2003)

5. LOCAL GOVERNMENT PARTICIPATORY PRACTICES MANUAL

Federation of Canadian Municipalities – International Centre for Municipal Development (Canada)

1999, revised edition 2002; 123 pages

Figure 2-1-5: FCM (Federation of Canadian Municipalities) Website on Toolkits



The Manual is centrally focused on supporting the inclusion of public participation in local decision making in order to increase the transparency of decision making, improve the ability of decision makers to be accountable to the public, and to contribute to the continued democratisation of local government. It was developed on the basis of good

practice documentation in Canadian cities but is held to be applicable to cities in Canada and internationally. The single most important message in the Manual is that there exist multiple creative paths to engage the public in municipal decision making processes. It is offered therefore as a “toolbox” from which municipal officials and staff can select individual tools in ways and combinations that reflect local circumstances. The tools are applicable to promoting public participation in the full range of municipal services.

The Manual covers several basic types of public participation ranging from tools focused on simple information sharing, to those providing the public with a stronger say in decision-making. In total fifteen methods are profiled using standardized categories (what is it?; checklist for planning; checklist for running; steps to take following; planning your overall time commitment; budgeting for; what are some of the benefits?; what are some of the limitations?; snapshot on suitability)²⁰.

The City of Vancouver (Canada) provided a rich learning ground for the range of methods that can be deployed to support participatory urban decision-making; in this case through the development of a City-wide plan. By the early 1990s the City Council wanted a city plan that was accountable to Vancouver’s residents and designed a range of methods to support this process. Initially this included the development and application of the city’s own Information Publication Toolkit (using graphics and text) profiling the

²⁰ Methods profiled: Information publication; resource centre; community outreach; electronic bulletin boards; public meeting; public hearing; open house; workshop; design charrette; focus group; survey; participatory television; mediation session; citizens advisory group; referendum.

city, presenting issues and encouraging inputs from the public. This was supplemented by intensive coverage in daily, community and ethnic minority newspapers, radio and television (in multiple languages). The Toolkit was provided to over 300 “city circles” (composed of newly formed citizen groups) that in themselves used a range of methods (including workshop formats and design charrettes) to harness public input. In addition, a city plan resource centre (in part staffed by trained volunteers) was established in a shopping mall and neighbouring City Hall. Information Publication was further used as a method to solicit a response on proposed ideas arising from the initial consultative phase (a forty page “choices workbook” setting out possible future policies and themes). Further discussion and input was solicited through city circle workshops, with a final draft plan presented through a series of “open houses”. The outcome was a twenty-year city plan (published in 1995) that had optimised public inputs through the development and implementation of a Toolkit and a range of participatory methods.

The open and participatory plan making process has also helped embed and institutionalize participatory governance with the way in which Vancouver plans its neighbourhoods. Following the finalisation of the plan, city officials often visited the homes of citizens to conduct informal “kitchen table” meetings. Whilst identifying issues and concerns, this simple method more importantly allowed a deeper municipal-community relationship to develop and help further enhance local good governance. Illustrating the sustainability of this participatory governance, a “community visioning programme” commenced in 1997 aimed at bringing the City Plan to the neighbourhood level. It has been rolled out through the city’s neighbourhoods over the intervening eight years. The last community to embark on the visioning programme commenced its work in January 2006.

Further Information:

<http://www.fcm.ca/>

<http://vancouver.ca/commsvcs/planning/>

6. CDS TOOLKIT FOR PHILIPPINE CITIES
CITY DEVELOPMENT STRATEGIES IN THE PHILIPPINES
2004, A.4, 151 pages

Since the late 1990s the World Bank and the Cities Alliance²¹ have been developing and testing a new approach to supporting the sustainable management and planning of cities through the development of City Development Strategies (CDS). The CDS method was developed on the basis of a partnership approach to urban management involving the commitment of key stakeholders in preparing a city-wide development strategy. The CDS approach is a dynamic process that guides cities in a number of strategy development phases: the definition of their problems and opportunities; formulation of a common vision for the city and strategies for attaining this; prioritizing programmes, projects and actions; determining resource needs and availability; and participating in the implementation of their strategies and programmes.

In the Philippines the CDS approach has been widely taken up (in 34 cities) and is seen as making a valuable contribution to Local Government Units facing the challenges of urban management. To support and enhance the CDS preparation process a toolkit was produced systematically bringing together a variety of individual tools. It is not intended as a step-by-step manual on how to do a CDS, but a useful menu of available techniques. The Toolkit is structured into four key phases in the CDS

Figure 2-1-6: CDS Toolkit For Philippine Cities



process: Where are we now? Where would we like to be? What issues do we need to address to get there? What actions must we take to get there? For each phase an overview of activities, suggested tools, templates and examples of good practice application are provided. A detailed presentation of the individual tools (thirty-six in total) is provided

²¹ The Cities Alliance is a global coalition of cities and their development partners committed to scaling up successful approaches to poverty reduction. For more information: <http://citiesalliance.org>

including the overall concept and its practical application (this is supplemented by an index card profiling of each tool within the annexes).

One of the first and most significant building blocks of the CDS is the profiling of the city (known as an “urban karte” in the Philippines) involving the identification of baseline statistics and profile of the city and diagnostic indicators designed to identify a city’s specific issues and problems. The application of toolkit methods in utilizing the karte as a take off point for the CDS is illustrated by the example of Tagatay City (approximately 56 km from the capital Manila with a population of approximately 45,000). Here the Toolkit’s SWOT analysis exercise method was applied in a focused one-day workshop bringing together approximately thirty-five key stakeholders from the City Hall, City Council, NGOs and community organisations. Based on the available data, participants were asked to utilize the karte in the identification of strong and weak points (and were invited to present new and additional data to supplement this process). The application of the method provided a clear platform for developing the CDS emphasizing the role of good governance and active public and community participation in identified priorities and implementation plans.²²

Further Information:

<http://www.cdsea.org/CDSKnowledge>

7. PARTICIPATION TOOLKIT, TOOLKIT PARTNERSHIP

Web based resource: www.toolkitparticipation.nl

This Toolkit and its application differs from the previous snapshots, but has been selected for demonstrating the variety of toolkits and the different approaches to their development. This toolkit does not present a series of generic methods that have been extracted and distilled from demonstration and case study research, but as case applications in the their own right. The Toolkit therefore adopts a case study led approach,

²² The overall vision was for: “A nature and tourist city built on good character and good governance, utilizing its full potential through a sustainable ecological-tourism base, adequate infrastructure support system and accessible pro-people social services.” The full CDS is available at <http://tagatay.gov.ph>.

and in the words of its authors is “dynamic and never finished”. The website is open to all to contribute through the submission of case study experience. The website also presents articles and links to organizations active in the field of participatory local governance. The *Participation Toolkit* is a product of a “Toolkit Partnership” - a growing group of civil society (NGO) and local government organisations from all over the world, working together to promote participatory local governance. The partners are based in Albania, Benin, India, Romania, Senegal and The Netherlands.

The Toolkit offers various types of information on citizen participation in local governance. The major part of the website is filled with a database of the case studies from around the world. Each case describes a real-life practice on participatory governance, including the tools and methods used and lessons learnt. Where possible contact details of those persons and organisations involved are provided. The Toolkit is considered ‘special’ by the Partnership promoting it for a number of reasons:

Figure 2-1-7: Participation Toolkit; Toolkit Partnership (Website)



- i) It is the first Toolkit aimed at both public and civil organisations, and cooperatively developed by both sectors, facilitating a new and innovative way of sharing experience and learning. It is the sum of practitioner contributions and is intended for practitioners;
- ii) The internet establishes new low cost ways of information exchange at the global level and the Toolkit is available in three languages English, French and Spanish (with a view to further broadening language availability);
- iii) The Toolkit is designed not only to share good practices, but will also include cases that have faced problems. In each case there will be an analysis of critical factors of success and failure; and,
- iv) The use the website facilitates and stimulates networking.

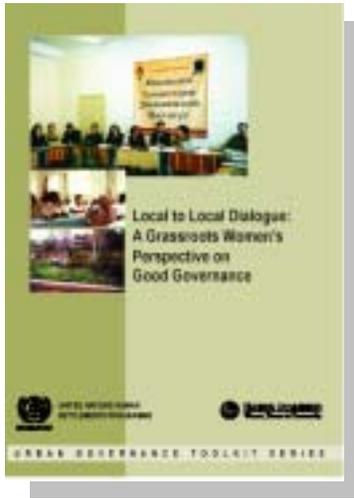
The *Participation Toolkit* currently presents over forty cases, from over thirty countries in Latin America, North America, Europe, Africa and Asia. Case examples vary from activities focused on the caring for, and de-stigmatisation of, AIDS orphans in South Africa to the development of a Code of Conduct for local government officials in Nepal, and cover all sizes of human settlements (cities, towns and villages).

Illustratively, the case of Jantetelco Municipality (Morelos State, Mexico) focuses on the creation of an alternative waste handling system involving citizens. Jantetelco is a municipality with a rural community of more than 10,000 inhabitants. In brief the programme of activities consisted of five main stages: the training of public officials in environmental awareness; community outreach (including door-to-door outreach) to make citizens aware of the importance of recycling; collecting waste in each of the localities in the municipality; lobbying local authorities from neighbouring municipalities to deal with waste handling at a regional level, and to extend this initiative to other municipalities; and, the regional handling of waste involving the formation of a social company specialised in handling waste for its shipment to the recycling companies and to create a sewerage system which conforms to health standards. The programme represented an important advance on traditional waste handling, with an additional benefit of facilitating citizens' involvement in the different stages of the programme and promotes an interface between citizens and local government (where previously there was none). One of the main results has been the opening up of the municipal government to hear proposals from organised civil groups, and to develop these proposals in a professional manner (including the creation of jobs). Municipal personnel have been enthusiastic in their involvement and the enhanced municipal-community relationship. The experience of organised civil society organisations has been instrumental in achieving co-coordinated participation.

8. LOCAL TO LOCAL DIALOGUE: A GRASSROOTS WOMEN'S PERSPECTIVE ON GOOD GOVERNANCE

UN-HABITAT, Huairou Commission
March 2004

Figure 2-1-8: Local to Local Dialogue: Face to Face with Procedures and Policies in Tanzania



This sourcebook (A4, 79 pages) addresses the ways in which grassroots women can reconfigure power relationships to advance their interests and thereby transform the practice of governance. The Guide presents the basics of the dialogue process: a locally designed strategy focused on getting grassroots women's groups initiating and engaging in ongoing dialogue with local authorities to negotiate a range of development priorities to influence policies, plans and programmes in a manner that addresses women's priorities. The first part of the Guide presents governance from a women's perspective. The second part provides evidence of its effectiveness

through the presentation of case studies from six countries: Argentina, Czech Republic, Kenya, Russia, Tanzania, and Uganda. The Guide is aimed at both development professionals and grassroots women's organisations.

In the lead up to the Kenyan national elections at the close of 2002, much optimism was generated as a new political space opened up offering the opportunity for greater citizen involvement. GROOTS, a national network of grassroots women's self-help groups and community based organisations, facilitated local to local dialogues as a way of enhancing its overall goal of ensuring women are at the heart of the development process. The dialogues were organised in four villages in Mathare, a major slum located 5 km from east of Nairobi's city centre. The area is characterised by very low levels of tenure security compounded by land speculation, poverty and as an epicenter of crime and violence; large sections of the Mathare population depend on criminal or illegal activities for their livelihoods.

Through ten preparatory meetings with grassroots women's organisations in the area it was agreed that the communities would be best served by a series of workshops that would bring community representatives face-to-face with representatives from local authorities, national government and NGOs. Self-help groups already operating in the

area were used to focus on priority issues (in this case HIV/AIDS, drugs, shelter, economic empowerment and land tenure). Through a First Consensus Workshop held in August 2002, government officials met community representatives for the first time allowing for a common understanding of the most pressing issues faced by Mathare's citizens and clarifying the means to address them. A second Workshop held a month later provided the opportunity to review progress and further detail priority action plans.

The case helps demonstrate the way in which the barriers to good governance can begin to be dismantled (or at least overcome) through the local adaptation and application of new tools and ways of working. By meeting face-to-face, previously held perceptions and caricatures can be dismantled (at least in part), and confrontational relationships transformed to more supportive and understanding joint action. This provides a new space for good governance processes to mature. It also allows for the seeds of new partnerships to take root, for example allowing community representatives to initiate discussions with external international agencies and parastatal bodies, and for action plans to be developed in response to priority issues.

Further information:

UN-HABITAT www.unhabitat.org

WAT (Woman Settlements Trust) www.wat.kabissa.org

2-2 CITY CASE ANALYSIS

Five detailed case studies are presented below. These are as follows:

- *Canadian Rural Partnership Community Dialogue Toolkit*, Town of Canso, Nova Scotia, Canada
- *Local Sustainable Development Planning Guide*, Yangcheng County, Shanxi Province, China
- *Citizens Consensus Building Guidelines*, City of Yokohama, Japan
- *Tools to Support Participatory Urban Decision Making*, Colombo, Dehiwela-Mount Lavinia and Sri Jayewardenapura Kotte, Sri Lanka

- *Community Planning Handbook*, Hastings, United Kingdom

The case studies present a variety of experience. They are extracted from cities and towns of varying size, with the Canadian example demonstrating the utility of toolkits to the smallest human settlements in rural areas. They also differ in the focus and goal of toolkit application (varying from the development of a local sustainable development strategy in China to improving parts of the decision making process in Canada) and to the level of institutionalisation sought and/or achieved (from support for local processes in Japan to affecting national legislation and policy in Sri Lanka). However, the five case studies share the common purpose of improving and enhancing inclusive participatory decision-making as a tangible contribution to the promotion of good urban governance.

The cases have also been selected to demonstrate the types of toolkit introduced in Section 1 of this report, most especially demonstrating the use of the two most common type of toolkit – referred to as *methods catalogues* and *process or systems toolkits*. As discussed, whilst these are not intended as hard-and-fast categories, the typology assists in understanding the focus, use, application and principal user group of the contrasting toolkits.

In general terms, the *Citizens Consensus Building Guidelines*, *Canadian Rural Partnership Community Dialogue Toolkit* and *Local Sustainable Development Planning Guide* are examples of a process or systems approach to enhancing governance. Each of the toolkits moves users through a series of sequential steps and presents an entire cycle of decision-making. Importantly, unlike methods catalogues, they are developed with a particular focus and application predetermined. In this respect they are relatively straightforward to assess, evaluate and learn from their local adaptation (or development) and application.

By contrast the Sri Lankan *Tools to Support Participatory Urban Decision Making* and the UK initiated *Community Planning Handbook* could be classified as methods catalogues. The former does set its tools within an overall cyclical participatory decision-

making framework, but application does not require that a city moves through each of the four phases of decision making stages nor requires the application of each of the tools. The latter provides an even more flexible approach through the presentation of an A to Z of possible tools in support of inclusive local governance and decision-making. The evaluation and presentation of case studies where these types of toolkit have been applied is challenging in two respects. First, in most cases it is individual (or a combination of) tools that have been selected, adapted and used at the local level to support decision-making, rather than the toolkit in itself. Second, as discussed in Section 1, these toolkits are often drawn from, and extract, innovative practice. They catalogue abstracted good method. This is achieved not only on the basis of case study good practice but also on proactively learning from and crafting the methods that underpin this good practice. As such the emphasis is less on structured local level implementation and more on passive sharing. In the general absence of an institutional infrastructure to ensure or commit standardised application, the use of the toolkit is open, flexible and not necessarily monitored, evaluated or followed up. However, this type of toolkit demonstrates flexibility in application, and a wide variety of circumstance and local contexts in which toolkit (or method) application is possible and appropriate.

The case study assessments follow a common format and have been documented locally using a standard flexible template (see Annex II). The key sections in each are as follows:

(1) Community Dialogue Toolkit, Canadian Rural Partnership, Canada

Figure 2-2-1:



Canadian Rural Partnership Dialogue Toolkit
Available online at www.rural.gc.ca

1. INTRODUCTION AND BACKGROUND

The need for a tool or resource to help communities initiate their own dialogue activities was identified by the political level. It was felt that there was a need for a resource that would help communities to identify issues and challenges that they were facing. This was confirmed by feedback from various Canadian Rural Partnership Rural Dialogue activities that communities wanted government to provide them with tools and resources that they could use to help them in controlling their own development.

The third National Rural Conference hosted by the Rural Secretariat²³ in Red Deer (Alberta) in October 2004, exemplifies the challenges of rural Canada. The event, which focused on community capacity building, entrepreneurship, infrastructure, youth and northern issues, was attended by about 315 rural citizens, community and organizational leaders, rural youth and government representatives. They were asked: What activities are going on in your rural community? What's working well? What else could be done?

The recorded outcomes are indicative of the challenges faced by small rural based human settlements. In brief the conclusion was that communities needed to: cooperate, collaborate and form partnerships; be inclusive; train people and develop the capacity of local people; recognize the efforts of volunteers; and, recognize and use their assets (or

²³ Ministry of Agriculture and Agri-Food Canada.

their “social capital” as is often referred to). To do this it was concluded that communities needed mentors, leaders with vision and good communication between all stakeholders as a prerequisite. Government too was recognized as an important stakeholder in acknowledging the difference between rural and urban Canada in the development of initiatives affecting rural Canadians and making sure that rural communities have the tools they need in order to succeed. In other words, the prerequisites for supporting and enhancing local good governance.

Meeting the challenges presented by rural Canada are many and varied. Rural Canadians have identified eleven areas for focused attention. These range from access to federal government programs and services and financial resources for rural business and community development to rural community capacity building, leadership and skills development, and the formation of strategic partnerships to facilitate rural community development.

Many rural communities have expressed interest in holding dialogue sessions in response to the challenges, but are unsure of where to start or the steps involved in organizing one. As part of the Government of Canada’s ongoing commitment to rural Canada, the Canadian Rural Partnership, developed the *Community Dialogue Toolkit* to help initiate the dialogue process. A community dialogue is the first step in identifying issues and opportunities within a community that can ultimately lead to a higher quality of life. The Partnership was initiated in 1998 to listen to Canadians living in rural and remote areas and respond to their needs by building networks and providing support at the grassroots level. Since its inception it has conducted an ongoing dialogue with rural Canadians from all parts of the country.

A community dialogue is a forum that draws participants from as many parts of the community as possible to exchange information face-to-face, share personal stories and experiences, honestly express perspectives, clarify viewpoints, and develop solutions to community concerns and opportunities. Unlike debate, dialogue emphasizes listening to deepen understanding. It develops common perspectives and goals, and allows participants to express their own interests. The dialogue is, therefore, a community

conversation that can take many forms. It can involve five people around a kitchen table, five-hundred people in a large community hall, or anything in between.

2. INITIATION AND DEVELOPMENT

The *Community Dialogue Toolkit* was initiated by the Secretary of State for Rural Development and the Associate Deputy Minister of Agriculture and Agri-Food Canada. It was written by the Rural Secretariat as a hand-on (“how to”) guide to holding community-based dialogue sessions, designed for use in any community or with any organization. It was developed in 2001 as a response to a request from the then Secretary of State for Rural Development who wanted a tool that communities across Canada could use to help them initiate their own dialogue sessions. The need for this type of product was also identified through Rural Dialogue activities. The Toolkit was completed and launched in 2002 when it was made available, free of charge, to anyone wanting to use it. Ten thousand copies were distributed across Canada. The toolkit is written in a jargon-free and accessible style that is aimed primarily at community leaders of all types. This is encapsulated in the Toolkit’s promotion: “anyone who can start a conversation can use this toolkit”. It offers a flexible (self-help) approach that can be easily adapted to the particular community context and the goals set for its local application by the community. The Toolkit is offered as vehicle for identifying goals, building partnerships and seeking out solutions that fit each community’s individual circumstances. The main focus is to help a community or an organization initiate a dialogue to help identify issues and opportunities that can be acted on.

Whilst the Toolkit was developed for all rural communities across Canada, it can also be used within urban areas but this was not the target group. The Toolkit has been made available to all communities and it is used when and where a group feels it would be beneficial. The development of the Toolkit involved reference to similar approaches undertaken elsewhere, including *Healthy People in Healthy Communities – A Dialogue Guide* and *One America Dialogue Guide- Conducting a Discussion on Race*²⁴. This helps

²⁴ Sources drawn from The Health Research and Educational Trust/Coalition for Healthier Cities and Communities and the President’s Initiative on Race and the Community relations Service, U.S. Department of Justice.

emphasise the significance of toolkit network development and the opportunities presented through learning and sharing experience.

The Toolkit is available in print and as a web-based resource, setting out the principles (*why* and *how*) of the dialogue process, the reasons why dialogues are undertaken and the hallmarks of a successful dialogue. It also includes a number of useful proforma documents (including a community profiling worksheet, sample letters and evaluation forms). The print form is the most user-friendly since it was designed for quick and easy use. It is divided into 8 separate sections, all of which are in a kit folder. The web based format is set out in a straight-forward step-by-step approach for undertaking the dialogue:

Figure 2-2-2: Step-by-Step Approach for Undertaking Dialogue



The Toolkit also provides background resources for the dialogue facilitators and seven key questions that form the backbone of the dialogue. These questions exemplify the “simplicity” and adaptability of the method (and Toolkit):

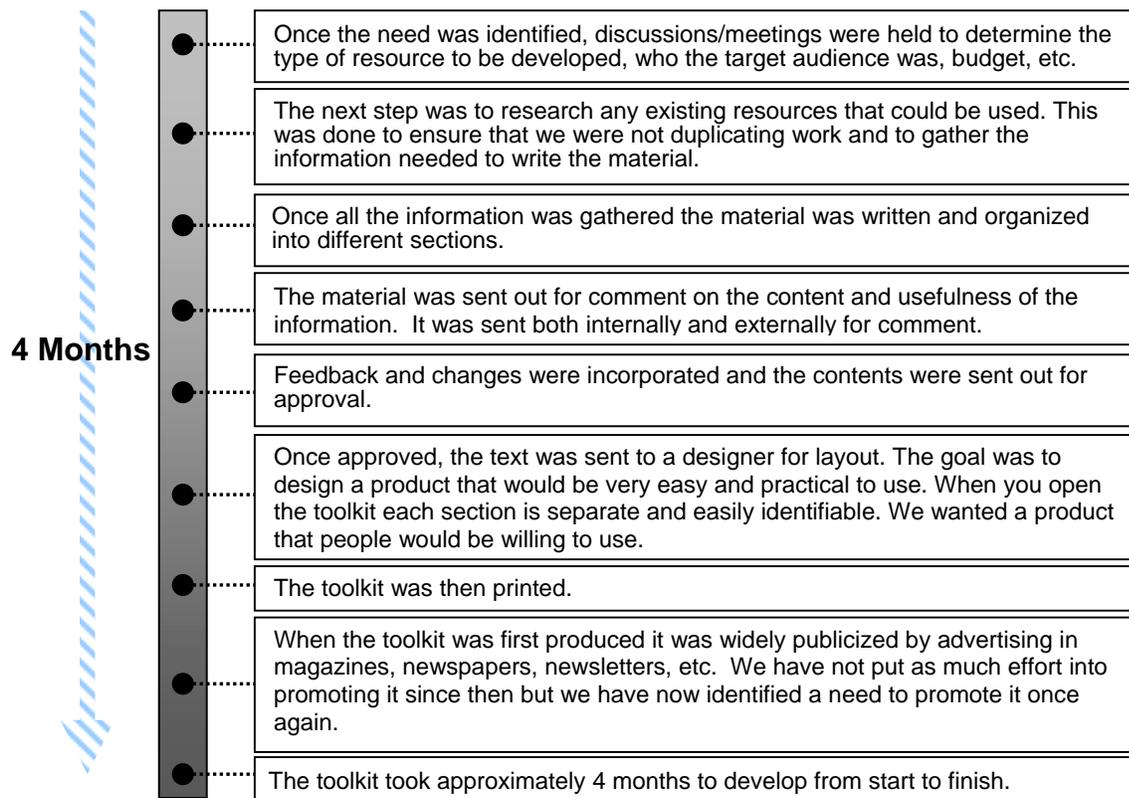
1. What do you believe are the two to three most important characteristics of a healthy community?
2. What makes you most proud of your community?
3. What are some specific examples of people or groups working together to improve the quality of life in your community?
4. What do you believe are the two to three most important issues that must be

addressed to improve the quality of life in your community?

5. What do you believe is keeping your community from doing what needs to be done to improve quality of life?
6. What actions and solutions would you support to build a better community?
7. What would excite you enough to become involved (or more involved) in improving your community?

The overall cost of the Toolkit was approximately \$60,000 Canadian Dollars, this included the development, design and printing, and was paid for by the Rural Secretariat. The process of development is shown in Figure 2-2-3.

Figure 2-2-3: The Development Process



No particular problems were encountered in the development of the Toolkit, although with limited time for development the use of focus group testing was limited (and could have been potentially useful).

3. APPLICATION, OUTCOMES AND LESSON LEARNING

Figure 2-2-4: Map of Canso Town



The Toolkit has been distributed upon request, although its use and application have not been tracked. An evaluation form is included in the Toolkit but limited feedback has been received. However, the few responses that have been received are very positive.

An example of the Community Dialogue method (promoted by the Toolkit) in action comes from the coastal Town of Canso (population 900). Canso serves the Canso Peninsula, population 2,000, at the eastern point of mainland Nova Scotia. The Canso Islands have been a centre for European fishing and fur trading since the 1500s. Today, Canso is an example of a small, coastal community struggling not just for survival but for prosperity in the face of formidable odds. Canso's situation reflects the transition that many natural resource dependent communities are dealing with. Downturns in the fisheries, frequent closure of the fish plant and limited seasonal employment over the past 15 years resulted in a high rate of out-migration and near bankruptcy of the town.

Facing a substantial deficit, the citizens of Canso recently voted to maintain their status as a town rather than join the surrounding Municipality of the County of Guysborough. With a new mayor and council making difficult decisions, they turned their deficit into a surplus in less than a year. In 2005 the Town completed a five-year Strategic Plan based on value-added fisheries products, building on existing businesses (such as a 50 seat Call Centre), creating new businesses based on heritage and tourism, and investing in renewable wind energy.

The Canso Community Dialogue on Community Sustainability, was held in Canso, Nova Scotia, on September 21-22, 2005²⁵. The 31 participants in the Canso Community

²⁵ This case is drawn from *Community Sustainability: The Power of Heritage, Pride and Persistence*, Rural Dialogue

Dialogue included representatives from community-based organizations, and from municipal, provincial and federal governments. Provincial and federal departments were represented by members of the Nova Scotia Rural Team. The Dialogue was initiated by Canso's Mayor who invited the Nova Scotia Rural Team, as part of its Community Engagement Strategy. This team makes a point of meeting citizens face-to-face in their own rural and coastal communities in order to gain first hand knowledge of their issues, priorities, challenges, and accomplishments.

In the context of sustainability at the community level, the following questions were used to guide the presentations and discussions over the course of the two-day Community Dialogue:

- What are the greatest challenges or risks facing Canso?
- Which of the challenges or risks should be priorities for governments?
- What actions should governments take to address the priorities?
- What should be the role of the community?
- What results do you expect from governments over the next three to five years in regard to the priorities you have identified?

A range of issues were identified covering economic development, environmental conservation, infrastructure provision, the engagement of citizens and institutions with on-going efforts in promoting good governance, and the dynamics of a changing population (characterised by an ageing population and the out-migration of the town's youth). Priority areas where the need for Government support was identified by participants included²⁶:

Summary Report, Canso, Nova Scotia, 2005. Available at http://www.rural.gc.ca/dialogue/report/ns/canso_e.phtml

²⁶ The Town of Canso and the Eastern Communities Development Association, with the Extension Department of St. Francis Xavier University, prepared a five-year (2005-2010) Canso and Area Strategic Plan which highlighted priority areas.

- Expanding existing businesses, and creating and attracting new businesses (e.g. a manufacturing project, a waterfront development initiative, and value-added fish processing);
- Enhancing existing tourism attractions and events and creating new ones along with the supporting infrastructure, marketing and communications plan; and,
- Building community capacity by working with existing assets including engaging all community members, strengthening existing community-based organisations, and increasing youth engagement, mentorship and leadership development in local governance.

The Dialogue highlighted the significance and challenge of good governance, identifying collaborative relationships and citizen engagement as areas of need. Participants mentioned that community sustainability requires a high degree of collaboration, a team approach and on-going support from all levels of government. The federal and provincial governments should continue to support an intergovernmental team approach to long term community economic growth and stability. Participants also advised that community volunteers are stretched to their limits and are facing “burn-out” making the need for a full-time development officer to co-ordinate volunteer resources and to write proposals a priority.

Overall, the participants of the Canso Community Dialogue were very satisfied with the event, and indicated that all their expectations had been met, some even exceeded (a few participants felt that more time should have been allowed for questions and discussions). After several years of closures of the fisheries, intermittent fish plant operations and out-migration of youth and skilled workers, Canso is on the road to recovery. Citizens have forged their vision through a Strategic Plan and demonstrated vitality in local initiatives.

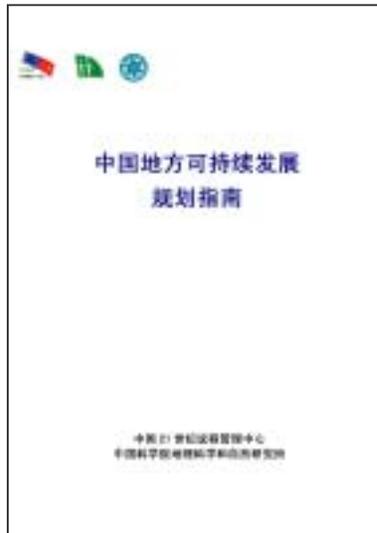
One of the key messages relayed by the Dialogue participants was that the Team approach - involving citizens (including youth), community-based organisations and all levels of government - is a necessary part of the long-term solution.

There are a number of lessons from the development and application of the Toolkit overall.

- i) The amount of focus testing should be sufficient to ensure that the product is truly meeting the needs of the target group. For this first edition, there was inadequate time to conduct as much testing as would have otherwise been the case.
- ii) The distribution of the Toolkit needs to be tracked in order that there is monitoring, documentation and adequate evaluation of its usefulness and application.
- iii) The Toolkit does offer the potential for replication elsewhere as there is always a need for communities/organisations to initiate dialogues. The issues may vary but the process remains the same. The pre-requisites for potential replication include an accurate assessment of need (and to find out whether this is the type of resource that is needed), and ensure an adequate financial commitment. The cost of producing this type of product can be fairly high, as can a mechanism for distribution once the toolkit is complete.

(2) Planning Guide for Local Sustainable Development in China, Yangcheng Province, China

Figure 2-2-5



Planning Guide for Local Sustainable Development in China
Forthcoming 2006 as a print publication

1. INTRODUCTION AND BACKGROUND

China's urbanization has been rapid over the past 20 years. Since the reform and opening up policies began in China in the late 1970s, the country's cities have entered a fast-growth period. In 1978 there were 193 cities and 2,173 towns. By 2000 the number of cities and towns had jumped to 667 and over 20,000 respectively. China's cities will be modernized on a priority basis and it is intended that the realization of sustainable urban development will lead to the unification of economic, environmental and social benefits all over China. The attainment of sustainable development is challenging however, intensified by the rate of China's urbanisation. In common with cities globally, Chinese cities and towns are experiencing increasing levels of urban pollution, a scarcity of water, limited land for expansion, and an expanding gap between the rich and poor. The need for solutions and guidelines for Chinese cities to address sustainable development issues is pressing.

Substantial efforts at all levels have been taken to answer the immediate call for sustainable urbanization in China, both domestically and internationally. In order to promote the implementation of local sustainable development strategies, the Ministry of

Science and Technology and National Development and the Reform Commission of China, in partnership with more than 20 relevant departments and agencies under the State Council, established pilot zones for sustainable development. The pilot zones include representative and typical counties, communities in cities, towns and large municipalities, all of which have been chosen for the implementation of local sustainable development (LSD) strategies. By the end of 2004, 50 national pilot zones and over 70 provincial pilot zones had been established, involving 25 provinces, cities and districts. This case study presents the experience of Yangcheng County, one the 25 selected pilot provinces, in developing and applying a locally adapted *Planning Guide for Local Sustainable Development in China*.

Figure 2-2-6: Map of Yangcheng County



The process of developing and maintaining sustainable communities requires careful planning at the local level, capable of optimising the synergy of economic, social and environment development objectives in support of local sustainable development. The case study emphasises the significance of a scientific approach to sustainable

planning capable of providing consensus and a common purpose for local government and other stakeholders.

In 1998 the Administration Guidance on National Sustainable Communities (NSC) established a statutory requirement that each locality applying for participation in the National Sustainable Communities Programme must submit its LSD plan. Regulations on the administration of pilot zones requires that each zone formulates its own goal and implementation plan for sustainable development on the basis of detailed investigation into its local economic, social, ecological and environmental conditions.

A key current challenge with local planning, management and administration in China is the departmental fragmentation, with various local sub-sectors such as the economy, urban development, social sector and the environment having separate department oriented planning formulation processes. This system lacks sufficient consultation and coordination in both the planning and implementation process, and includes insufficient stakeholder involvement. As a result, planning becomes a product of government, rather than governance, with no provision for public participation available in most cases.

2. INITIATION AND DEVELOPMENT

As the above discussion briefly reviewed there are three interrelated and complimentary factors that have driven the initiation and development of a *Planning Guide for Local Sustainable Development in China*. They are:

- i) **Local Needs:** Previous to the development of the Guide, no clear-cut guidance on the formulation of local sustainable plans existed. In the absence of standardized guidance practice, pilot zones often referred to the framework of *China's Agenda 21* programme using the formulation methods used by national social and economic development planning. As a result, in many cases such planning covered all the aspects of national social and economic development planning and did not have the specific features of local sustainable development planning. In addition, this approach often had insufficient identification of major stakeholders involved in planning and a systematic analysis of problems and their interrelationships. The resulting strategies contained ambiguous action plans without designated responsibilities for implementation, and seldom identified implementation cycle procedures such as monitoring, feedback, assessment and revision. It has been recognised that such shortcomings resulted in less scientific and less feasible planning, were detrimental to the implementation of local sustainable development planning, and challenged local governments in seeking to achieve sustainable development on the basis of multi-stakeholder participation. A planning guide for local sustainable development, which fitted China's national conditions, was therefore a priority.

- ii) ***Administrative Needs:*** The Administrative Centre for China's Agenda 21 (ACCA21) is the administrative office for the National Sustainable Communities Programme and has been advocating the need for a more standardized and more scientific tool to help and evaluate planning and performance in the pilot zones.

- iii) ***International Exchange Driven:*** One of the important objectives of the Environment Management Cooperation Programme (EMCP)²⁷ was the facilitation of international cooperation and exchange through tool development and knowledge sharing activities. Guidelines were promoted by the programme as a critical factor in the promotion of local sustainable development in China (and more widely globally).

To address the existing challenge for local sustainable development presented above, the *Planning Guide for Local Sustainable Development in China* was developed under support of the EMCP. The Guide was conceived as providing standardised guidance on the formulation of sustainable development plans in all pilot zones at various levels including the national, provincial and city level. It can also be used for other localities aiming to formulate sustainable development plans at the local level.

The Guide development process drew on European experience and expertise, and involves the adaptation of a global sustainable planning guide. The Guide has been comprehensively adapted for China through the joint development cooperation between Chinese experts with their European counterparts. In China, local government plays a leading role in formulating local sustainable development plans and the Guide was therefore developed principally for the use of the local sustainable development offices under the local governments in the various pilot zones. It can also be used by experts or

²⁷ The EMCP is one of the most prominent programmes funded by the European Commission in the field of sustainable development in China. It has three core objectives: (i) to strengthen institutional capacity building and personnel competence in environmental management; (ii) to promote local pilot and demonstration trials on sustainable development; (iii) to push forward the transfer of environmental management methods and environmentally sound technologies between the two sides, and the exchange of networking and sharing of information on sustainable development.

organizations who are involved in community planning. The main principles and approach of the Guide are as follows:

- The importance of a scientific approach to development in the plan development;
- The need for multiple participation, particularly public participation;
- The dynamic nature of the planning process;
- Issue analysis based planning at the local level;
- Flexible planning based on a standard procedure and framework;
- Learning from the developed countries based on China's national conditions; and,
- The distinction between LSD plans and other types of local plans.

The Guide contents are shown in Figure 2-2-7 below and the process promoted by the Guide is shown in Figure 2-2-8.

Figure 2-2-7: Table of Contents

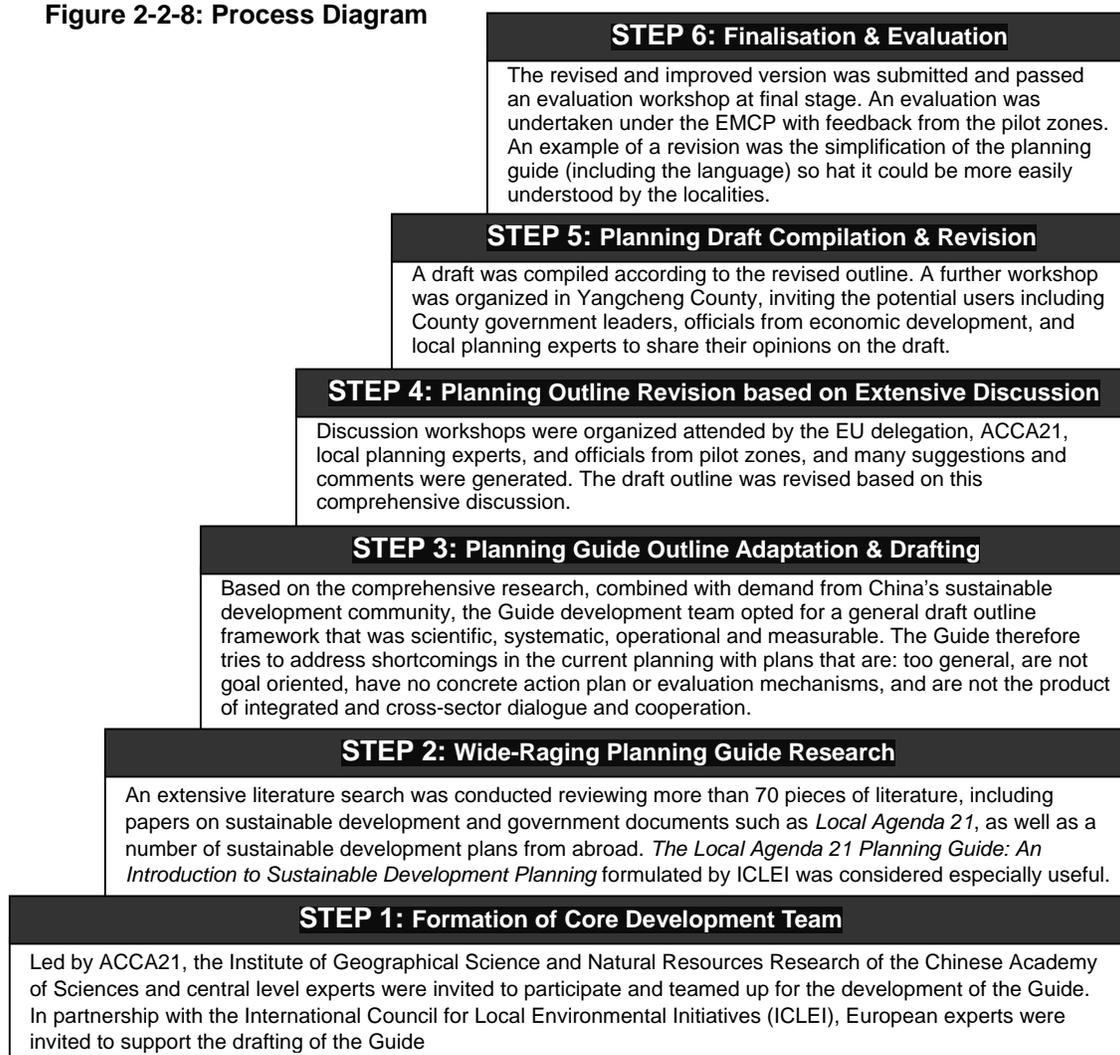
<p>Chapter 1: Introduction, Background, Purposes & Structure</p> <p>Chapter 2: Issues of Local Sustainable Development</p> <ul style="list-style-type: none"> - Local Sustainable Development Conditions & Status - Identifying Issues of Local Sustainable Development - Scope & Features of Issues - Stakeholder of Every Issue <p>Chapter 3: Targets & Objectives</p> <ul style="list-style-type: none"> - Background Analysis of Identified Objectives - Local Capacity to Reach Target - Guiding Principles to Design Objectives - Identifying Vision & Targets - Specify major Criteria of Development in Major Domains 	<p>Chapter 4: Solutions & Actions</p> <ul style="list-style-type: none"> - Action Framework - Specific Actions Plan to Individual Partners <p>Chapter 5: Implementation & Guarantee System</p> <ul style="list-style-type: none"> - Institution Building to Guarantee Implementation of Plan - Mechanism to Guarantee Implementation of Plan - Assessment & Improvement <p>Chapter 6: Public Participation</p> <ul style="list-style-type: none"> - Principle of Public Participation - Channels & Methods for Different Public Group's Participation
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The development of the Guide started at the beginning of 2004. The planning guide has been drafted, evaluated, and revised based on various inputs from both domestic and foreign experts. The Guide development process is shown in Figure 2-2-8. Further revisions have been made on the basis of the Guide's adaptation and application in the pilot zones, including Yangcheng County. Significantly, the discussion workshops

referred to in Figure 2-2-9 were designed and organised in the format of exchange and learning. On one side, potential users are actively involved in each step of the process so their accumulative comments, opinions and ideas can be fed into the development process. On the other side, the exchange process can help participants clearly understand the aims and methodologies that the Guide adopts and help them appreciate the practical application of the Guide. It has proved very important to create partnerships and ownership for the localities, rather than the final Guide being a product of external experts or central government authorities. The final revised Guide has passed expert evaluation from EMCP. The total cost for the development of the Guide is approximately 60,000 Euros and has been funded under the EMCP programme²⁸.

²⁸ This includes 40,000 Euro for expert costs, 10,000 Euro for workshop and training activities and 10,000 for research work.

Figure 2-2-8: Process Diagram



During the Guide development process three key problems were encountered:

- i) ***Understanding sustainable development:*** it was clear that there were different understandings of sustainable development as a concept, and that this differed in relationship to the stage of development that different localities had reached.
- ii) ***Responding to China's geographical diversity:*** the challenge of making the Guide useful as a tool for all localities, regardless of their individual contexts in terms of their geography and economic and social development, presented a considerable challenge.

- iii) ***Integrating multi-stakeholder participation:*** the challenge of how to integrate public participation in local sustainable development Guide formulation, which hitherto had been uncommon in China. Various localities at different stages of development are facing different problems in this regard. Some have very low awareness, others high awareness but effectively no channels for participation or tools in place to support these processes.

The response to these challenges revolved around the development of a Guide that provides a standardized procedure instead of giving specific standards in planning formulation. The Guide therefore provides enough flexibility for localities to tackle their own development issues. The sustainable development framework is offered as a guideline to help localities understand the concept of sustainable development overall, which can be used to fashion a framework responsive to the local context based on each localities' issue analysis.

Similarly, the Guide provides diversified public participation methods and channels for localities which are responsive to the level of public awareness. For instance, the Guide divides public into direct participation and indirect participation. Direct participation refers to public participation in the working groups where the selection of public representatives is the key issue. Representatives should come from the major local professions and classes of income, and in particular, vulnerable groups should be included and women afforded a certain rate of representation. The right of the public to speak in the working group should be clearly stated in a written paper. Direct forms include: face to face dialogue between government officials and the public, special forums on the internet, debates on television, special columns in local newspaper, hotlines, community opinion-collection boxes, and household survey by independent organisations.

When the public shows little interest in participation in planning, indirect participation is possible. In this scenario with representatives to the NPC from all walks of life, experts from NGOs or relevant fields are invited to join the working groups to speak on behalf of

the public. The delivery of opinions or suggestions through intermediaries or through TV programmes, newspapers, internet bulletins, special mail boxes or hotlines are all considered to be indirect forms of participation.

The need for the Guide was championed by two individuals, Mr. Pan Xiadong, Chief of Local Development Division (ACCA21) and Professor Liu Weidong (Institute of Geographical Science and Natural Resources Research of the Chinese Academy of Sciences), both of whom have considerable practical and research experience in the local sustainable development field in China. The development of the Guide was also supported by EMCP experts and the pilot zone localities are the major initiators of the need for a planning guide.

The European Commission China Delegation, the Sustainable Development Society (a Chinese association), Shanxi Province authorities, Yangcheng County government and local experts provided overall support and advice on the need and development for the Guide at the local level. EU experts provided very useful input from the outset. Local experts gave substantial input in improving the Guide and Government officials from pilot zones offered very practical input from a user's perspective. The finalised planning guide will be published in print and in electronic version (and made available on line by ACCA21 website). The overall development time for the Guide has been approximately two years, involving 5 persons and approximately 400 working days each.

Figure 2-2-9: Workshop in Yangcheng County



3. IMPLEMENTATION

The finalised *Guide for Local Sustainable Development in China* has been distributed and shared on EMCP training and discussion workshops, and through the annual sustainable communities conference. This Guide has also been presented to, and generated

considerable interest from, foreign delegations such as a Vietnamese high level officials delegation. Most significantly the Guide has also been introduced to a large number of communities nation-wide.

This case study presents the experience of Yangcheng County pilot zone in developing and applying an adaptation of the Guide. The County was selected by the Government as a typical example of rapid urbanising inland development and a County facing a strong sustainable development challenge. Yangcheng County, located in southeast of Shanxi Province, has a total population of 410,191 of which approximately 68% is classified as rural population. The urbanization rate of about 30% is below the average national urbanization rate of 40%.

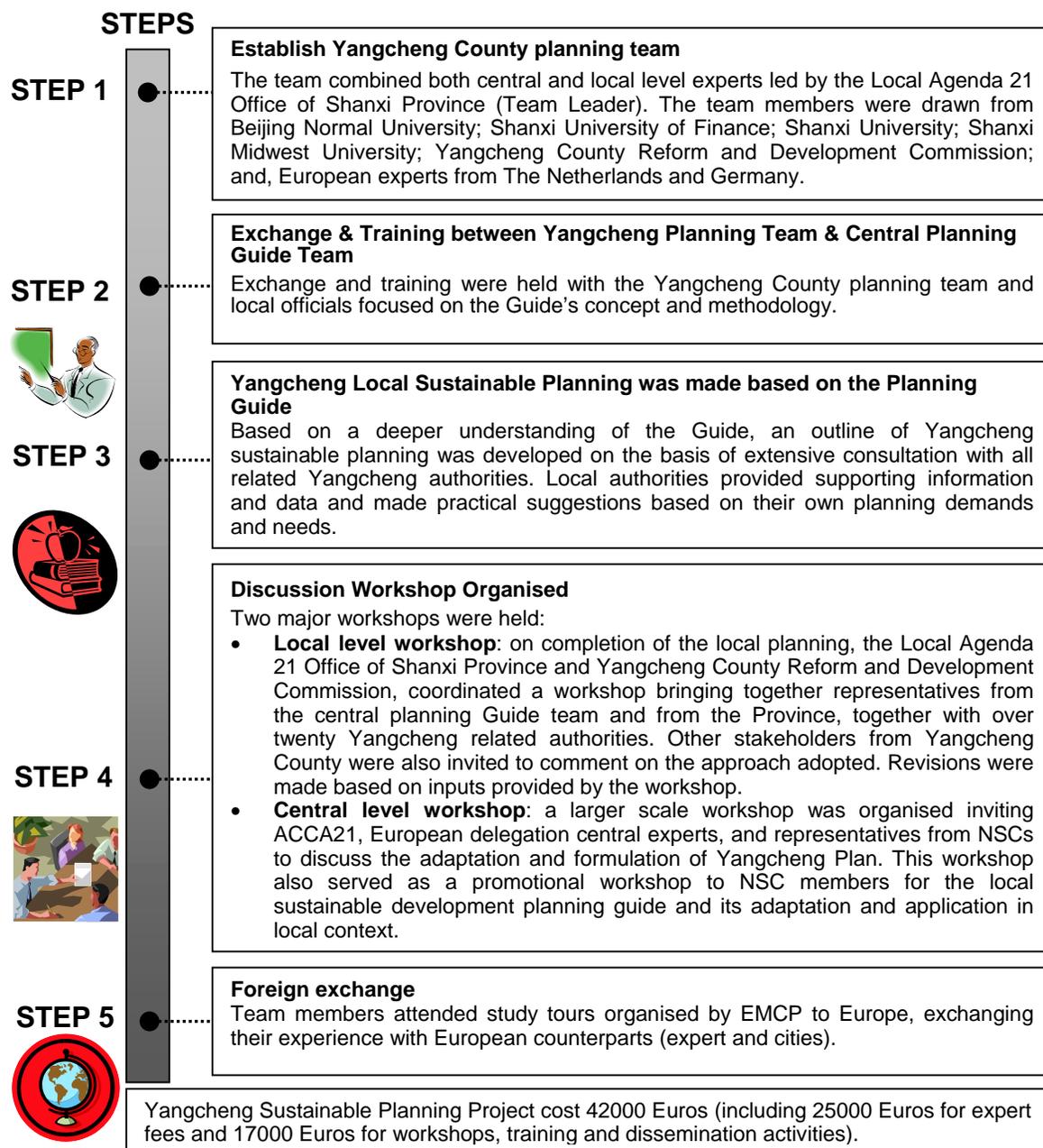
In 2003 the proportion of primary, secondary and tertiary industries was 5.2%, 69.3% and 25.5% respectively. The secondary industry is mainly heavy industries such as coal mining, smelting, and electricity generation, with the characteristics of a super-heavy industrial infrastructure. From the aspect of the local economic structure with the dominance of secondary resource-based industries (and a weak manufacturing sector), it is clear that Yangcheng County is still at an early stage of industrialization. It is one of the top four economically performing counties in Shanxi Province, which determines its leading role in the implementation of a sustainable development strategy.

Yangcheng is facing challenges in common with cities and towns subject to rapid industrialization and urbanization, characterised by severe environmental pollution and ecological and environmental deterioration, low efficiency and resource utilization rates, and large, and accelerating gaps between urban and rural areas. Indicatively, nearly 50% of all soil in the County is facing severe erosion as a result of various development activities and poor natural conditions. In addition, many local enterprises prioritise growth and profit above environmental impact considerations, public environmental awareness is relatively low, and there is a lack of proper channels for the participation of citizens in sustainable development.

In addition to the suitability of Yangcheng County for the pilot adaptation and implementation of the *Planning Guide for Local Sustainable Development in China*, there was a strong demand from local government and people to push sustainable development in response to the pressing problems generated by rapid development. A further advantage to the Yangcheng pilot project designation was the ratification of Shanxi Province as a Local Agenda 21 pilot province in China, thus providing strong support for the implementation of the Guide and an important platform for scaling up local initiatives.

The adaptation of the Guide to the local context of Yangcheng County and its subsequent implementation took approximately eighteen months. This process is summarised in 2-2-10. The Yangcheng County Sustainable Development Plan is the product of an interactive multi-stakeholder process, and provides a clear demonstration of the adaptation and application of the Guide based on local issue analysis. The Guide and its implementation in Yangcheng County therefore represent a significant break (or evolution) with the more conventional approaches to planning in China.

Figure 2-2-10: Steps for Planning Guide Local Sustainable Development in China



One of the key challenges in introducing the new planning and management procedures premised on the principles of good urban governance, is how to provide suitable channels for public participation. Effectively harnessing public participation represented one of the main operational problems encountered in the Yangcheng County implementation. The operational model had to be established based on the local awareness of participation and

the willingness of the public to get involved. Addressing this challenge, the team conducted several public surveys during the process of planning formulation gauging opinions to local sustainable development planning. Newspapers were also used to invite public opinions.

Feedback from officials engaged in the process from the local sustainable development pilot zone office and local authorities, confirmed that the Guide was operationally useful in setting out clear sequential steps (of planning formulation and implementation, evaluation and monitoring) and helping them better frame and identify the local situation and formulate locally orientated action plans. This approach has highlighted the importance of hitherto overlooked elements such as follow-up action, and the development and integration of evaluation and monitoring procedures at the planning stage, and help achieve better overall management efficiency and enhance outcomes and local benefits. As such it is recognized as an important innovation in planning methods in China.

4. OUTCOMES AND LESSONS LEARNED

Through the local application of the *Guide for Local Sustainable Development in China*, Yangcheng County has developed a local sustainable development plan. The implementation of this plan has the potential for benefiting Yangcheng's entire population through its promotion of integrated and sustainable planning principles. Additionally, the awareness of sustainable development has been raised amongst all stakeholders as a result of the process of implementing the locally adapted Guide and through the enhancement of cooperation and participation it involved.

The Guide has therefore achieved its objectives in:

- Attracting more government emphasis in local sustainable development;
- Identifying local sustainable development issues;
- Promoting better integrated local sustainable plan development process which has been institutionalised and additionally enhanced the coordination with other more

specialized local plans including those addressing economic development, urban planning and environment; and

- Increasing awareness of sustainable development amongst all stakeholders.

The Guide has helped promote good urban governance within Yangcheng County through its emphasis on public participation and the significance of the interface between citizens and the local administration. More broadly, feedback from both provincial and local staff, has confirmed that the Guide has proved useful not only in the development of the local sustainable development plan, but in the development of other types of plans that can benefit from its procedures and methodology. This underlines the viability and significance of this toolkit in promoting good governance more generally at the local level; the Guide is therefore considered an effective tool for the promotion of the key good governance principles (namely citizenship and civic engagement; efficiency; equity and empowerment; subsidiarity; sustainability; and transparency and accountability). Currently the Guide has only been implemented by Yangcheng County. In the medium term the Guide will be adopted as a sustainable planning guide for all pilot zones in China and has the potential therefore to support the broader institutionalisation of these processes throughout the country.

There are a number of lessons that have been learnt from the development and implementation of the Guide:

- The “double-adaptation” process (from international sources to China’s national context, and from the national context to local realities) crucially underlines the importance of adaptation in the tool development and application process.
- The early involvement of the users of the Guide is very important for tool development, not only for their valuable inputs but also for generating a deeper understanding of the tool design and purpose (and ultimately resulting in better application and implementation). For example, the involvement of the Yangcheng

Reform and Development Commission as the leading authority in Guide application was necessary from the outset.

- Flexibility in local adaptation is important in ensuring effective and relevant application.

(3) Guideline for Consensus Building by Residents

City of Yokohama, Japan

Figure 2-2-11



Guideline for Consensus Building by Residents
City of Yokohama, Japan (October 2005)
A4 200 Pages (Japanese)
<http://www.city.yokohama.jp/me/toshi/>

1. INTRODUCTION AND BACKGROUND

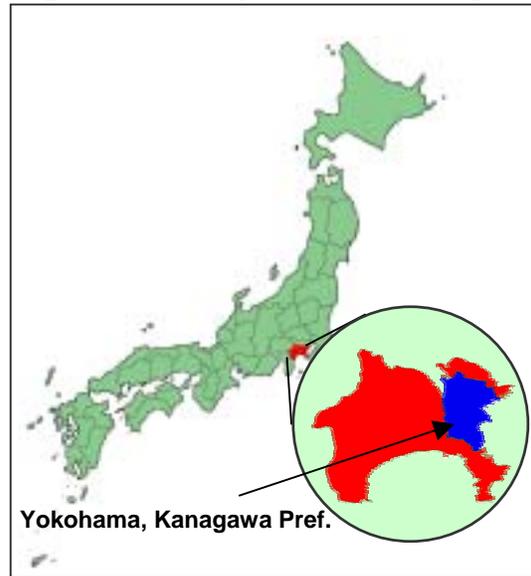
In recent years, there has been deterioration in the living conditions in the City of Yokohama (with a population of 3,584,521)²⁹ due partly to the construction of apartment complexes in residential districts. The problems are manifest in problems such as sneak theft and community members had started stressing the importance of community activities to protect the quality of neighbourhoods and to prevent crime. In this context residents have begun to become active in community development activities, and people had begun calling at the city's counseling centers and desks with inquiries related to community development. Common questions included how to make questionnaires to take opinion polls, how to speak with those who oppose community development and what percentage of the residents must agree in order to introduce development plans.

In response the City of Yokohama opened a consultation center for making community rules in the Urban Development Bureau in September 2002, and information desks for the same purpose in all the wards of the city in April 2004. The consultation centres and information desks are designed to assist residents in making community rules. It is

²⁹ As of February, 2006.

recognized that achieving consensus among city residents is essential in the community development process, and is a major issue faced by the city's residents. It is within this overall context that the *Guideline for Consensus Building by Residents* was published by Yokohama's City's Community Rules Development Consultation Center in October 2005 as a "road map" to assist in the community development process.

Figure 2-2-12: Map of Yokohama City

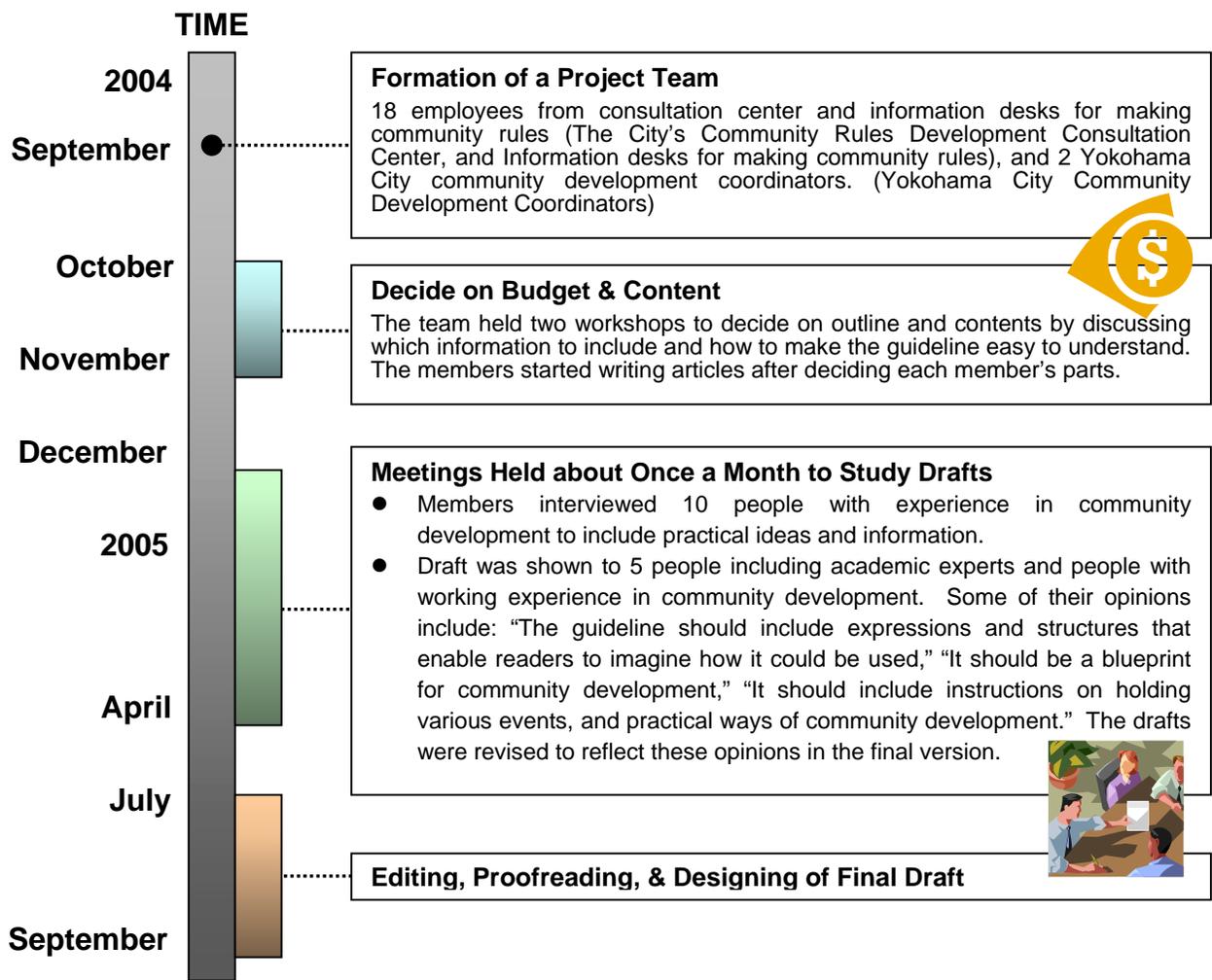


2. INITIATION AND DEVELOPMENT

The development of the Guidelines involved a project team of twenty members. The majority, eighteen members, were drawn from the City's Community Rules Development Consultation Center in Regional Maintenance Division, Urban Development Bureau. These eighteen employees are present at the ward level Information Desks responsible for making community rules and therefore have direct everyday experience and interface with the city's residents. Two further team members were Yokohama City Community Development Coordinators, experts on community development, assigned to assisting resident-led community development.

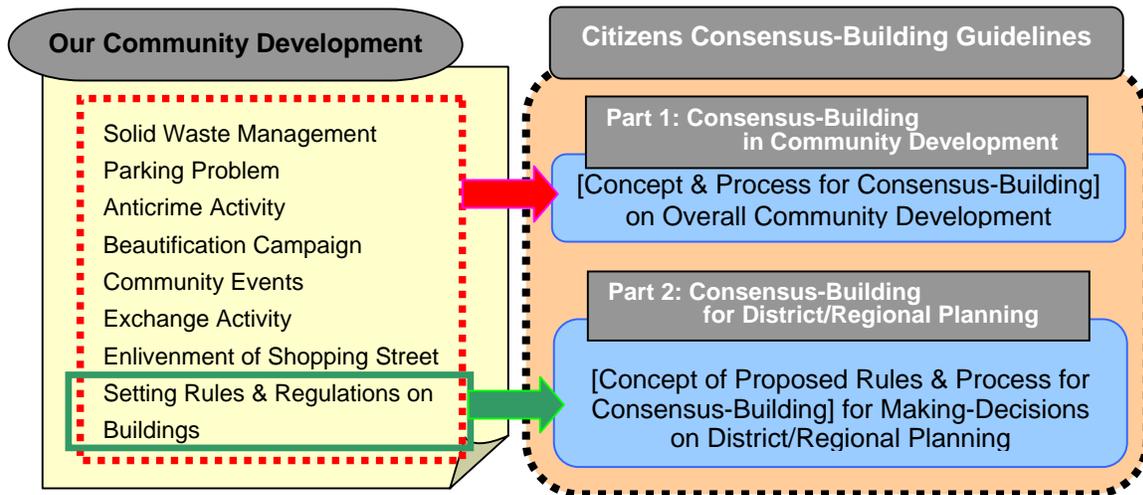
The Guidelines took thirteen months to produce (from September 2004 to the end of September 2005). The development process is illustrated in Figure 2-2-13. Case studies were prepared by the Guidelines development team. Some additional reference materials were used, but these consisted mainly of books and reports on consensus building and do not include toolkits developed by international organisations, local governments, or other organizations. These Guidelines are therefore an example of a custom-made toolkit by Yokohama City to assist resident-led community development.

Figure 2-2-13: Development Process



The finalised Guidelines are available as a single (A4) volume of two hundred pages and consist of two parts. Part one discusses basic ideas and principles common to the consensus building and community development process. Part two presents community development as an instrumental process in district planning, and discusses practical ways for consensus building through the plan making process, and for studying draft plans for making rules on district planning. The structure of the Guidelines is diagrammatically presented below in Figure 2-2-14.

Figure 2-2-14: Structure of Guidelines for Consensus Building by Residents



Reflecting the breadth of community development, the Guidelines cover a wide range of issues including environmental protection, crime prevention, city beautification, and regional welfare. However, as with community development more broadly, the whole approach is founded on the principle of consensus building. It is acknowledged that the implementation of methods is dependent on the characteristics of the communities involved. For example, community development involving district planning and construction restriction is closely related to private rights, and consensus building needs to be sensitively and carefully applied.

In drafting of the Guidelines special attention was paid to two key areas.

i) *Users should be able to understand the material clearly and accurately*

Three methods were used to insure residents and users have a clear and accurate understanding of consensus building.

- **Show guidelines with explanations:** Guidelines (minimum targets) in the consensus building processes were described in short bullet points by order of priority.
- **Provide examples:** it was recognised at the development stage that the Guidelines needed, above all else, to be practical (and hence avoiding a theoretical or conceptual orientation). The Guidelines have been built on the basis of case study community

development practice in Yokohama and therefore have an immediate resonance for users wanting to learn of methods for practical consensus building. The Guidelines examples illustrate how communities have solved problems. Of equal importance examples to show where consensus building and community development has failed and communities have been split. The Guidelines prompt residents to grasp the issues and methods in achieving consensus, and consider them seriously. Additionally, and underlining the practical orientation of the Guidelines, materials such as questionnaires and pamphlets are included as samples in order to provide clear examples of practical steps and ideas in the community development process.

- **The use of columns:** in the page format, columns are used to provide additional information aimed mainly at raising user awareness and interests and deepening the understanding of community development.

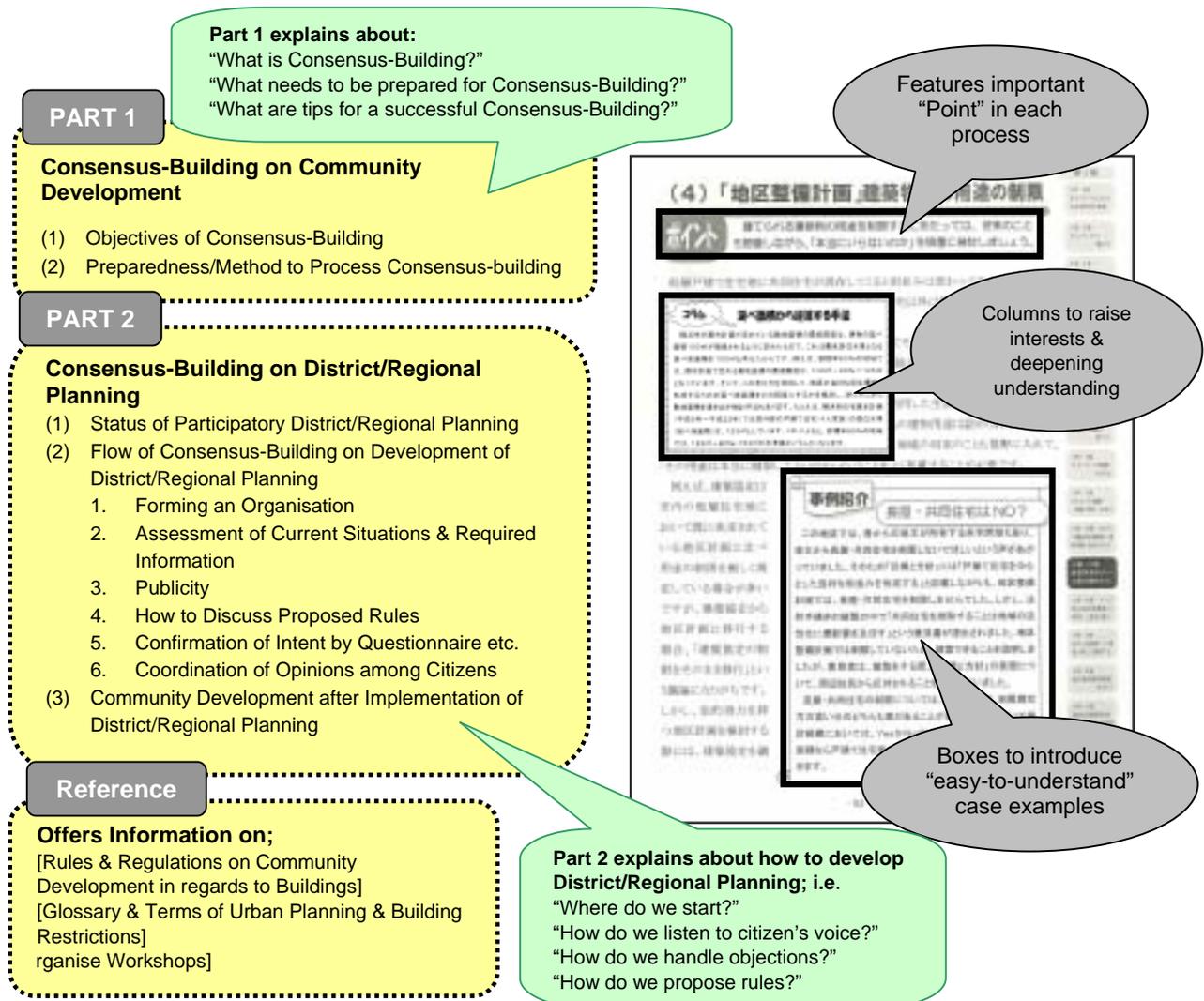
ii) ***Providing fresh and practical information***

The Guidelines are targeted at residents involved in community development. It was recognised that the information presented needed to be fresh and practical. Although the Guidelines development team is experienced in assisting community development, they have no first-hand grass roots practical experience. In response to this limitation it was considered necessary to receive advice from people with hands-on experience in order to write about methods on consensus building and the realities of community development in Yokohama.

The development team conducted detailed interviews with ten experienced persons in community development including its promotion, the issues faced, and the problem solving process. The line of inquiry included understanding what feelings residents have towards community, what types of resident-led community development there are and how are they promoted, and what issues in community development require special attention. The development team incorporated these ideas into the Guidelines therefore enhancing its user-friendliness.

Two key points arise from these interviews. First, community development processes focused on resolving a particular and immediate issue may be jeopardized if broader based community building efforts are not in place. Neither should residents hold repeated discussions and surveys on the theme of community development. Improving communications (saying greetings, hello) or undertaking visible activities (such as street cleaning, beautification) may prove more effective. Participants in community development can feel satisfaction from these activities, as they involve actual labour and are visible. Since these activities are appreciated by many, they help promote awareness towards a community. Second, consensus building does not equate to finding the mid-point between two conflicting opinions as neither side would be satisfied, but involves

Figure 2-2-15: Outline of Guideline for Consensus Building by Residents



creating a win-win situation where all parties would become winners.

The toolkit was finalised in October 2005, and went on sale in November with two hundred copies were sold by the end of the year. Many local governments and people involved in community development have inquired about the toolkit.

3. APPLICATION, OUTCOMES AND LESSONS LEARNING

Unlike the other case studies, the finalisation and distribution of the Yokohama Guidelines is relatively recent. Subsequently, whilst community development activities are underway, the results and outcomes of its application are too early to report. Analysis is awaited on case studies of success and failure in community development activities where the Guidelines are being applied.

There are however a number of points that can be learnt from the development of the Guidelines. First, by addressing the significance of consensus building in district planning in the second part of the Guidelines, it was possible to provide concrete examples of methods and tools in community development. This has helped to ensure the practical relevance of the Guidelines to residents, underlined by its accessible and easy-to-understand style of presentation. Second, by also including cases that are less successful, residents are able to understand and visualise the problems that can arise during community development activities. Overall the Guidelines are able to transmit to residents that community development must be carried out carefully.

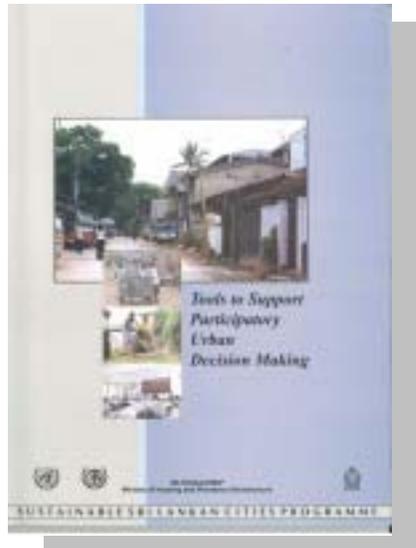
There are a number of areas where, in retrospect, the Guidelines could have been further strengthened. For example:

- Part 1 of the Guidelines focus largely on how to promote consensus building in community planning, on the assumption of conflicting opinions and debates. However, community development is a broad concept, and there are cases in which consensus is achieved unintentionally during the course of community development activities and not through debating.

- In the implementation phase by showing a target figure as an expression of the support rate (of 70%) in consensus building, residents may focus too heavily on reaching the target figure, which may result in insufficient consensus building.
- Consensus building methods may need to change in response to a range of factors such as an aging society, population decline, social changes, and diversifying values. It is therefore necessary to continue studies to promote community development methods and activities that are relevant to these changing circumstances and Yokohama City is considering revising the Guidelines to reflect these future developments.
- The Guidelines focus mainly on consensus building in district planning in residential areas. In future, making community rules in commercial and other areas is expected to become important. A study on consensus building in commercial areas is planned and will be issued as separate guidance.

(4) Tools to Support Participatory Urban Decision Making Colombo Core Area, Sri Lanka

Figure 2-2-16



**Tools to Support Participatory Urban Decision Making
Sustainable Sri Lankan Cities Programme
Ministry of Housing and Plantation Infrastructure
UN-HABITAT/UNDP
April 2003, 99pp
English, Sinhala and Tamil
Available in print and CD format**

1. INTRODUCTION AND BACKGROUND

This case study from Sri Lanka demonstrates the variety of conditions through which toolkits are initiated, adapted and locally implemented. The story is one of an interactive and reflective process through which the application of a “global” tool on good urban governance (*Tools to Support Urban Participatory Decision Making*)³⁰ was applied in practice and through application a new adapted toolkit has been consolidated. In this case therefore, the localised toolkit development is based on a practical, learning-by-doing, approach, and was designed to support the further replication of participatory decision-making in all local authorities in Sri Lanka. Ultimately, the Toolkit seeks to support the institutionalisation of good governance principles and practice throughout Sri Lankan government.

³⁰ *Tools to Support Participatory Urban Decision Making* was published in July 2001 by the United Nation’s urban development agency, UN-HABITAT. It is a flagship product of the Global Campaign on Urban Governance seeking to draw on and consolidate a stream of new urban management tools and guidelines developed by local authorities, national local government associations, research and capacity building organisations, international agencies and external support institutions. The Toolkit is prepared from a synthesis of 15 years of cities’ operational experience and learning through UN-HABITAT’s programmes including: Community Development Programme, Disaster Management Programme, Sustainable Cities Programme, Urban Management Programme and Training and Local Leadership Programme. The Toolkit seeks to bring together the variety of individual tools in a systematic way in support of a cyclical participatory decision making process.

Many programme activities involving the application of the “global” toolkit were initiated in the three cities of Colombo, Dehiwela-Mount Lavinia and Sri Jayewardenapura Kotte (Kotte for short). These cities constitute the Colombo Core Area (the capital territory). The adapted Toolkit was then developed on the basis of these experiences, and on the basis of replication activities that were underway in cities outside the Colombo Core Area during the adaptation process. The main focus and objective of the Toolkit is to build the capacity of local authorities and those involved in the management of cities, and for other stakeholders to have access to new participatory centered “management tools”. These tools provide more efficient and effective responses to the needs of the cities and their citizens, and were initially applied to environmental planning and management issues to demonstrate their utility and to respond to some of the most pressing issues faced by Sri Lankan cities. The Toolkit is the first that has been designed in Sri Lanka to meet local conditions.

The three cities of Colombo, Dehiwela-Mount Lavinia and Kotte are the largest cities in terms of size, population, housing, development and economy. The three local authorities cover an area of about 75 sq. km. with a total population of over 1.2 million, but vary in their respective environments. Colombo City, the commercial capital of the country with a population of 800,000, is the largest city in Sri Lanka. In addition to the resident population, and in response to its core commercial and port functions it is also estimated that the city services cater to a floating population of 400,000 many of whom live in unplanned settlements. With an estimated annual population growth rate of 1.14%, Colombo is one of the few capital cities in South Asia that does not have rapid growth. However, it is facing considerable environmental and social constraints including severe traffic congestion, poor service levels such as inadequate (or non-existent) treatment of sewerage, poor solid waste collection and improper disposal, air and noise pollution, and a substantial “slum” population.

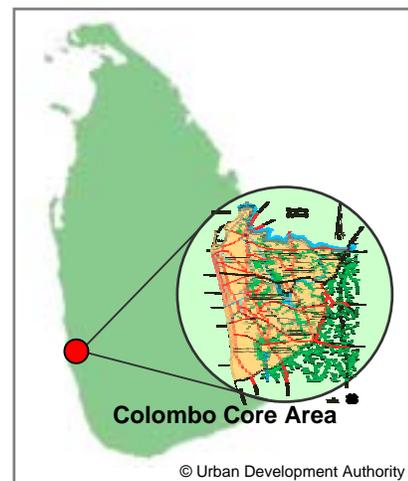
Kotte is the administrative capital of Sri Lanka, is a relatively small municipality, which covers a land area of about 17 sq. km. and has a population of approximately 116,000.³¹ It is primarily a residential city around the Parliament, with an economy based on Government Offices. Kotte's principal challenges centered on the absence of a sewerage system, an insufficient storm drain network and open dumping solid waste disposal. Kotte was raised to municipal status only in 1997 and, therefore, has very limited experience in municipal administration.

Finally Dehiwela-Mount Lavinia provides shelter for around 210,000 persons and caters for a floating population of about a 100,000 in an area of 21 sq. km. The increasing population and various development activities have been a result of the spill over of developments that have taken place in Colombo during the last four or five decades. There are low-income settlements and large number of unplanned settlements located within the city especially along the coastal belt and low-lying areas. Solid waste management problems and the lack of capacity to maintain sewerage disposal systems and related environmental and health issues have surfaced as the main problem of the low-income communities.

2. INITIATION AND DEVELOPMENT

The inadequacies of local governments to meet the complex and challenging needs of the cities are now widely recognised. Cities in Sri Lanka were no exception. Conventional administration was characterised by departmentalisation, strict functional hierarchies, political influence and driven by bureaucratic control. Matters were also compounded by over twenty years of ethnic conflict. With the prospect of a peace settlement at the turn of this century many governments, international donor agencies and others pledged

Figure 2-2-17: Map of Colombo Core Area Map

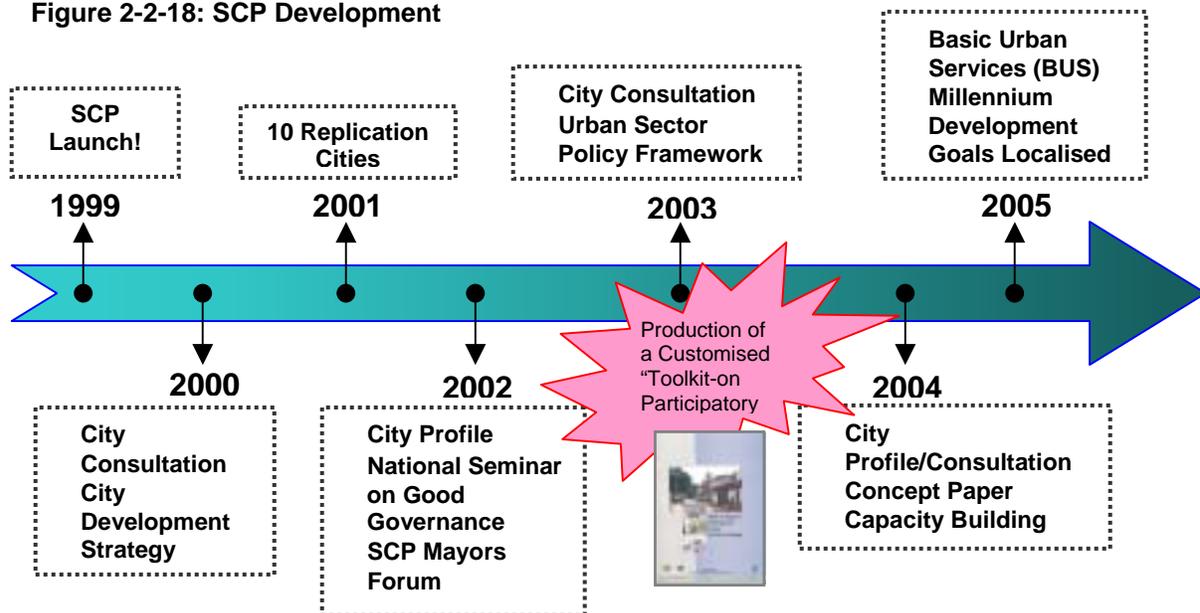


³¹ Population census 2001.

support to rebuild Sri Lanka but on the condition that the building blocks of good governance were in place as a prerequisite for such aid.

It was during this period that UN-HABITAT/UNDP in association with the Government of Sri Lanka commenced the Sustainable Cities Programme – Urban Governance Support Project (SCP-UGSP) to support the government’s commitment towards the implementation of the Habitat Agenda in Sri Lanka. The programme was launched in 1999³². The initial objective was to assist the municipal councils of Colombo, Dehiwela-Mount Lavinia and Kotte experiment with, and develop, institutional mechanisms and approaches to build participatory processes in environmental planning and management (EPM). In effect however, the programme has continued and expanded since 1999 through three phases and the Toolkit has emerged from this learning foundation of hard-won practical experience, and seeks to further support officials and elected members in applying the principles of good urban governance in their local authorities. The evolution of the programme through which the Toolkit has emerged (and in turn supports) is shown in Figure 2-2-18.

Figure 2-2-18: SCP Development



³² *The Sustainable Cities Sri Lanka Programme 1999-2004: From the Sustainable Colombo Core Area Project to a SCP National Capacity Building Strategy*, The SCP Documentation Series Volume 4, UN-HABITAT/UNEP June 2005.

The phase one “Sustainable Colombo Core Area Project (1999 – 2001)” was conceived as a start-up and demonstration phase, capable of experimenting and show casing participatory techniques in the three Colombo municipalities. But it is during the second phase (2002-2003) that the locally adapted Toolkit was initiated and developed. This phase focused on the consolidation of processes already underway in the Colombo Core Area and further expansion to ten additional cities elsewhere in Sri Lanka (in the Western, Central and Sabaragamuwa Provinces), and therefore offered a fertile learning environment for toolkit development.

It was evident from the participation of local authorities (and others) in the expanded programme that their absorptive capacity and administrative structures were weak and ill-suited to the introduction of new urban management tools focused in good governance. Top-down, supply led, bureaucratic approaches had to be changed to more bottom-down, people friendly, participatory approaches. There was a need therefore to develop the capacity of local authorities to absorb new methods and approaches grounded in governance, rather than solely government. However, at this point there was an absence of management tools to support local authorities in this reorientation of urban management.

How the application of good governance principles could be practically achieved in a Sri Lankan context was already well advanced. The Colombo Core Area activities had already harnessed experience and learning, and proved the relevance of such methods through testing tools set out in the *Tools to Support Participatory Urban Decision Making*. The customization of the Sri Lankan toolkit thus became a priority on the basis the pressing need for relevant tools coupled with evidence of their viability in a local setting. The adaptation of the toolkit commenced in 2002 and was completed in 2003. As the target user group were mainly local authority representatives and officials it was immediately translated into the local languages of Sinhala and Tamil.

Figure 2-2-19: Introducing Tools to Support Participatory Urban Decision Making

Introducing Tools to Support Participatory Urban Decision Making

Tools to Support Participatory Urban Decision Making, published in July 2001, is a flagship product of UN-HABITAT's Global Campaign on Urban Governance seeking to draw on and consolidate a stream of new urban management tools and guidelines developed by local authorities, national local government associations, research and capacity building organisations, international agencies and external support institutions. The Toolkit is prepared from a synthesis of 15 years of cities' operational experience and learning through UN-HABITAT's programmes including: Community Development Programme, Disaster Management Programme, Sustainable Cities Programme, Urban Management Programme and Training and Local Leadership Programme. The Toolkit seeks to bring together the variety of individual tools in a systematic way in support of a cyclical participatory decision making process.

The adaptation (under the same title) by the Sustainable Sri Lankan Cities Programme, UN-HABITAT/UNDP and the Ministry of Housing and Plantation Infrastructure follows the same overall structure as the 'parent' toolkit. It is a single volume (99 pages) consisting of two substantive sections:

1. Context and Framework:

This introduces a cyclical participatory decision making framework involving four principal phases:

- (i) Preparatory and mobilisation of stakeholders;
- (ii) Issue prioritisation and stakeholder commitment;
- (iii) Strategy formulation and implementation;
- (iv) Follow-up and consolidation.

2. Tools:

Profiles 17 generic tools (using a common format of overview, purpose; principles; how it works; linkage to urban governance norms; city examples) supporting each of the cyclical phases. The tools profiled are: municipal checklist; stakeholder analysis; stakeholder working group; facilitation; conflict resolution; environmental management information systems; city profiling; SWOT analysis; gender responsive tools; proposition paper; city consultation; urban pact; action planning; strategy formulation; demonstration project; monitoring tools; programme evaluation; institutionalisation.

The Project Support Team (PST) of the SCP-UGSP, the partner training institute the Sri Lanka Institute of Local Governance (SLILG) and officials of the Colombo Municipal Council immediately took the initiative to undertake the task of producing the toolkit. Co-opting others involved in local governance (Ministry of Provincial Councils and Local Government (M/PCLG), NGOs, consultants and retired officials from the local government sector), and supported by the Ministry of Housing and Urban Development, they proceeded to develop the customized toolkit. The team was coordinated by the

National Technical Adviser of the SCP-UGSP and the Senior Assistant Secretary of the M/PCLG. The members of this team were delegated different tasks focused on learning from the application of methods promoted in the global toolkit (as indicated in 2-2-19):

- the National Training Coordinator of the SCP programme and the SLILG were requested to prepare the script relevant to the training programmes such as SWOT analysis, stakeholder analysis, EMIS and working groups;
- the NGO (Sevanatha) was mainly responsible to report on city activities, including city consultations, demonstration projects, and urban pacts (Memorandums of Understanding); and,
- consultants and retired local government officials undertook a review of techniques including conflict resolution, programme evaluation and institutionalisation.

In almost all cases, team members were required to visit the local authorities, conduct detailed discussions with the local authority officials and prepare the documentation accordingly. They were also asked to discuss local issues with stakeholders, and why and how changes to urban management could be introduced. This evidence-based approach ensured that the effectiveness and utility of the tools were measured from actual city experience (in this case through participation in the SCP-UGSP). The only exceptions to this rule were the examples of mediation and conflict resolution, and programme evaluation which were documented through the Sri Lanka Urban Multi-hazard Disaster Mitigation Project. Documented experiences were shared at a meeting with all team members, and further revised as necessary before finalisation. The development of the toolkit and the translation took approximately twelve months, though it is considered that a shorter development period would have been possible in the absence of external operational delays (including government elections, the transfer of officers, and staff changes in Ministries). The programme was funded by the United Nations Development Programme (UNDP).

As the Toolkit was an adaptation of a United Nation's "global" toolkit (itself developed through the extraction of experience and hands-on lesson learning) there was a necessity

to customise methods and techniques to meet the local conditions and local needs. A clear example of the adaptation is the decision that a recommended three-day city consultation process was not practical in Sri Lanka and should be limited to a single day event³³. Similarly, as the Mayor is also the Chief Executive Officer in Sri Lanka and politically elected it is critical that their consensus is achieved in inviting stakeholders to the city consultation events.

Like the “parent” global toolkit, the final Sri Lankan customisation comprises of a set of generic methods, but that are backed up with concrete and practical examples of how these techniques have been (and can be) applied in the Sri Lankan context. For example, with an increasing number of activities involving the community being promoted and undertaken in Sri Lanka, one of the most pressing needs is for local authority officials to undertake stakeholder analysis. This not only adds value to the activity through focused contributions, but also helps to avoid duplication and increasing numbers of participants who are otherwise marginal to the decision-making process. The Toolkit’s documented example of Weligodawatte, Madampitiya, Colombo North (Garden 226), where a lack of basic amenities had resulted in pollution in low-income settlements, demonstrates how a working group consisting of a high stake/high influence stakeholders can affect local change. It also provides evidence on how focused working groups can attract support from external sources; in this case Janarukula (an NGO) and the Institute of Business Management Consultancy both of which provided inputs to upgrade the capacity of women and youth in the settlement.

3. IMPLEMENTATION

The concept of a toolkit to address local development needs in Sri Lanka was not only new but one that was well accepted. The change from the traditional method of attending routine training programmes to that of having ownership of a toolkit to guide local officials was considered innovative. The Commissioners of Local Government (CLGs), the national local government training institute the SLILG and a leading local NGO

³³ The “city consultation” method is a centerpiece technique for bringing together all relevant stakeholders, consolidating previously undertaken diagnostic studies, prioritising issues and agreeing the next steps in a longer term participatory cycle.

working in the urban sector, Sevanatha, not only encouraged the initiative but also supported the process.

The Toolkit is aimed at two principal user groups. The first, and main group, is local authority representatives and officials. The second is the agencies that support local authorities, namely the SLILG whose primary task is to build the capacities of the local authorities, and NGOs which work with local authorities. The Toolkit was distributed to every Sri Lankan local authority through the SLILG and CLG, and to the M/PCLG.

In an effort to maximize the use of the Toolkit a two-day workshop was conducted in the form of a training-of-trainers programme, and around thirty officials associated with the local authorities (Ministry, CLGs, SLILG and from the local authorities) selected from the regions underwent this training program. These participants are now competent to train others at the local level in the understanding and use of the Toolkit.

Three examples of where a combination of good governance methods have been applied in the Colombo Core Area during the development and adaptation process, and subsequently built into the final customised version, help demonstrate the iterative nature of building and enhancing the Toolkit. The examples are the Green Star Homes Project and Air Quality Management Working Group both from Colombo, and a community based waste collection and sorting centre from Dehiwala.

Every year after the rainy season Colombo city experiences an outbreak of dengue fever resulting in the loss of lives and loss of local productivity³⁴. The Green Star Homes Project was a city wide environmental sanitation project established when the number of cases of dengue reached epidemic proportions (increasing from an average of 20 to 79) during the monsoon rains in May 2001³⁵. In the project residents were encouraged to clean their home compounds and backyards in an effort to eliminate potential mosquito

³⁴ The average number of days per year that people are sick with dengue fever and can't work is about 10 days. This means for a worker with an average income of 250 rupees a day a loss of 2500 rupees (26 US\$) per year.

³⁵ *Green Star Home demonstration project, Colombo Municipal Council*, Case Study prepared by the Institute of Housing Studies. Available from UN-HABITAT Regional Office for Asia and the Pacific, Fukuoka, Japan.

breeding places and once checked for cleanliness would receive a prestigious green star award indicating a clean and healthy home.

This practical response to a pressing problem had been initiated through straightforward principles and methods of good governance. This included the establishment of a working group under the auspices of the Chief Medical Officer of Health bringing together key stakeholders to develop an effective action plan and the engagement of a large number of volunteers,

Figure 2-2-20: City Consultation in Kotte



council staff, schools and external agencies. Teams visited over 23,000 premises in the city. In a practical operational context, the Green Star project also demonstrated how the application of evaluation and monitoring (and including longitudinal cost-benefit analysis) can support and improve subsequent project implementation and be used as a lever to secure additional resources.

The project managed to contain the outbreak of dengue (with the number of reported cases falling from 332 in 2001 to 271 in 2003) and save approximately US\$28,000 in government medical services. More significantly for the longer term however, it has managed to create an unprecedented civic awareness and commitment to clean environments, and improved the understanding between Colombo's communities and the municipality. Whilst the Green Star itself has lost its popular appeal, campaigns and public awareness and education have been retained. The success of the project underlined that effective responses to city-wide environmental problems require an inter-sectoral and inter-departmental response, mass public support and community participation; in other words the hallmarks of good governance.

Like Green Star, the Urban Air Quality Management Project successfully demonstrated how to engage the interest and commitment of ten related government agencies³⁶. In this case the inter-agency cooperation was in response to the declining quality of air and respiratory health in the Colombo Core Area as a result of rapid urbanization and motorization (including both the increase, and poor maintenance, of vehicles - especially two and three wheelers).

Through extensive collaboration, the project created public awareness on air quality, the lead-content of petroleum products and the emission fumes from motor vehicles. As with the Green Star initiative, through effective multi-stakeholder working group discussion the initiative³⁷ has resulted in concrete short and mid term strategies (2001-2004) adopting a range of practical measures designed to reduce emissions; this has included restructuring of roundabouts and bus bays, segregation of pedestrians, synchronized traffic lights and the greening of the city, and a number of compulsory actions such as the banning of two-stroke three wheelers and the implementation of fiscal policies on fuels and vehicles. The impact confirms the utility of such initiatives evidenced through, for example, an 86% fall (compared to 1992) in the lead level of blood samples from traffic police and the virtual ceasing in sales of leaded petrol. The Air Quality Management Working Group also shows how through the working group process and stakeholder involvement, the issue of air pollution has been put on the agenda at both municipal and national level, and how the working group has been institutionalized at the both levels.

The final example of the successful Toolkit method application and adaptation involves the work of Dehiwala-Mount Lavinia Municipal Council with a resettled low-income community (of approximately 5500 people) on a canal bank at Badowita³⁸. Whilst the delivery of solid waste management services is the responsibility of the municipality, in reality it was not well equipped for the task. The Council lacked a solid waste strategy,

³⁶ *Air Quality Management Working Group, Colombo Municipal Council*, Case Study prepared by the Institute of Housing Studies. Available from UN-HABITAT Regional Office for Asia and the Pacific, Fukuoka, Japan.

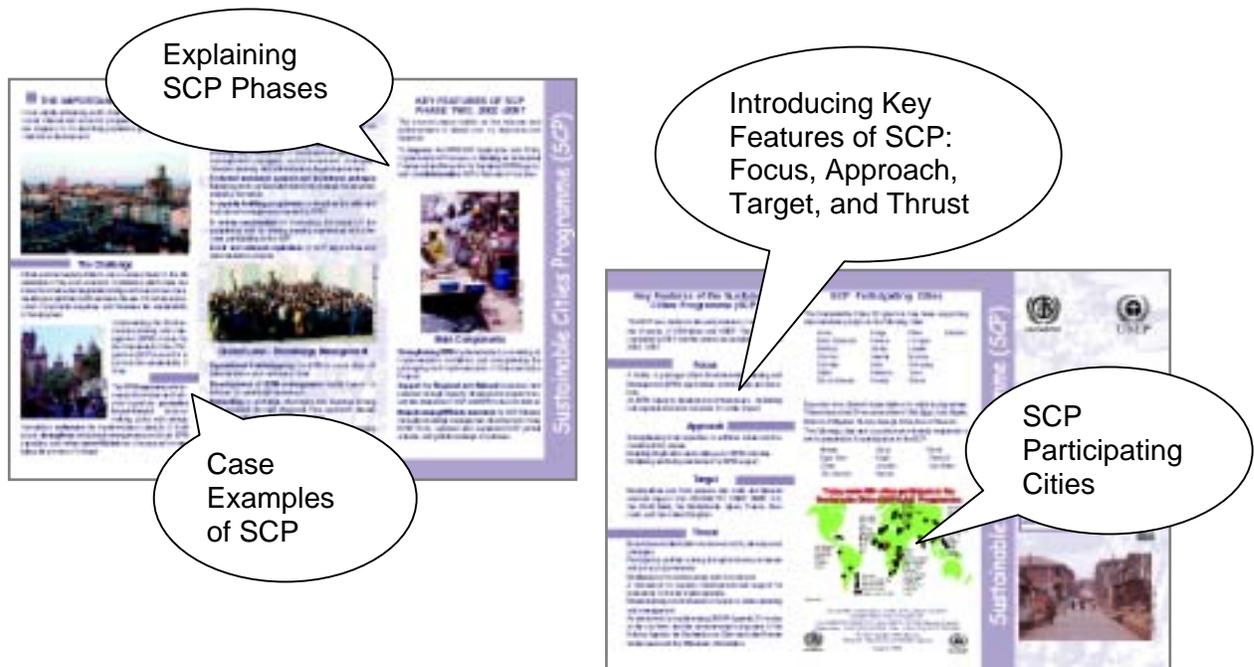
³⁷ The project was renamed the Clean Air Initiative (CAI) in 2001 to fall into line with the Clean Air Initiative for Asian Cities.

³⁸ *Badowita Community Based Waste Collection and Sorting Centre, Badowita Dehiwala Mt. Lavinia Municipal Council*, Case Study prepared by the Institute of Housing Studies. Available from UN-HABITAT Regional Office for Asia and the Pacific, Fukuoka, Japan.

had insufficient finance, equipment and manpower, and no awareness programmes to motivate and mobilise communities to change their waste habits. The collection of waste from Badowita was exacerbated by a communal collection service from concrete bins along the main road; collections were twice daily but with irregularities in the schedule. The lack of environmental awareness and inconvenience of distant communal bins resulted in Badowita's citizens dumping garbage into the canal or at the roadside, consequently resulting in environmental health problems (especially the incidence of diarrhea).

A multi-stakeholder Working Group was established to address the problem, and through the formulation of a community action plan for solid waste management, a community based waste collection, sorting and recycling centre was established in the heart of the settlement. The majority of households were subsequently trained and motivated to separate non-degradable recyclable items at home and exchange them for cash at the new centre³⁹.

Figure 2-2-21: SCP Flyer



³⁹ The monthly minimum income from selling recyclables to the centre is about 100 Rupees (US\$.96 cents), which is sufficient to pay monthly tax and water bills. The maximum income is around 1,500 Rupees (US\$15.5).

There have been marked impacts on both the physical and social fabric of the area. Physically the volume of garbage from this settlement to the municipal waste stream was reduced by about 30% and the quality of the roads and canal environment has been improved. Although actual figures are not available it appears that the medical problems formerly associated with random, open, dumping have fallen. Socially, the waste-recycling centre is fully managed by the community organisation and provides employment for three people, helping generate local income. The process has also developed self-confidence amongst the leaders of the CBO Federation managing the process, especially in building the partnership with their local authority. This includes identifying other services where improvements are required, such as sewage, and the role that the community can play in this. For the municipality, for the first time officials are collaborating with the community as partners, thus helping to accelerate the attitudinal shift that is needed to support the introduction of local good governance. The success of the project has been underlined with the introduction of community based recycling centres elsewhere.

4. OUTCOMES AND LESSONS LEARNED

The customised *Tools to Support Urban Participatory Decision Making* has been useful in many ways. Arguably though, it is the attitudinal shift in applying the principles of good governance in local processes that will prove the most beneficial and long lasting contribution of the Toolkit.

The Toolkit is now being applied in eighteen municipalities involved in the UN-HABITAT Urban Governance Support Programme and in general offers the opportunity of three distinct improvements in local urban governance. Firstly, it has helped local authorities to get a realistic view of their cities and towns. Through the application of SWOT⁴⁰ analysis for the first time local authority officials have sat together to understand where they are, where they want to go and how to get there. Secondly, it has facilitated officials to get more information about their city and their own local authority. Most local authorities were not fully aware of who their own stakeholders were and how

⁴⁰ Strengths, Weaknesses, Opportunities, Threats.

they could get involved, they did not have much information of their city (for example the status of poverty, housing, environmental issues and so on) and their knowledge of how to work with the community was weak. Tools such as stakeholder inventories and stakeholder analysis, city profiling and the establishment of working groups (as discussed above) were introduced for the first time through the application of the Toolkit. Thirdly, through the catalytic city consultation process that pulls stakeholders together to share information and decision-making, an attitudinal shift amongst officials has taken place and opened up new paths for developing partnerships and involving stakeholders in the future of their cities and towns.

In the municipalities where the Toolkit is being used one of the main observable outcomes has been the improvement in the delivery of basic urban services (especially solid waste management and improved sanitation) mainly due to the implementation of participatory processes and enhanced community empowerment. Some of the concrete, quantifiable, changes that have been achieved in the Colombo Core Area have already been referenced in section 3 above. In the cities of Kotte, Colombo, Matale, Kandy, Nuwara Eliya and Ratnapura the quality and quantity of service delivery as regards solid waste management has improved. For example, the involvement of the community has resulted in a higher usage of compost bins at home, thus reducing the quantity of waste collected and in need of disposal, and reducing the use of waste collection vehicles, fuel, and staff required to deal with waste management. The establishment of sorting centres as in Dehiwela (section 3), in Matale, NuwaraEliya and Colombo has empowered the community to manage waste more effectively. Similarly construction of biogas units maintained by private institutions has reduced the problem of market waste while establishing a good partnership with the local authority in Kotte⁴¹. And innovative methods of liquid waste management are being implemented by the community in the two densely populated cities of Wattala and Kattankuddy.

⁴¹ *Kotte Solid Waste Management Project: Biogas Unit*, Case Study prepared by the Institute of Housing Studies. Available from UN-HABITAT Regional Office for Asia and the Pacific, Fukuoka, Japan

The usefulness of the Toolkit, and the principles of good governance once practically embedded in local decision-making processes and systems, extends beyond environmental planning and management. The Mayor of Colombo has introduced the innovative open budgeting approaches being pioneered in many cities, especially in Latin America, in the Colombo Municipal Council. A participatory budgeting project commenced in January 2005 with awareness programmes and more than fifteen mini consultations to solicit proposals for the use of the city's budget. These were held with various stakeholder groups such as heads of departments and officials, NGOs and CBOs, the business community, community intellectuals, elected members and state agencies. Nearly two hundred proposals were received, analysed and grouped according to the nature of the proposal, and four city consultations were held where these issues were prioritized. As a result approximately 25% of the Council budget amounting to 900 Rupees million was set apart in the budget of 2006 to accommodate these proposals.

The Toolkit has also demonstrated its versatility through application in the post-Tsunami programmes and activities with municipal – community partnerships proving a useful model in the reconstruction of houses and rebuilding of communities following the Tsunami of December 2004. In this case, the Toolkit supported local authorities to work in partnership with NGOs, and to mobilise the community, form community based organisations, conduct community action planning and empower the community to rebuild homes through processes such as community contracting.

The challenge of institutionalising good urban governance throughout Sri Lanka's over three hundred local authorities remains sizeable⁴². Except for a few cases, the concept of involving the stakeholders through working groups or city development committees is new. In some cases new practices have become embedded in practice, in others such practices are used on an ad hoc basis and undermined by a lack of guidance and direction. However, an unexpected outcome of the implementation and use of the Toolkit has been the increasing demand by many local authorities for assistance in implementing good governance processes. In particular, local authorities in the North and East which had not

⁴² Local authorities are made up of Municipal, Urban and Pradeshiya or Rural Councils.

been operative for over twenty years have shown an increasing interest in the application of the Toolkit. It has been formally introduced in four cities in the North and East⁴³.

Action is being taken to support the institutionalisation of good governance processes in all local authorities. The need for the development of a strategic framework for building municipal capacity for community participation is now clear, and a National Capacity Building Agenda for local authorities has been prepared with the support of the Ministries, training institutes and local authorities. A concept paper (addressing the structure, action plan and methodology for implementation in a sustainable manner) has been submitted to the Minister of M/PCLG for approval of the Cabinet of Ministers.

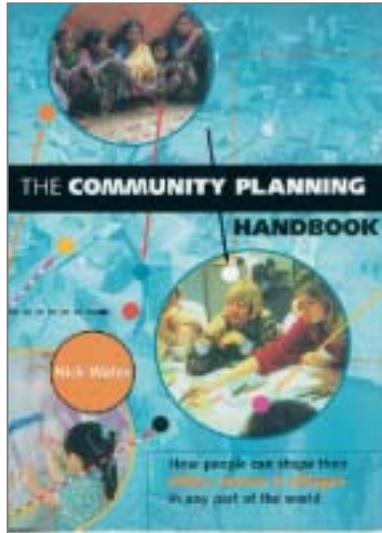
⁴³ UN-HABITAT/UNEP Sustainable Cities Programme.

(5) The Community Planning Handbook:

How people can shape their cities, towns & villages in any part of the world

Hastings, United Kingdom

Figure: 2-2-22



The Community Planning Handbook:

**How people can shape their cities, towns & villages
in any part of the world**

Nick Wates (2000)

Earthscan, London <http://www.earthscan.co.uk>

230 pp book (English & Chinese) and e-book (English)

ISBN 1 85383 654 0

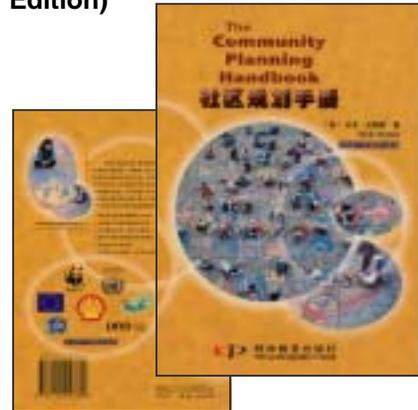
Website: www.communityplanning.net

1. INTRODUCTION

Local communities increasingly want more influence over their surroundings and governments and professionals are increasingly interested in involving local people more to avoid the alienation created by much planning over recent decades. In 2000, over six years of research and international networking, culminated in the publication of *The Community Planning Handbook*, an introduction to key principles and methods in the “art” of community participation that have been pioneered in many different countries over the past few decades. Two years later the Handbook was also made available as a web based resource and now registers a monthly average of 100,000 hits and 15,000 successful requests for pages. Both Handbook and website underline the growing awareness, interest and recognition that the involvement of citizens in their cities is critical and the demand globally from all sides for more local involvement in the planning and management of the environment.

The Handbook starts from a basic premise: “How can local people – wherever they live – best involve themselves in the complexities of architecture, planning and urban design? How can professionals’ best build on local knowledge and resources?”⁴⁴ Whilst many of the practical examples that support the methods presented are drawn from experience in the United Kingdom (UK), there are also cases that have been pioneered and drawn from elsewhere (including from the USA, Australia and Hong Kong and from developing countries in Asia and Africa). As such the principles and methods presented are generic and therefore international in their scope and outreach and with the common purpose of helping people make community involvement in planning a practical reality. The Handbook has been published in both English and Chinese (the website is in English only)⁴⁵.

Figure 2-2-23: The Community Planning Handbook How People can Shape their Cities, Towns & Villages in any Part of the World (Chinese Edition)



In keeping with other toolkits that adopt a generic principle and method led approach, the Handbook has not been designed for wholesale adaptation (translation) and application. Rather the material is conceived as a jargon free resource that is presented in a universally applicable, how-to-do-it style, and where methods can be applied singularly in their own right, or more effectively and creatively in combination as a powerful force for positive and sustainable change. The main focus of the objective of this tailor-made Handbook is to facilitate community involvement in planning, allowing people to benefit from the experience gained so far and by facilitating international exchange of good practice.

The Handbook is being applied in urban and rural communities in many parts of the world. The case study selected for this report comes from the seaside town of Hastings on the south coast of England. Hastings (which includes St Leonards on sea) has a

⁴⁴ *The Community Planning Handbook*, Nick Wates (2000) Earthscan p.2.

⁴⁵ The publishers, Earthscan, initiated the Chinese edition through its China Project.

Figure 2-2-24: Map of Hastings



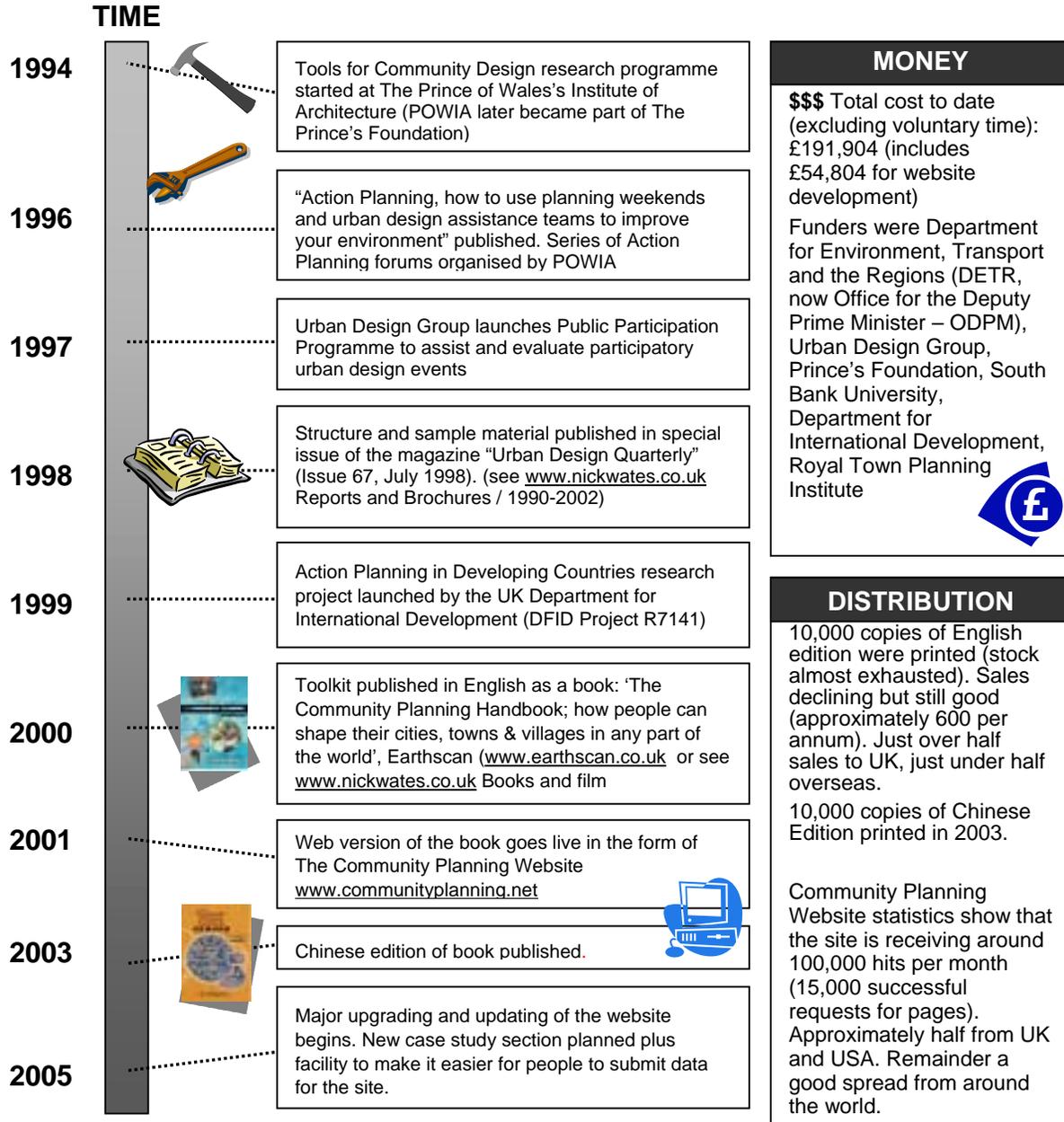
population of 70,000. The local authority is Hastings Borough Council. It lies within East Sussex County and is surrounded by Rother District Council. It has been identified by the regional development agency, South East England Development Agency (SEEDA), and national government as an area in need of regeneration and a variety of programmes have been established to achieve improvement. In particular a development company called

Seaspace has been established to spearhead the regeneration process.⁴⁶

The case study interweaves the story of the initiation and development of the overall Handbook with how the methods profiled have been applied in Hastings.

⁴⁶ Further background information (and up to date position) can be found on: www.hastings.gov.uk, www.rother.gov.uk, www.eastsussex.gov.uk, www.seaspace.org.uk .

Figure 2-2-25: CPH: Key Facts: Time, Money & Distribution



2. INITIATION AND DEVELOPMENT

The Community Planning Handbook encapsulates the ground swell of both interest and development in participatory techniques and processes in the way in which environments are planned and developed, including the development of community architecture,

community design and community planning.⁴⁷ This interest is evident both nationally within the UK and internationally (and hence the international scope of the Handbook and the support and funding committed by both home and international arms of the UK Government). There is also an expressed demand for involvement from the grass roots combined with Government and private sector realisation that community involvement in planning could save time and money. The Handbook was therefore designed to be of interest and use to all parties involved in community planning (including professionals, local government and community organisations) and was purposefully edited to avoid jargon and ensure accessibility to all.

Within the context described above, the Handbook is the product of three related initiatives and agencies (and key individuals who advocated the need for such a Handbook); the evolution of the Handbook is demonstrated in Figure 2-2-26. The first, *Tools for Community Design Programme*, supported by The Prince's Foundation (and formerly The Prince of Wales Institute of Architecture in London), aimed to produce good practice tools through testing and monitoring new approaches in live pilot projects and resulted in the publication of *Action Planning* and a series of Action Planning Forums. The Foundation's first two Directors created the right environment for the Tools for Community Design programme and helped with raising funds. The Director of Research made it happen.

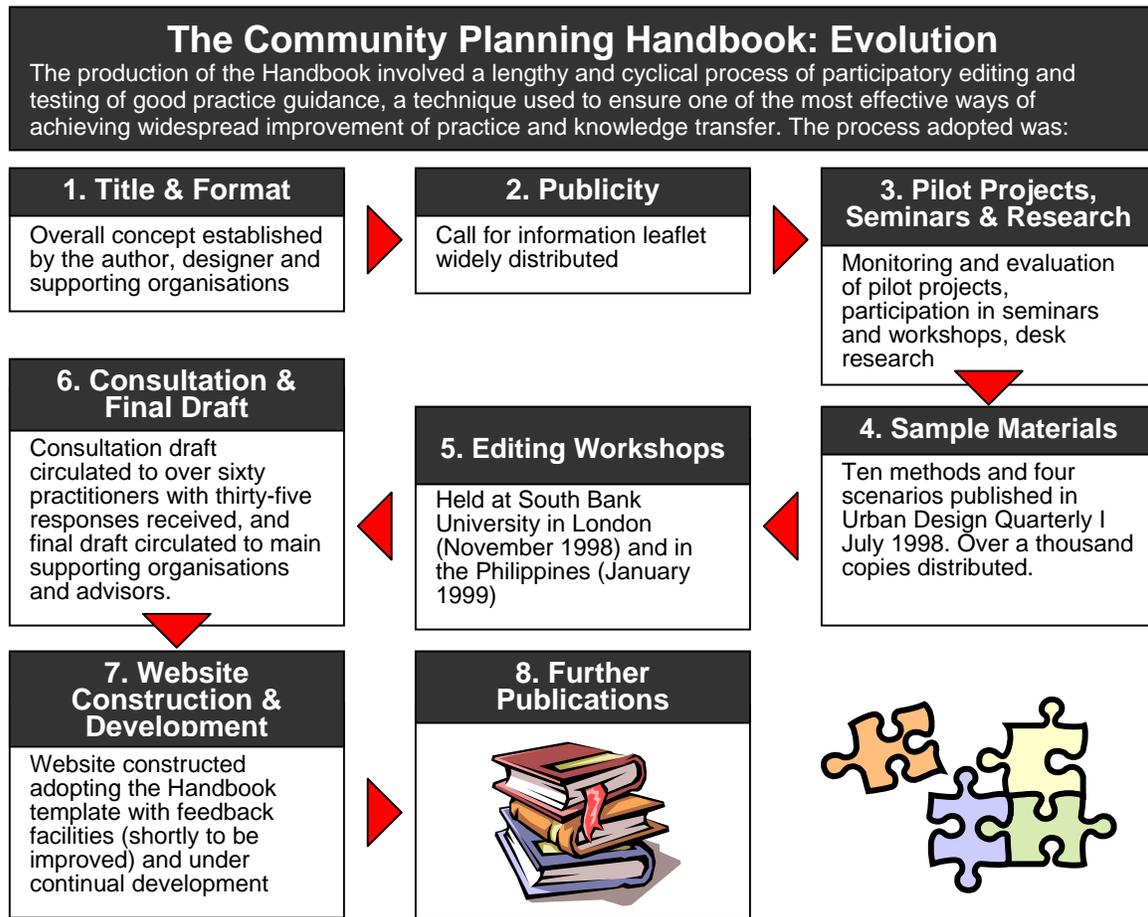
The second, *Urban Design Group Public Participation Programme*, funded by the Department of the Environment, Transport and the Regions (DETR) for England was an action research programme assisting and evaluating twelve public participation events and ten seminars in England during 1996 and 1997 to establish good practice. The Urban Design Group had identified the need to systematically explore ways to involve the public in urban design, had secured research funding and engaged the Handbook's author to be, Nick Wates, to manage this programme.

⁴⁷ See for example Community Architecture; how people are creating their own environment Nick Wates and Charles Knevitt, 1987.

And third, introducing an international dimension, the *Action Planning in Developing Countries Research Project* funded by the UK's Department for International Development (DFID), examined practice in countries in many parts of the world during 1998 and 1999 to establish methods most appropriate for developing countries. Senior urban sector advisers had been very keen on the toolkit's development as a contribution to DFID's international urban programmes and sector knowledge.

The Handbook is, therefore, the product of practical observation and action research with people (citizens, practitioners and professionals) engaged in local participatory activities and methods (the evolution of the book is demonstrated in 2-2-26). Importantly the author provided a single champion for the Handbook from inception to publication and website development. The production of the Handbook was also guided by an advisory group of individuals (expert practitioners from supporting agencies) and many individuals and organisations in the UK and internationally provided support and assistance by supplying material, participating in editing workshops or commenting on drafts. This included a few key individuals involved in the regeneration of Hastings and the Royal Town Planning Institute's Director of Policy, who provided support and provided a bridge to the RTPI's Planning Aid programme (that provides independent advice and support on planning issues to people and communities who cannot afford to hire a planning consultant).

Figure 2-2-26: Evolution



The finalised toolkit is illustrated in Figure 2-2-27, 2-2-28 and 2-2-29 through the annotated reproduction of the Contents, A-Z Methods and the format adopted in the Handbook for profiling and presenting the fifty-three methods.

Figure 2-2-27: A to Z

General Principles A-Z
To understand the basic philosophy of community planning through the General Principles A-Z.

Methods A-Z
To get a feel for the range of options available through the Methods A-Z.

Scenarios A-Z
To see if there are any which relate to your own context or provide inspiration through the Scenarios A-Z.
To sketch out a scenario for your own situation

Appendices
To complete your own strategy planner, action planning event planner or progress monitor
To produce an itemised budget and allocate responsibilities

Figure 2-2-28: Book Format

Method Title

Method's main use & strength

Sample Fliers, posters, newspaper

Sample Formats Timetables, forms, procedures, other detailed info

Features Method's main

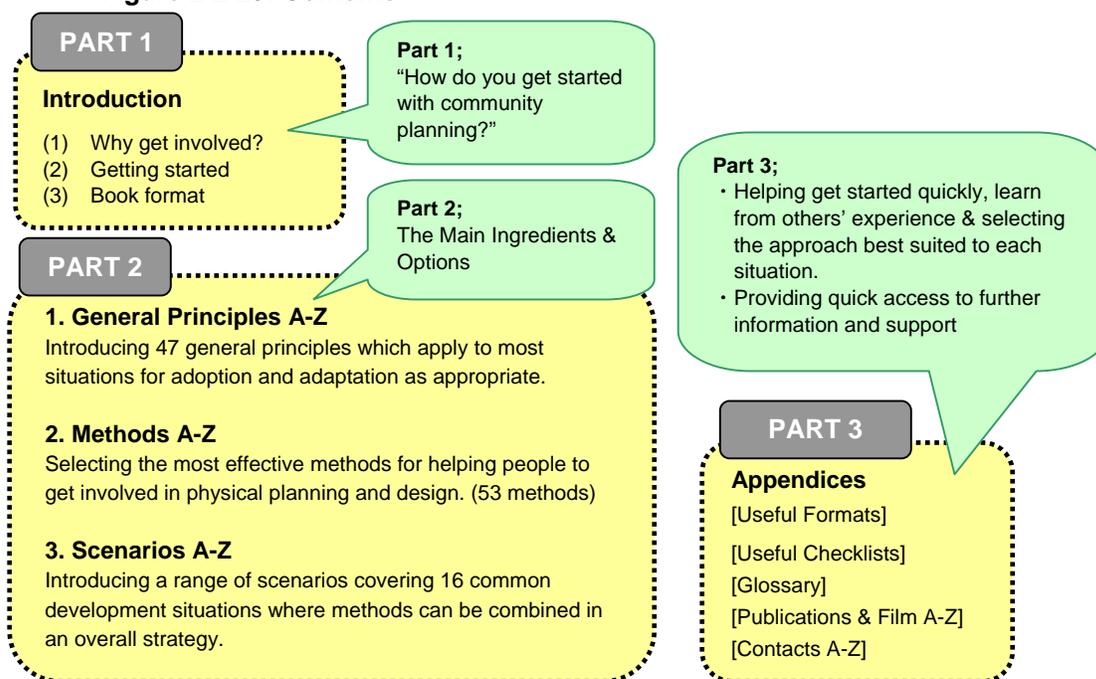
Inspiration & Insight Quotes from participants or observers

Check Lists Roles, equipment lists, etc

Examples Explanatory images

Further Information

Figure 2-2-29: Contents



In common with the development of other toolkits, the Handbook faced two significant barriers to its effective development and local application. The first is cost. There is disbelief about how much time (and therefore money) it takes to produce toolkits well and those involved in developing toolkits have generally limited budgets and a consequent tendency to cut costs (for example by avoiding colour printing and maximising so-called “in-kind contributions”). The budget for *The Community Planning Handbook* was not secured at the outset but mobilised in stages as the work developed. In addition, this lack of funds is compounded by the lack of ongoing commitment (and hence funding) from any one partner and can only be overcome by securing support from new partners. The second barrier, is the difficulty at the early stages of development of conceptualising – or visualising - what the end product could be like.

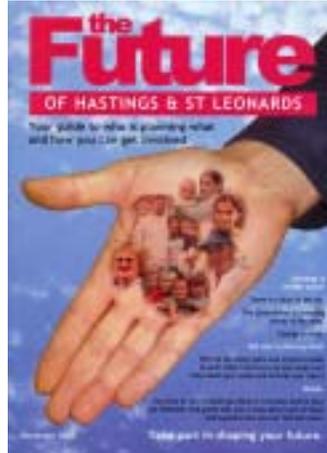
The Handbook is one element in a broader knowledge transfer and acquisition effort, and a range of training initiatives have supported the overall appreciation of community planning and design methods and processes (though training was not undertaken as part of the Hastings programme). This included an Action Planning Forum events programme in 1996 and 1997, a Community Planning and Development Training Programme (which

comprised the development of seventeen one day training modules) initiated by the Prince's Foundation & Civic Trust in 2001 and 2002, and a training service supplied by members of the Hastings consulting team.⁴⁸

3. APPLICATION

Hastings on England's South Coast is typical of towns and cities at the margins of economic growth areas, where former economic activity (in this case fishing and tourism) have been in steady decline. By 2002, Hastings was the

Figure 2-2-30



CONSULTATION RESULTS
"The Future of Hastings & St Leonards: Your guide to who is planning what and how you can get involved"
Produced by Clive Jacotine & Associates with Nick Wates Associates, October 2002

On behalf of Hastings Borough Council
South East England Development Agency
English Partnerships
January 2003

27th most deprived area in England faced with multifaceted problems (of crime, education, housing, exclusion, environment, health, employment) manifesting in:

- A crime rate considerably higher than the national average;
- Low levels of basic literacy and numeracy (25% of people aged 16-60 face these problems);
- A shortfall of over 750 affordable homes each year, over 800 households in severe housing need awaiting assistance, and around 1,100 private homes empty for 6 months or more;
- A multi-racial and multi-cultural town but not a context often reflected in decision making;
- The need to dispose of 30,000 tones of household waste each year in more environment friendly ways;
- Higher than average rates of mental illness; and,
- High levels of unemployment (4.5% compared to a national average of 3.1% and East Sussex average of 2.4%) and unemployment of over 10% in some parts of the area.

⁴⁸ See www.nickwates.co.uk.

The operating environment was conducive to the application of elements of the Handbook. Hastings had been earmarked for regeneration by the regional development agency, the South East England Development Agency (SEEDA), and there was a political environment receptive and committed to the engagement of other key stakeholders in the future vision and plans for the town, including the commitment of the local government (Hastings Borough Council) and English Partnerships (the national regeneration agency). The need to consult on a wide range of planning issues was acknowledged and a team of local consultants (Clive Jacotine & Associates with Nick Wates Associates) were engaged to advise and assist on a coordinated programme of consultation activity.

The Community Planning Handbook and Website were used to assist in the preparation and design of core methods and activities in the coordinated programme (in combination with experience drawn from elsewhere by the consultancy team). The decision to proceed with the programme and the local application of Handbook principles and methods was therefore dependent on a number of factors including the genuine commitment to making progress in the area, the political need to be seen to be doing something constructive, and the tangible end products that were being proposed as an outcome from this enhanced local governance. The availability and track record of the consultancy team in delivering projects was also a critical factor in the decision to proceed. Additionally the local environment was conducive to the adaptation and application of toolkits with both the Hastings Borough Council and SEEDA demonstrating an interest and empathy to good practice guides. Importantly there is a degree of perceived safety amongst local officials in applying and following guidelines that have been sanctioned by the relevant agencies.

At the end of 2002 a month long consultation was carried out on the future of Hastings and St Leonards (and in part neighbouring Bexhill).⁴⁹ It was the most comprehensive such exercise ever undertaken in the area, and to that date one of the most extensive of its

⁴⁹ Consultation Results: the future of Hastings & St Leonards and Bexhill. Main Report (January 2003), Clive Jacotine & Associates with Nick Wates Associates.

kind in the UK. A coordinated approach to consultation on a range of plans and strategies resulted in widespread media coverage which combined with door to door delivery of an umbrella brochure, ensured virtually everyone in the area was aware of the changes taking place and had the opportunity to be involved. Well over 4000 people were engaged in over 35 events including exhibitions, meetings, briefings and workshops. A total of 1,268 written contributions (consisting of over 150,000 words) were received.

The consultation programme was initiated by the Hastings and St Leonards Local Strategic Partnership so the local community could understand and influence the choices facing the town at a time of major change. A substantial physical regeneration programme was about to commence (with a total estimated value of £380 million)⁵⁰. A number of related plans and strategies were being developed to guide the regeneration programme. To avoid overwhelming the public with separate consultations on each of the components it was decided to conduct a single coordinated consultation programme. The centrepiece of the consultation focused on the draft Community Strategy for Hastings and St Leonards and a draft Masterplan for the wider area (including Bexhill). The consultation was jointly funded by the three main funding partners; Hastings Borough Council, SEEDA and English Partnerships. The total estimated cost of the consultation was around £150,000 (including consultants fees, graphics and printing, room and equipment hire, and so on).

The programme was designed with four objectives in mind: to provide information, encourage involvement, secure informed feedback and build capacity. The last of these objectives sought to lay the foundations for a continuing engagement process by building on existing networks and events, helping people to work together and developing the capacity of individuals and organisations in the community.

Whilst the *Community Planning Handbook* was not specifically adapted for the process, it was used for developing the community engagement strategies and providing a

⁵⁰ By March 2006 £66.5 million had been committed from government and other public funding sources, and the EU. A further £210 million is in the pipeline for road and rail infrastructure improvements around Hastings, with anticipated private sector leverage in excess of £100 million.

foundation for the application of specific methods. Copies of the Handbook were made available to many of those involved in the process. Of particular interest is the way in which the broad nature of the consultation required the application of a range of methods in order to fulfil the objectives. Figure 2-2-32 lists some of the techniques that were used and Figure 2-2-31 illustrates the implementation timeframe. The approach and methods were selected by a Project Management Group established by the three funding partners (Hastings Borough Council, SEEDA, English Partnerships) following recommendations by the consultants based on interviews with key stakeholders in Hastings, experience of previous consultation in the town and experience of consultation initiatives elsewhere.

Figure 2-2-31: Implementation Timeframe

PHASE	PURPOSE	ACTIVITIES	TIMING
1. Getting started	Determine objectives, process and partners.	Consultants' report. Meetings between parties. Form Project Management Group.	Aug/Sept 2002
2. Preparation	Assemble draft plans and strategies and communicate them to the general public.	Participatory production of consultation material in print and on the internet. Event planning.	Sept/Oct 2002
3. Consultation	Public involvement	Publicity, exhibitions, meetings, written responses.	Nov/Dec 2002
4. Analysis	Presentation of results to main stakeholders.	Consultants' reports. Consideration by client organisations.	Dec 02/Jan 2003
5. Follow up	Ensure the public's views are publicized and taken into account in revised plans.	Town meeting. <i>About</i> magazine and internet publicity. Exhibition. Revision of plans.	Feb/Mar 2003

Figure 2-2-32: Combining Methods for Comprehensive strategic Local Consultation

Combining Methods for Comprehensive strategic Local Consultation	
The consultation programme included the following features:	
Information Brochures	Production of high quality printed brochures on each of the main regeneration strategies and plans, including 50,000 copies of <i>The Future of Hastings & St Leonards</i> and 25,000 copies of <i>Towards a Masterplan for Hastings and Bexhill</i> . All materials produced through participatory editing by key stakeholders. Available free of charge at all consultation events and at information centres and libraries. The umbrella brochure summarising each of the plans and outlining the consultation process was distributed to every household at the start of the process.
Marketing Campaign	Posters, advertising, securing press and television coverage to raise general awareness and inform people about the consultation programme. Activities ranged from posters along the entire Hastings and St Leonards seafronts (100 poster sites for 4 weeks) to a mobile caravan unit with exhibition material and publications for use at exhibitions and events.
Briefing Sessions	On the main plans and strategies for key audiences in the public, private and voluntary sectors. (13 sessions held)
Community Consultants Recruitment	Training and support for volunteers (particularly from 'hard to reach' constituencies) to help people in those constituencies engage successfully.
Staffed Exhibitions	At key public venues; stations and shopping areas. (4 one-day sessions held)
Public Meetings	Presentations followed by question and answer sessions with a panel of council members and officers. (3 held)
Questionnaires	Tear-off reply paid questionnaires in publicity material to elicit written views and build up data on people's requirements.
Citizens Panel	Comments on the community strategy invited by postal invitation from a sample of 1,226 members of the community.
Local Consultation Events	Half-day drop-in events with staffed exhibitions and workshops focusing on the local neighbourhood (four held in priority wards plus an extra one on request).
Local Forum Events	Meetings of local neighbourhood forums in the priority wards building up to and following on from the local consultation events.
Special Interest Group Forums	Encouragement to groups and organizations to debate the issues and submit views.
Peer Group Working	One to one discussion and informal interviews by community consultants.
Outreach Activity	Small group discussions with hard to reach groups, assisted by the community consultants.
Interactive Websites	Information and questionnaires on websites allowing people to receive and provide information electronically.
Regeneration Centre	Opening of a shop in Hastings town centre by SEEDA providing a permanent base for information on regeneration. A total of 788 visits with 245 recorded interest over October to mid-December
Permanent Displays	Permanent exhibition panels on the masterplan mounted at key public venues (two in Hastings and one in Bexhill).
Schools Programme	Project based consultation with pupils in schools.

Response to the questionnaire brochures indicated widespread support for the draft community strategy and substantial support for the Masterplan, together with widespread public support for the general thrust of other plans and strategies. In line with other successful community planning exercises however, the overall value of the month of activities had a broader and deeper affect on local governance. The consultation programme not only played a valuable role in focusing the thinking of all those involved in the regeneration of the area and clarifying the many proposals, it also promoted partnership working. The programme succeeded in making people aware of the possibilities for the future of the area and generating debate and providing opportunities for people to make their views known (including many hard to reach constituencies such as the Black and Minority Ethnic (BME) community and the elderly).

4. OUTCOMES AND LESSON LEARNING

The impact of the “soft” processes of consultation and participation, and the enhancement of local governance, are difficult to quantify and attribute. They are one significant part of a broader approach to the ways in which cities, towns and villages are planned and managed. What both the Handbook and its application in Hastings do clearly demonstrate is the demand and acknowledged need for such processes.

Figure 2-2-33: Council Leader Jeremy Birch at a public exhibition in the main Hastings shopping centre



At the local level, through the application of principles and methods in Hastings, a number of significant outcomes and improvements to the quality of life were achieved. These included:

- The Community Strategy was revised and adopted and a further consultation has recently been undertaken to review the Strategy three years on. Significantly,

consultants were not required for this second round task indicating that appreciation, understanding and the capacity to implement effective civic engagement activities has to some degree been institutionalised in the local authority.

- Some of the “early wins” included in the Masterplan have been implemented (such as the construction of a media centre and Marina Pavilion) and others are at an advanced planning stage (including an improved Station Quarter). Overall there is a constructive atmosphere and enthusiasm for the regeneration, despite the programme being jeopardised by the introduction of some major schemes, such as a major new building on the beach, which was not the subject of consultation during the December 2002 consultation month. This further emphasises the significance in meaningful civic engagement.
- The Housing Renewal Area in St Leonards has been adopted and progressed and local action plans were adopted and considerable progress made on their implementation. Indicative of this success: unemployment is falling and wage rates are up; crime has dropped by 50% over a five year period; 75% residents now express satisfaction with their neighbourhood; teenage pregnancy and child poverty has fallen; and, house prices are increasing at a higher than sub-regional rate and 250 properties have been improved by an initiative known as “grotbusters”.
- The Hastings Millennium Community (a project to create vibrant neighbourhoods on under-used land near train stations) is being progressed with construction of initial phases due shortly.
- The voluntary sector has become increasingly active with the creation of a number of new email groups, initiatives and organisations, indicating the longer term sustainability of inclusive and participatory processes.

More broadly, community planning principles and methods are now incorporated in the UK's planning system and Planning Aid is now funded by central government based on the community planning remit.⁵¹ In response most urban design and architectural practices now include community planning as part of their service. Whilst there is still much progress to be made, in less than a decade there has been measurable shift in thinking, processes and approaches to getting local citizens and other key stakeholders centrally involved in the future of their homes. No longer is city management a by-product of government, but a more inclusive process of governance. Whilst the Handbook is not a single cause of this shift, it has both played a significant part in, and is itself a product of the gradual institutionalisation of one the key pillars of good governance, civic engagement and citizen participation.

There are a number of practical operational lessons from the development of this Handbook:

- *Need for long term institutional commitment and funding:* there are problems with ensuring and maintaining ongoing commitment and funding from organisational partners, over the longer term, underlining the longer term development needs of toolkits to keep up-to-date, relevant and user-friendly.
- *Need for more resources for further development and evaluation:* problems with the Handbook's broader dissemination including the translation to other languages (including Italian, Spanish, and Japanese). Without detailed support these efforts rarely materialise though recent developments in automatic translation facilities for web browsers may help overcome these problems. However, the Handbook clearly has the capacity for replication and application elsewhere given an understanding of toolkit structure and methodology as well as local/regional context. Further translations and adaptations are planned. A Japanese translation is now available and

⁵¹ Planning Aid offers free and independent planning advice for individuals and communities with low incomes and who cannot afford advice from other sources.

is set for publication. The Handbook is already influencing the development of practice and educational material in Japan.

Figure 2-2-34: Exhibition at TESCO Supermarket



- *Development process*: retrospectively, the preferred development approach would be reversed, starting from the development of an interactive website, building the layers of knowledge and then publishing in print media. The website is being regularly updated, revised and improved and interactive feedback facilities on the website are being planned (for example by providing templates for information required in each section)
- *Importance of investing in high quality design and visuals in toolkits*: it was considered of fundamental importance to produce a toolkit that was visually, engaging, accessible and inspiring. The Handbook was, in part, a reaction to the relatively large amount of good practice guidance that tends to be more limited in use due to its development on the basis of anecdotal evidence and the text-dominant presentation and format.
- *User groups*: Based on largely anecdotal evidence it appears that community development practitioners and those involved in organising community consultation activity find the Handbook of most use. However it is used by people from all walks of life, thus achieving its aim of making the subject accessible to all.

CHAPTER III

DEVELOPING MODEL TOOLKITS

What's Necessary & What Isn't?

INTRODUCTION

A model toolkit is perhaps “in the eye of the beholder”. The proof and efficacy of toolkits lie in their (successful) application and impact. As the case studies and discussion in this report imply, it is difficult to provide an accurate detailed portrait of a single “model toolkit”. There are two main reasons for this. Firstly, much depends on the intended users, the issue in question and the processes it is seeking to influence. Reflecting on the types of toolkits presented in section 1 for example, it is clear that so called “process toolkits” (and technical manuals designed largely for practitioners) have a different focus and presentation format to “methods catalogues”, though both may be equally successful in supporting the promotion and enhancement of good governance at different levels. Secondly, the application, usefulness and impact of toolkits are in general terms poorly monitored and evaluated. In many cases the production of a toolkit is the conclusion of a process, rather than a beginning in a new cycle of application and learning.

The different types of toolkits presented in Section 1 and the presentation of the detailed cases in Section 2 underline that toolkits are as many and varied as the issues and users to which they respond and support. It is possible, however, to draw some general principles and guidelines in the development of toolkits and the way they are packaged and presented. Model toolkits, or “good practice” in the development and application of toolkits, consists of three distinct but related sets of considerations. These may appear obvious at first sight, but in reality require careful thought and multi-stakeholder input (a reflection of good governance in their own right):

What issue or need is the toolkit addressing? The success or failure of a toolkit is likely to hinge on getting this initial stage right. It is at this stage that the demand, need and

issues to be addressed is framed, the (potential) users identified, and the tools and techniques to support a response are drafted. As the case studies suggested this varies from the needs of Mayors and local authority officials in the Sri Lankan case study cities to the aspirations of residents in Yokohama. A toolkit is only as good as the situation analysis that identifies and generates its need.

What steps have been taken in the development of the toolkit? This stage in toolkit development and application requires, above all, that the end users are involved. As the case studies suggested this can range from residents (with no previous exposure to participatory decision-making) to training institutions, local government officials and practitioners in NGOs and community based organisations.

How has the toolkit been adapted and applied, and how is it being reviewed and revised on the basis of this application? As both the cases from China and Sri Lanka emphasised, toolkits require a “reality check”: are model procedures and processes applicable to particular cultural and social contexts? More importantly, it is critical to ensure a continued cycle of learning and improvement in toolkits based on practical, hands-on, application.

A number of practical recommendations arise from these considerations:

1. Identify the problem (and need) accurately

All toolkits start from a common platform. There is an issue or problem that needs to be addressed. It is only by identifying the problem correctly that an effective toolkit can be developed. There are a huge number of challenges faced by urban dwellers - problems range from inadequate or absent tenure rights, the inadequacy in the design and construction of new housing, to the inequality and barriers faced by women – and many of these barriers to local good governance are related. The role of a toolkit is to accurately assess what the common barriers or problems are and find appropriate solutions. For example if the problem is a lack of access and openness in local decision making to ordinary citizens, it may be necessary not just to signal or develop techniques to overcome this that can be taken up by local NGOs or community based organisations,

but also to sensitise local officials on the significance of multi-stakeholder decision-making and providing them with the tools to develop an effective interface between local (or national) government and citizens.

2. Ensure the toolkit is designed for the user(s)

Arguably the most significant characteristic of a model toolkit is an accurate understanding of who the principal users will be. Very simply *who is it for and how will it be used?* As mundane as this question may appear, it remains commonplace to see toolkits that claim to meet the demands of multiple (and very divergent) user groups (from central government officials, locally elected representatives and policy-makers to community based organisations). It is inconceivable that (as in most cases) a single document will, and can, be used effectively and appropriately by such divergent groups. The effectiveness of a toolkit is in large part governed by how it speaks to its users. It is critical therefore that a reasonable assessment is made of what the target audience is and involves these users in the development of the toolkit.

3. Make sure the toolkit is user friendly

Good local governance, and the promotion of participatory urban decision-making in particular, not only requires an understanding of different techniques in harnessing broad-based local involvement, they more importantly demands a step change in attitudes to letting ordinary citizens into the decision-making process. Such attitudinal shift is unlikely to be achieved at any level through lengthy, (often impenetrable), text-driven manuals justifying new ways of doing business. Regardless of the user therefore there are some basic principles in toolkit design and presentation:

3-1. Inspire and help visualise: toolkits have a pivotal role in inspiring change and providing a “can-do” attitude. Even amongst seasoned practitioners and professionals there is, as the UK example suggested, difficulty in imaging what a final toolkit product might be like. Carefully selected images (including photographs, diagrams and sample formats) can radically transform straightforward ideas and provide catalytic images in the imagination of potential users’.

3-2. Short, easy to read and accessible: few people (whether government officials, technical practitioners or local community activists) have either the opportunity or inclination to plough through long, text heavy, documents. Subjectively, these tend to suppress the imagination. As a rule of thumb, text that is jargon-free and accessible (and hence characterised by simplicity) has the broadest potential audience and the best potential for supporting a shared meaning on the role and significance of local governance.⁵² Simplicity, does not imply shallowness, but suggests the presentation of complex, challenging and innovative practice in a form that generates interest and inspires, is in an appropriate format and is the right length.

4. Provide flexibility in application and the future evolution of the toolkit

Many toolkits, especially the category referred to in section 1 as “methods catalogues” emphasise the importance of flexibility. Flexibility comes in two respects. The first is the flexibility of application. These types of toolkits are offered as ideas and as a range of methods that can be both adapted to the local context and combined in a manner that is tailored to the local circumstances (for example, the case from Sri Lanka emphasised the significance of appropriately tailoring “city consultation” tools to the local cultural and political context). The second is flexibility in updating, revising and building the toolkit based on concrete examples – that is the reality (often difficult and messy) of applying local participatory decision making processes. Therefore documenting of these examples would be another important factor. As the UK study suggests, where access to the web is commonplace it

Figure 3-1: The Community Planning Website



⁵² This is a prerequisite given the challenges of converting and sharing different types of knowledge (especially tacit knowledge). The process of creating explicit knowledge (concepts, methods, experience and approaches) from tacit knowledge, that can subsequently be shared, is the single most important process in knowledge creation; in part this is the challenge in identifying and documenting good practice and converting this into useable tools.

is perhaps preferable to opt for an electronically available resource first, thus providing time for the development and refinement of ideas as the reality of applying methods and techniques is tried (and revised) in practice. This offers a potentially more cost effective method of continual development (as Figure 3-1 in section implies) and an interactive resource, than more expensive print media (important as this is). Clearly there is a balance to be struck on accessibility. The UK case concludes with the recommendation of commencing with electronically available versions first and then moving towards more inflexible print copies.

5. Toolkits should be a reflection of, and grounded in, reality

All the case study toolkit development processes in some way involved the (potential) end users. This is a critical step to developing user friendly, accessible, resources. With the exception of the case of Yokohama City (which was tailor made for its citizens) the case studies also demonstrate that the majority of toolkits are in fact extracted from methods that are already being tried and tested in cities throughout the World. By drawing upon on-the-ground the evidence, the potential of further local application and delivery is strengthened. Toolkits at their best support the germination of adapted methods and techniques – helping disseminate and encourage the growth of new ideas and new ways of working. They are not blueprints setting out rigid steps, but rather

**Figure 3-2: Editing Workshop:
Blown up photocopies of book pages printed
on the wall allow people to write in comments
& amendments**



pathways for navigating through common challenges in the management and planning of cities.

The development processes themselves (involving a range of working and focus groups, research and study processes, and participatory editing ⁵³) are examples of good governance in action

⁵³ The UK case study employed a participatory editing method for adjusting the finalised Community Planning Handbook. This is a simple technique of wall mounting enlarged sample text and illustrations and seeking written feedback from focused groups of ideally between five and twenty persons.

bringing relevant stakeholders together to share experience and craft tools.

6. The development of toolkits takes time and money

As the case studies suggest, the development of toolkits is a lengthy, and often expensive, business. All took a minimum of a year (some involving five plus years) to produce and involved detailed discussions with relevant stakeholders. The cost of toolkit development is more difficult to ascertain. Like any media that is designed to inspire and fill the imagination, toolkits are resource hungry (in terms not just of cost but of the considerable joint effort that goes into their development). Toolkits focused on the ‘soft’ processes of decision-making are often regarded as something of a luxury (a bolt-on, a vehicle for summarising and sharing lessons learnt, or a response to a crisis or problem), are notoriously difficult to assess in terms of impact and cost-benefit, and are often produced on limited (and in some cases uncertain) budgets.

7. Toolkits should support the development of user networks, and in turn enhance the effectiveness of the tools

Most research on the dissemination of knowledge (including the role of toolkits) reaches the same conclusion: in order to be effective the type of knowledge to be shared needs to be matched with the appropriate method of dissemination and the circumstances and needs of the identified target audience. At the most basic level this means sharing knowledge in the right place,

in appropriate language(s) and easily understood formats. The simple rule of thumb is that the higher the grade of knowledge the lower tech the dissemination solution will be. Whilst not always logistically feasible in terms of cost or time, there is widespread agreement that face-to-face interaction (or at least ear-to-ear interaction) is the best method of transferring (especially tacit) knowledge, and to which all other methods and

Figure 3-3: Participation Toolkit; Toolkit Partnership (Website)



approaches aspire⁵⁴. This underscores the view that to successfully replicate techniques and methods offered in toolkits elsewhere, there may often be the need to “see, feel, touch and smell” a good practice⁵⁵. In short, toolkits should be considered as one element in a broader knowledge based advocacy of local good governance. As the snapshot of the web-based *Participation Toolkit* (Figure 3-3) presented, its network development potential was identified by its promoters as one of its key attributes.

8. Toolkits and institutionalising good governance

The issue of institutionalisation is often raised, especially amongst external support agencies responsible for the implementation of programmes where support materials and toolkits are deployed. Institutionalisation is a significant issue in ensuring that the enhancement of local good governance is not temporary and that the experience and experimentation of new processes and methods are not lost. As the International Institute of Environment and Development suggest there are “many participatory projects that involve citizens and local government in localized decision-making but which do little to change government processes ... not all participation, even participation involving government agencies and officials, is participatory governance if it is limited in scope, scale and space.”⁵⁶ At the same time, good governance is most unlikely to prove a once-and-for-all occurrence. Clearly there are ways of conducting the business of government that can be improved and can be legislated for, and for participatory governance to be made a statutory obligation and right, bounded by laws, regulations, rules and procedures. However, good governance is not an end point but rather a dynamic process of ensuring open, equitable and inclusive processes of decision-making that will continue to evolve. Toolkits are a small, but significant part, in this architecture of local decision-making, and of ensuring that a cycle of learning, change and development continues.

⁵⁴ *Common Knowledge: How Companies Thrive by Sharing What They Know*, N. Dixon (2000, Harvard Business School Press); *If Only We Knew What We Know: The Transfer of Internal Knowledge and Best Practice*, C. O’Dell and C. Jackson Grayson (1998 Free Press).

⁵⁵ ‘Poverty Reduction Practices: ESCAP Strategies in Poverty Reduction. Transfer of Good and Innovative Practices’, Committee on Poverty Reduction, UN Economic and Social Commission for Asia and the Pacific, 8-10 October 2003.

⁵⁶ Reshaping local democracy through participatory governance, Environment & Urbanization Brief – 9, April 2004.

CONCLUDING REMARKS

This report has sought to demonstrate the variety of toolkits available. This variety is expressed in a number of ways. In the issues and needs being addressed, in the potential toolkit user groups, and in the size and complexity of the cities, town and villages in which toolkits are being applied (and the geographical diversity of this application). Variety is also expressed in the length of time it has taken both to develop and apply these toolkits and the final form they have taken (ranging from toolkits consisting of multiple sourcebooks with supporting training materials, to short single volume and easily digestible guides). The conclusion is very simply there is no one-way of tackling good urban governance through toolkits, and there is certainly no “one-size-fits-all” approach to toolkit development and structure. Toolkits are, perhaps, a mirror reflection of governance itself in tackling complex, messy, sometimes confusing and often daunting issues in how human settlements are managed, planned and governed.

In spite of this variety, the toolkits presented share a straightforward purpose and goal. How can ordinary people and a range of other stakeholders best play a constructive, proactive and meaningful role in the life of their human settlements? And what role does participatory decision-making have in ensuring this involvement, and how can it be best achieved? The answer given through these toolkits is there are a variety of techniques, tools and methods that are drawing people together with a common (and participatory) purpose. Toolkits help support this experimentation and learning by providing confidence and sign-posts as to how things might be done; but they are a means to an end, not an end in themselves. Toolkits have an instrumental role in supporting the development of capacity for participatory decision-making in local government, and they have a critical purpose in facilitating understanding of how local government operates and how good governance can be a force for positive change.

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⁵⁸ This case study has drawn on a number of sources, including: *Planning Guide for Local Sustainable Development in China*; Outline of Sustainable Development Planning for Overall Building Better-off Society Project in Yangcheng County, Shanxi province, China; and, EMCP Project Report. The Yangcheng planning team has also provided valuable information about the project implementation process. Other key contacts for this project are Mr. Pan Xiaodong Local Development Division, The Administrative Centre for China's Agenda 21(ACCA21) and Prof. Liu Weidong The Institute of Geographical Science and Natural Resources Research of the Chinese Academy of Sciences.

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⁶⁰ This case study has been prepared by Nick Wates and Ian Munt. Nick Wates is a leading authority on community involvement in planning and architecture. As an independent writer and practitioner he has participated in, and chronicled, its development for over 25 years. His most recent book is *The Community Planning Handbook* (Earthscan, 2000). Previous books include *Community Architecture* (Penguin, 1987, with Charles Kneviatt) and *Action Planning* (POWIA, 1996). All three have been widely translated.

ANNEXES

ANNEX I - Good Urban Governance Principles

UN-HABITAT and UNDP (through “The Urban Governance Initiative”) have developed a set of principles or characteristics of Good Urban Governance. The summary table below is based on UN-HABITAT’s approach (and revised from a table appearing in UNESCAP’s “Guidelines for Documenting Innovative Practices in Pro-Poor Public-Private Partnerships”).

PRINCIPLES	OBJECTIVES/INDICATORS
Citizenship and Civic Engagement	<ul style="list-style-type: none"> • Effective leadership for public participation and ethic of civic responsibility • Stakeholder involvement and responsibility • Democratic culture (e.g. participatory decision-making through neighbourhood committees) • Equal contribution of men and women
Efficiency	<ul style="list-style-type: none"> • Partnerships with private sector and civil society • Find innovative means of service delivery • Fair and predictable regulatory frameworks to encourage commerce, investment and the informal sector • Clear objectives and targets for provision of public services • Efficient and effective local revenue collection
Equity and Empowerment	<ul style="list-style-type: none"> • Equitable principles for infrastructure/services priorities and pricing • Remove barriers to secure tenure and supply of finance • Address specific needs of vulnerable groups, including poor • Gender equity in access to decision-making, allocation of resources and service delivery • Ensure by-laws and policies support the informal sector
Security	<ul style="list-style-type: none"> • Effective environmental management • Disaster preparedness • Crime control and prevention • Security of tenure and livelihoods • Promote employment generation, credit, education and training
Subsidiarity	<ul style="list-style-type: none"> • Responsibilities delegated to local authorities • Authorities are responsive to their communities • Empower civil society to participate effectively
Sustainability	<ul style="list-style-type: none"> • Balance social, economic and environmental priorities • Consult with stakeholders/communities to agree long term vision and strategies • Promote integrated planning and management • Integrate development plans and poverty reduction strategies • Maximise the contribution of all sectors to economic development
Transparency and Accountability	<ul style="list-style-type: none"> • Transparent and accountable decision-making and tendering processes • Regular open consultation with citizens • Independent audit • Right of access to information • Level playing field for investors • High standards of ethics and professional conduct • Remove incentives for corruption

ANNEX II

Adaptation of Toolkits to Enhance Local Governance and Case Studies in Selected World Cities

Template for the Completion of City Case Studies

SECTION A - CONTEXT AND SUMMARY OF THE CASE STUDY

(A.1) What is the name of the toolkit/case study?

(A.2) Where is the toolkit/case study being applied? (Clarify whether it is designed to cover the whole city, the city and its surrounding, or areas within the city)

(A.3) What is the main focus and objective of the toolkit?

(A.4) Briefly provide details/description of the city in which the toolkit is being applied (such as population, geographical location, economy etc)

(A.5) Briefly describe the ‘operating context’ in which the toolkit has been developed and applied. (For example, this could include the political, legislative, policy and administrative context relevant to understanding the need for the toolkit and the impact of its application).

(A.6) Quantify the impact that the toolkit has had, or is intended to have (for example such as the number or % of the population that will benefit from its application, or the estimated/actual economic benefits from its application).

(A.7) When did the development/adaptation of the toolkit commence?

(A.8) How far has the development, adaptation and implementation of the toolkit progressed?

(A.9) What was the overall cost/budget of the development and implementation of the toolkit, and what were the source of these funds?

(A.10) What are the names and contact details of persons/partners involved in the toolkit

development and implementation? (Please include names, positions, institution, telephone, email and website addresses)

SECTION B - INITIATION OF THE NEED FOR A TOOLKIT

(B.1) What are/were the needs, issues or opportunities that led to the development of the toolkit? Who identified those needs? (Briefly describe the local, and if relevant, the national setting in terms of social, economic and environmental characteristics relevant to the focus of the toolkit. Please provide any facts/figures that help explain the need for the toolkit)

(B.2) Who were the key players/stakeholders (individuals, institutions, organisations etc) involved in initiating the need for a toolkit? Indicate the individuals/organisations directly involved and those who played leadership roles. Was there a 'champion' of the toolkit?

(B.3) Were there additional stakeholders (individuals, institutions, organisations etc) involved in initiating the need for a toolkit? Indicate the individuals/organisations indirectly involved in, for example, providing overall support or advice on the need for a toolkit.

(B.4) What motivated their decision to proceed with the development of the toolkit?

(B.5) Was the concept of a 'toolkit' for addressing local development needs well known in the city/area?

(B.6) Was there support for the initiation of the toolkit from the local government, private sector, community groups etc, and what form did that support take and at what level (ie senior management, middle management, field workers etc)?

(B.7) Were there any barriers that needed to be overcome to convince others of the need and usefulness of the toolkit?

SECTION C - DEVELOPMENT AND/OR ADAPTATION OF THE TOOLKIT

(C.1) Who were the key players/stakeholders (individuals, institutions, organisations etc) involved in developing the toolkit?

(C.2) Were there additional stakeholders (individuals, institutions, organisations etc) involved in developing the toolkit? Indicate the individuals/organisations indirectly involved in, for example, providing overall support or advice on the need for a toolkit.

(C.3) Was the toolkit an adaptation of an existing toolkit (such as a United Nations 'global' toolkit or a toolkit promoted by national government) or a locally developed, 'tailor-made', toolkit?

(C.4) What are the principal methods (or method) that the toolkit is using? (There may be a variety of methods or techniques that are being developed and promoted to meet a particular need)

(C.5) Who are/were considered to be the main future users of the toolkit? (For example local government officers, local community organisations, citizens and so on)

(C.6) What steps were taken in the development of the toolkit? (Describe the framework or method(s) that was used in its development, this might include project, working or focus groups, community meetings, exposure events etc)

(C.7) Describe any problems that were encountered in the development of the toolkit and how they were overcome?

(C.8) Was the need for training, or other ways of preparing users, in the use (or understanding) of the toolkit considered to be necessary during the development phase? How were these needs addressed? (For example were training courses, exposure events and so on developed or planned?)

(C.9) What form does the finalised toolkit take? (Describe the format such as text based, electronically available and so on)

(C.10) **How long did the toolkit take to develop?**

(C.11) **Were resources/funds identified for the development of the toolkit and what were the level and source of these funds?** (Specify in as much detail the actual cost and cost-equivalent of the development process. For example, how many work days were used in its development)

SECTION D - IMPLEMENTATION AND USE OF THE TOOLKIT

(D.1) **How has the toolkit been distributed and shared amongst users and potential user groups?**

(D.2) **Describe the issue(s), need(s) or project(s) to which the toolkit has been applied?**

(D.3) **What have been or will be the main elements and stages in the implementation or use of the toolkit?** (For example what have been the most important components and activities in its implementation?)

(D.4) **What issues have arisen in relation to the toolkit and the various users/partners? How have these issues been addressed?** (For example, has one group of users found the toolkit more useful than another user group, or has the toolkit been revised and/or developed during its use)

(D.5) **What significant operational problems have been encountered in the implementation or use of the toolkit? How have these problems been addressed?**

(D.6) **Which users found the toolkit most useful and how has this been assessed or quantified?**

(D.7) **Are there methods or techniques that arise from the implementation or use of the toolkit that could be considered new and/or innovative?**

(D.8) **What was the total budget for the implementation of the toolkit and what was the source of these funds?** Specify in as much detail the actual cost and cost-equivalent (for example, how many work days were used in its development) of the implementation phase. Where possible disaggregate these costs to demonstrate where funds have been spent (for example in training events, printing and dissemination, staff costs etc).

SECTION E - OUTCOMES ARISING FROM THE APPLICATION OF THE TOOLKIT

(E.1) What are the main observable outcomes to date from the implementation or use of the toolkit? (Briefly describe all the main outcomes, good and bad, planned or unplanned, direct or indirect. Can these be quantified such as the number or % of the population benefiting from the implementation of the toolkit?)

(E.2) Has/is the toolkit achieving its objectives and why? (What have been the main reasons for success or failure in achieving the objectives? Can factors that have been critical to success or failure be identified?)

(E.3) What difference has the toolkit made to the issue, need or opportunity it was seeking to address? (For example, such as the quantity or quality of service delivery or the provision of infrastructure, equity between men and women, the level of engagement of citizens in local decision and plan making etc. Wherever possible provide clear evidence, objective quantitative or qualitative indicators, of the impacts that might be 'attributable' to the presence and application of the toolkit)

(E.4) Has the toolkit resulted in the 'institutionalisation' of the approach it is promoting? (For example through the development of new policy and legislation, the development or establishment of new organisational units or structures, the development of now municipal-community partnerships etc)

(E.5) Has the outcome and impact arising from the implementation or use of the toolkit been lasting?

(E.6) What unplanned or unexpected outcomes have occurred from the implementation or use of the toolkit? ('Secondary' outcomes might vary from the sharing and application of the toolkit by other cities nationally or overseas, the initiation and development of toolkits to cover other needs and issues, to new forms of partnership or organisational structure emerging).

SECTION F - EVALUATION, LESSON LEARNING AND REPLICATION

(F.1) Has the toolkit and its implementation or use been evaluated and how? (Record the quantitative or qualitative output of the evaluation or feedback, who designed the evaluation and who carried it out etc)

(F.2) Has the toolkit been revised on the basis of the evaluation or feedback? (Describe the nature of these revisions, who has led these revisions and how other stakeholders have been involved?)

(F.3) What are the key lessons learned from the initiation, development and implementation of the toolkit to this point?

(F.4) How cost effective has the development and implementation of the toolkit been? Has an evaluation included a cost-benefit analysis?

(F.5) What would be done differently in the development and implementation of the toolkit with the benefit of hindsight?

(F.6) Has toolkit been shared elsewhere (with other partners, institutions, cities etc)?

(F.7) Does the toolkit, or any elements that make up the toolkit, have the potential of being replicated elsewhere? (Consider whether the toolkit and the need or issue which is addressing, is only applicable to a particular circumstance, location or context)

(F.8) What would be the pre-requisites for replication? (This might range from the need for political support to the necessary resources, institutional capacity and availability or enhancement of skills amongst key participating partners/stakeholders)

(F.9) What are the next steps in the development and use of the toolkit?

(F.10) Would you be willing to share your experience further and have you any suggestions for doing so (locally, nationally and internationally)?

(F.11) How would you classify the toolkit (in terms of its objectives and the needs, issues and opportunities that it is seeking to address) in terms of the 'good governance' criteria (shown in Annex 1)? (The toolkit may be relevant to more than one criteria)

SECTION G – CONTACTS AND OTHER INFORMATION

(G.1) Who was responsible for completing this case study? (Please provide full contact details. Full acknowledgement will be given in the final report)

(G.2) What is the relationship of the author(s) to the toolkit being assessed?

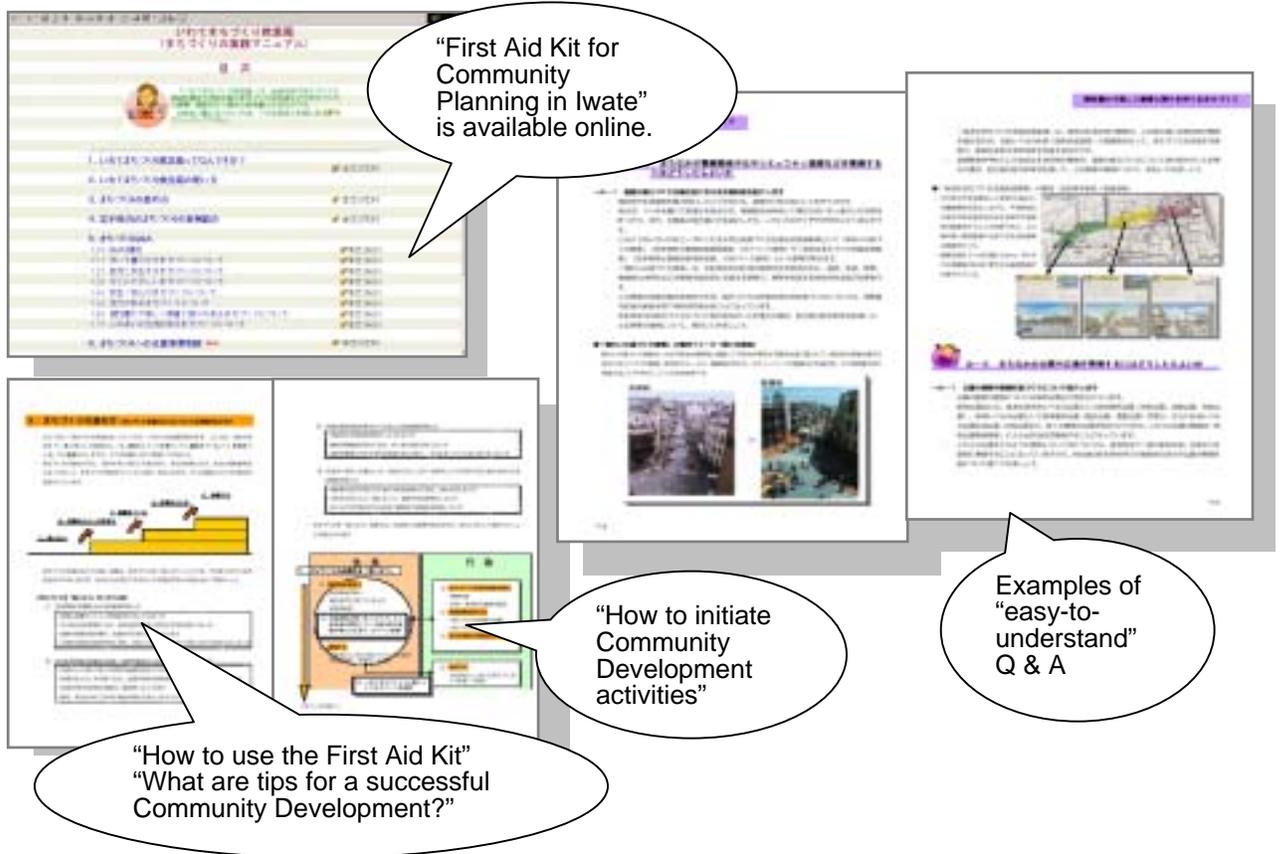
(G.3) What sources of information have been used in completing this case study? (Please provide as

full details as possible, listing all published and/or publicly available sources either in text or electronic form)

(G.4) If illustrative material (such as photographs, tables, graphs, sample materials etc) is attached to the case study documentation, please ensure that all such supporting materials is clearly referenced (for example, photographs are supplied please specify the context of the photo, what it is illustrating, where it was taken etc).

ANNEX III

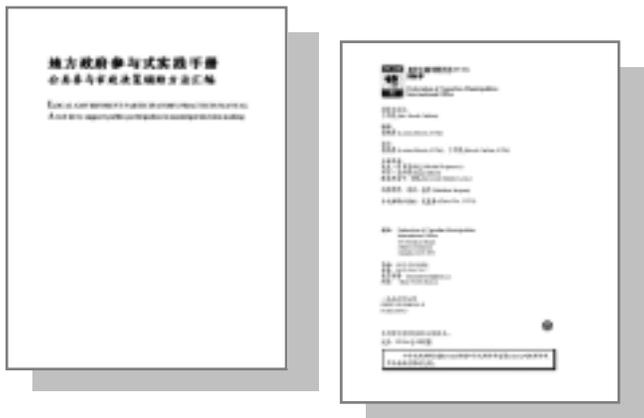
***First Aid Kit for Community Planning in Iwate* (1st edition March 2002, reprinted 2003), Iwate Prefecture, Japan**



Reference:

http://www.pref.iwate.jp/~hp0604/01machi/machi/matizukuri/kyukyubako_index.htm

Local Government Participatory Practices Manual, Federation of Canadian Municipalities – International Centre for Municipal Development (Canada), (1999, revised edition 2002; 123 pages)

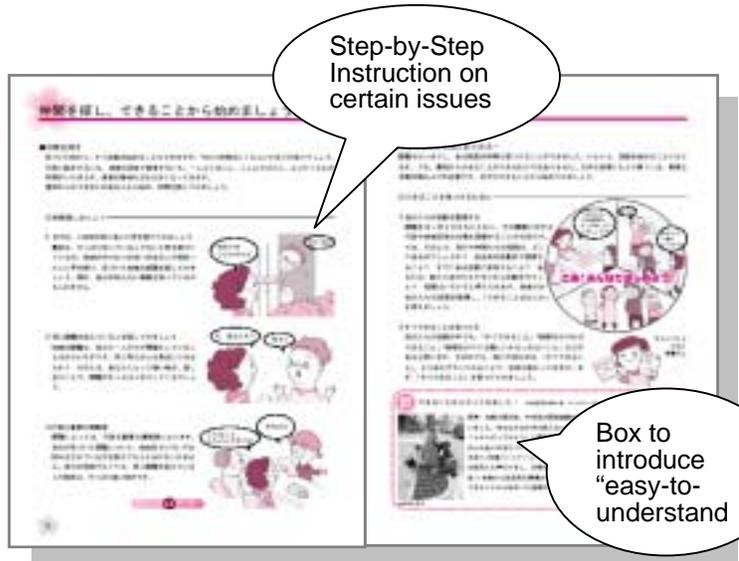


“Local Government Participatory Practices Manual” is also available in Chinese.

Reference:

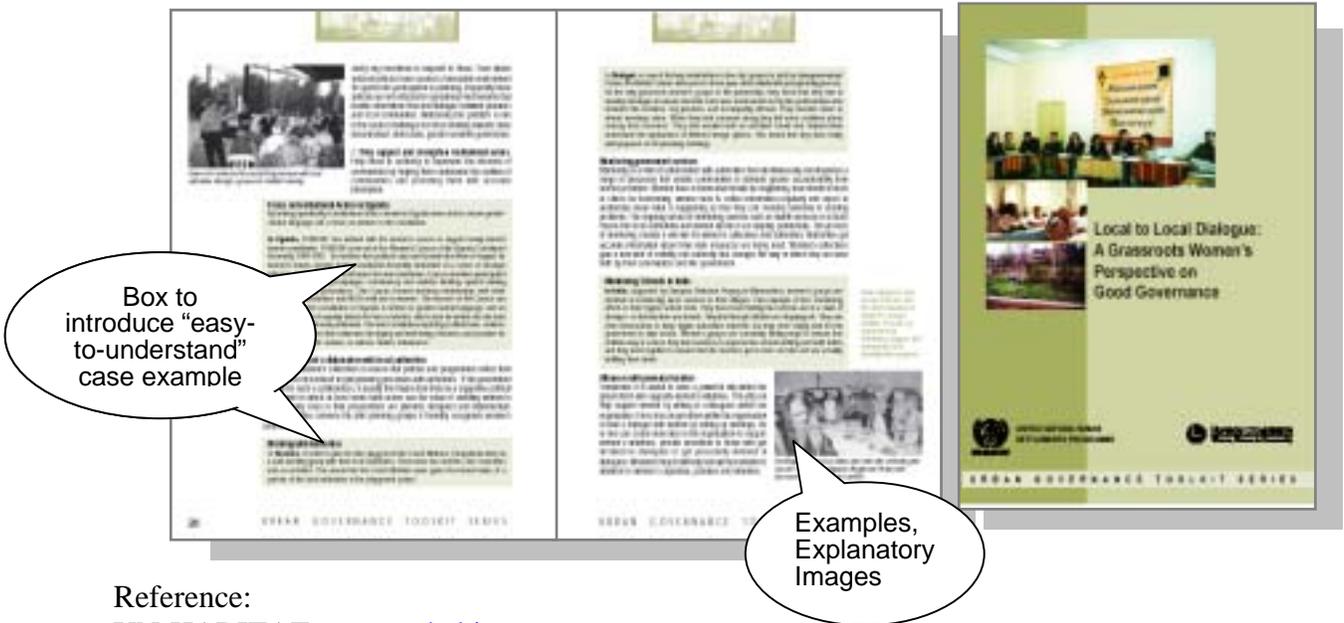
<http://www.fcm.ca/>
<http://vancouver.ca/commsvcs/planning/>

Pearls of Wisdom in Regional Activities; For Smooth Implementation of Regional Activities (May 2005), Kobe City (Citizens Activities Promotion Division), Hyogo Prefecture, Japan



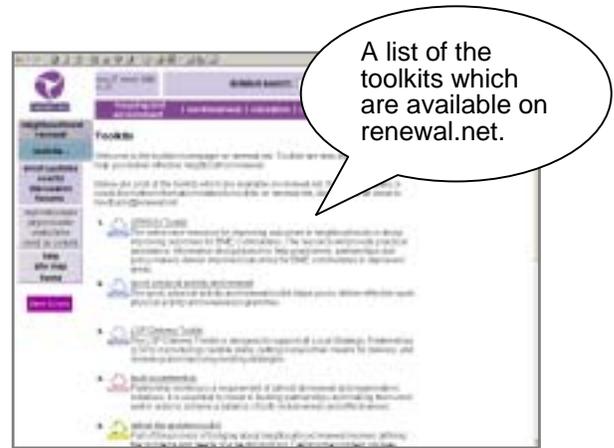
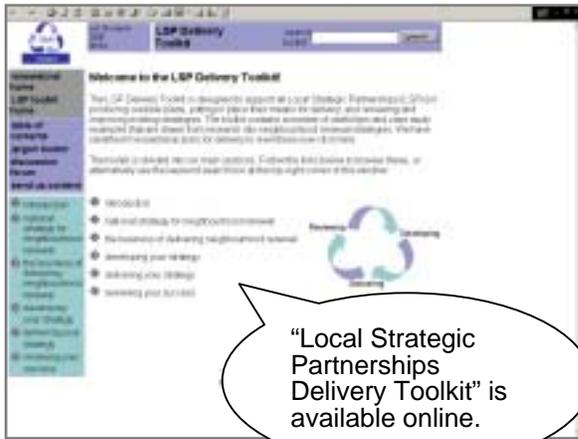
Reference: <http://www.city.kobe.jp/cityoffice/15/050/pdf/manual/manual1.pdf>

Local to Local Dialogue: A Grassroots Women's Perspective on Good Governance, UN-HABITAT and Huairou Commission (March 2004)



Reference:
 UN-HABITAT www.unhabitat.org
 WAT www.wat.kabissa.org

Local Strategic Partnerships Delivery Toolkit, Office of the Deputy Prime Minister, Government of the United Kingdom

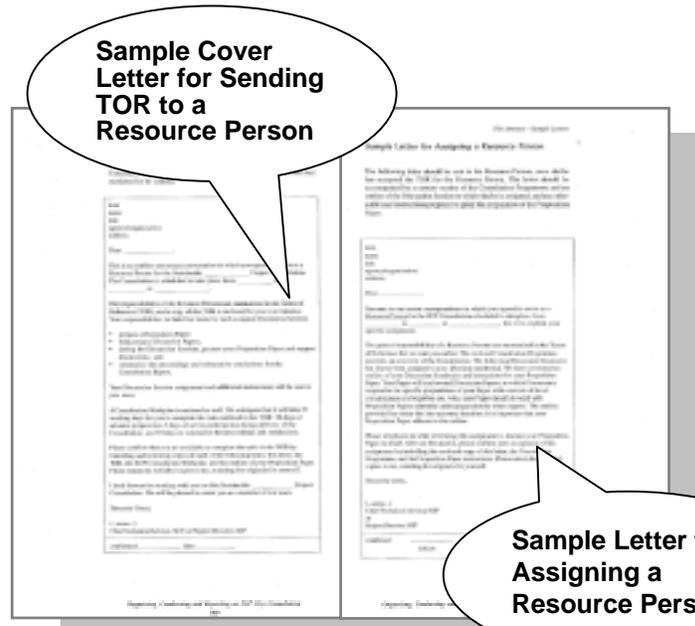


Reference: www.renewal.net

Urban Environmental Management and Planning SCP Source Book Series, Sustainable Cities Programme in Tanzania, UN-HABITAT, United Nations Environment Programme



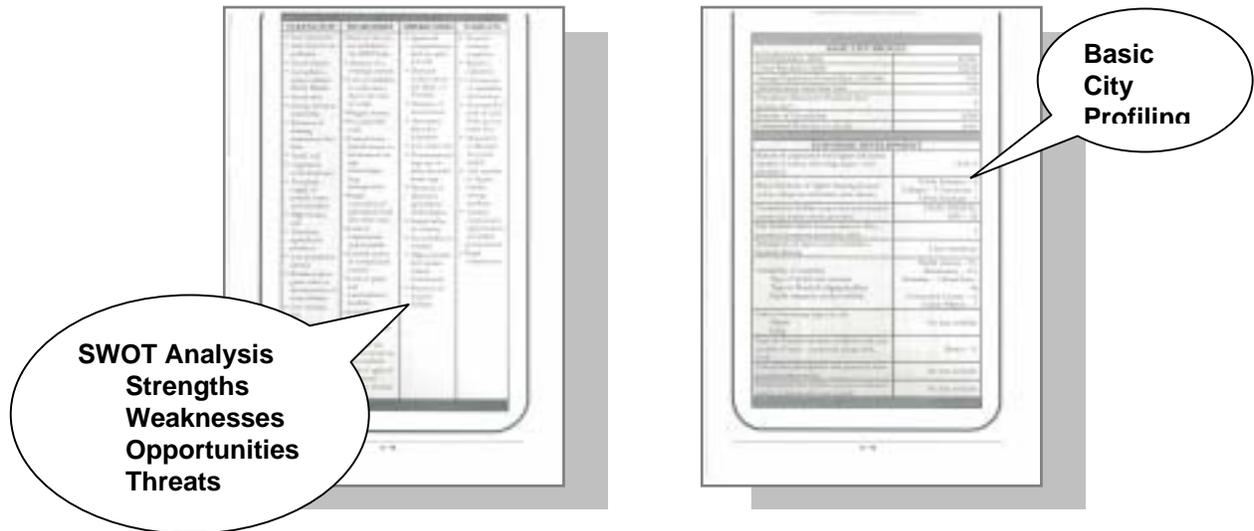
The SCP Source Book Series Organising, Conducting and Reporting an SCP City Consultation



Sample Letter for Assigning a Resource Person

Reference: <http://www.unhabitat.org/programmes/sustainablecities>

CDS Toolkit for Philippine Cities, City Development Strategies in the Philippines, (2004) (A.4, 151 pages)



Reference: <http://www.cdsea.org/CDSKnowledge>

Participation Toolkit, Toolkit Partnership (Web based resource)



Reference: www.toolkitparticipation.nl

ANNEX IV

Outline and essence of the booklet explained using scripts by Yokohama City for the booklet, and also for “Redevelopment of Urban and Commercial Areas” (URBAN RENEWAL ASSOCIATION OF JAPAN)

I. Part 1

In Part 1, “Main points in consensus building” and “Methods and attitude to promote consensus building” are explained as basic items common in consensus building in various community developments. Followings are outlines of Chapter 1.

Chapter 1: Main points in consensus building

Two pillars of consensus building

The booklet defines consensus building as merging various opinions and ideas. In order to merge various opinions and ideas, there are two important points: “To find something that brings satisfaction to all,” and “To work to create something that brings satisfaction to all.” These are the two pillars of consensus building.

The reason for consensus building

Community development activities often start with volunteers who support its theme. But it is desirable to spread the activities, foster it to a movement rooted in the community, and have residents involved in the activities with understanding of its purpose. In order to achieve this, it is important to listen to opinions and ideas of many residents, and conduct repeated studies to reflect them in future activities.

Chapter 2: Methods and attitude to promote consensus building

Process is key in consensus building

In consensus building, it is necessary to try to create something that brings satisfaction to all. It is better to avoid reaching decisions in a hurry by a majority vote. In such cases, frustrations will remain with people with opposing opinions, and this may lead to problems later on. Taking thorough steps such as discussions, publicity, and exchange activities to gain understanding are the key to consensus building.

What are creative efforts for satisfactory results

What kind of creative efforts are necessary to bring satisfaction? “A truly satisfactory state” is when participants at a meeting feel that “their opinion was upheld.”

In order to create such circumstances, it is necessary to understand each others’ opinion, and find out the necessity behind it. Those necessities are key factors in achieving satisfaction. Then, contemplate if these factors can coexist, and look for consolidated form of these factors. This consolidated idea will bring “true satisfaction.” For this process, it is necessary to have good communication skills. You must find out the need of the counterparty, and to brainstorm ideas to create a consolidated form of the factors. This process is called creative effort.

Trust is essential in consensus building

Establishing trust relations are essential in consensus building. Trust relations are built when following two conditions are met: “ Winning counterparty’s trust for your opinion/proposal (credibility/logic),” “ Winning trust for your human qualities (sense

of security).” In order to gain trust as in , it is important the counterparty understands that your opinion or proposal is correct, and makes sense. And to obtain such understanding, you need to speak with your expert knowledge and experience.

However, expert knowledge and experience may become a sword to cut both ways. Knowledgeable person are prone to show off their expertise and experience to try to control the counterparty. This attitude often results in projecting a pushy and insincere image, and builds a sense of distrust. It is necessary to have a sincere attitude to explain your opinion politely, and answer questions accurately.

In order to gain trust as in , it is necessary to win trust by removing the counterparty’s concerns such as for information hiding and falsification of facts. Without trust of your human qualities, trust relation cannot be built as you will not win the heart of your counterparty. In order to win trust, one example would be to say beforehand that you will stop and review activities in case any inconvenience has been caused to the counterparty.

Chapter 2: Promoting consensus building

Coordination with local community associations

Local community and merchants’ associations represent many residents, and often know the community’s characteristics and the way the residents think. Therefore, coordinating with these groups will be helpful in creating plans that reflect the will of the residents. There are secondary merits such as using the local association’s information and network in handing out leaflets and other publicity works.

But, local associations have their own history of activities, and they might be skeptical about new community development plans. It is important to build mutual understanding, and not to force cooperation.

Job of a chairperson

It is necessary for a chairperson to create an atmosphere for participants at meetings to feel at ease and satisfied. For example, by repeating the opinion of participants, they will know that a chairperson is listening to their opinion, and feel satisfied. This satisfaction will bring more aggressive participation in discussions. A chairperson will also be able to show, by taking an earnest attitude, the importance of listening to other people’s opinion.

Understanding reasons behind opinions

In discussions, there are cases in which a person makes quick judgments just by listening to other people’s opinion superficially. However, to promote consensus building, it is necessary to try to understand the reasons and feelings behind opinions. Even if opinions seem to be in complete disagreement at first, careful analysis could show that two opinions share a common basic issue in the background. This could result in finding a single method to accommodate both opinions.

II. Part 2

Part II shows the steps in activities needed for drawing up district planning, and explains how to consider and promote each step. Among the key steps are opinion survey and decision on whether to introduce district planning. The 2 steps will be explained here.

II-1 Content of survey

Questions should be easy to understand

Members of community development committee have acquired specialized knowledge on community development through its activities. So, they tend to use specialized terms in

questionnaires. But such questionnaires may be hard for many residents to understand, and may cause problems in providing adequate responses. Avoid using special terms, and use simple expressions. It is useful to ask a third party to check in advance if the questions are easy to understand.

Relevance of questions and response choices.

It is necessary to consider questions and response choices from broad perspective. Biased questions and response choices may result in inadequate responses, which make it hard to fully understand the will of community. By including “others” in the choices, it will be possible to obtain opinions outside the expected range.

Are the questions inductive?

There are many cases in which questions tend to become inductive to win the support of residents. Inductive questions hinder proper opinion survey. The validity of survey could be questioned in case obvious intentions are detected to induce certain responses. For example, “Do you want to restrict moving back outside wall and preserve street appearance?” This question implies that restricting locations of outside wall preserves street appearance, and induces responses to support such restrictions. When considering questions, they should be reviewed from various angles and take caution that they will not be inductive.

II-2 Three criteria to introduce district planning

The following will explain criteria for deciding on introduction of district planning. Three criteria should be considered in decision making.

Support of most of the land owners

Support rate must be considered as a decision making factor to introduce district planning in a community with various opinions. Support rate of about 70 percent is desirable to consider that most of land owners are in support.

Support in terms of size of land

District planning places restrictions on land and buildings. So, not only support rate in terms of the number of people as in , but support rate which reflects the size of land of supporters should be confirmed. 70 percent should also be target for this support rate.

Restrictions should be reasonable

It will be difficult to introduce district planning even with a support rate of over 70 percent, if resident think restrictions imposed in the planning are unreasonable. Restrictions cannot be considered reasonable in the following cases: 1) Only the ones may be few in numbers, are opposed to it. 2) District planning imposes a far greater restriction than current city planning, and many are opposing it. It is necessary to study the contents of restrictions and results of polls from a wide point of view.

諸外国の地域づくりツールキットの活用事例に関する調査

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