Participatory Urban Planning
Good Governance and Peacebuilding

Speaker's note:

Time: *to be added by trainer according to planning*

Background information:

Learning objectives

At the end of the module participants will be able to:

- ▸ Assess the conditions for open and inclusive policy making
- ▸ Plan a public participation process
- ▸ Conduct a stakeholder analysis

Speaker's note:
Explain the learning objectives of this session.

Time: *to be added by trainer according to planning*

Background information:

OECD Guiding Principles for Open and Inclusive Policy Making

- Commitment
- Rights
- Clarity
- Time
- Inclusion

- Resources
- Coordination
- Accountability
- Evaluation
- Active citizenship

Speaker's note:
Explain the OECD Guiding principles for open and inclusive policy making (15 min)

Time: *to be added by trainer according to planning*

Background information:
- **Commitment**: Leadership and strong commitment to open and inclusive policy making is needed at all levels – politicians, senior managers and public officials.
- **Rights:** Citizens' rights to information, consultation and public participation in policy making and service delivery must be firmly grounded in law or policy. Government obligations to respond to citizens must be clearly stated. Independent oversight arrangements are essential to enforcing these rights.
- **Clarity:** Objectives for, and limits to, information, consultation and public participation should be well defined from the outset. The roles and responsibilities of all parties must be clear. Government information should be complete, objective, reliable, relevant, easy to find and understand
- **Time:** Public engagement should be undertaken as early in the policy process as possible to allow a greater range of solutions and to raise the chances of successful implementation. Adequate time must be available for consultation and

participation to be effective

➢ **Inclusion:** All citizens should have equal opportunities and multiple channels to access information, be consulted and participate. Every reasonable effort should be made to engage with as wide a variety of people as possible

➢ **Resources:** Adequate financial, human and technical resources are needed for effective public information, consultation and participation. Government officials must have access to appropriate skills, guidance and training as well as an organisational culture that supports both traditional and online tools.

➢ **Coordination:** Initiatives to inform, consult and engage civil society should be coordinated within and across levels of government to ensure policy coherence, avoid duplication and reduce the risk of "consultation fatigue." Co-ordination efforts should not stifle initiative and innovation but should leverage the power of knowledge networks and communities of practice within and beyond government

➢ **Accountability:** Governments have an obligation to inform participants how they use inputs received through public consultation and participation. Measures to ensure that the policy-making process is open, transparent and amenable to external scrutiny can help increase accountability of, and trust in, government.

➢ **Evaluation:** Governments need to evaluate their own performance. To do so effectively will require efforts to build the demand, capacity, culture and tools for evaluating public participation.

➢ **Active citizenship:** Societies benefit from dynamic civil society, and governments can facilitate access to information, encourage participation, raise awareness, strengthen citizens' civic education and skills, as well as to support capacity-building among civil society organisations. Governments need to explore new roles to effectively support autonomous problem-solving by citizens, CSOs and businesses.

Group work

▸ Evaluate your own municipality based on the OECD self-assessment

▸ Identify your strengths and weaknesses

Speaker's note:

- Divide the participants into small groups of 4-6 people and provide the participants with the handout: OECD Self Assessment (5 min)
- Ask the participants, in groups, to score their own municipality on each of the guiding principles of the OECD and, based on the self-assessment, ask the groups to identify the strengths and weaknesses of their municipalities in relation to participatory and inclusive governance (30 min)
- Ask each group to present their scores and fill these in on the next slide and discuss any patterns or disagreements (20 min)

Time: 60 minutes

Background information:

Results

	1	2	3	4	5	6	7	8	9	10
Group 1										
Group 2										
Group 3										
Group 4										

Speaker's note:
Use this slide to record the scores of the OECD self assessment.

Time: *to be added by trainer according to planning*

Background information:
Use this slide to record the scores of the OECD self assessment

Participatory Urban Planning
Good Governance and Peacebuilding

Speaker's note:

Time: *to be added by trainer according to planning*

Background information:

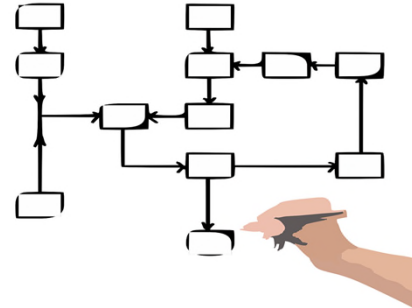# PLANNING FOR PARTICIPATION

Speaker's note:
Explain that this session will be in the form of an interactive workshop where the participants will design a participation process in groups (1 min)

Time: *to be added by trainer according to planning*

Background information:

Planning Public Participation

1. Participation goal(s)
2. Leadership involvement
3. Participation framework
4. Stakeholder analysis
5. Decision making milestones
6. Level of participation
7. Participation methods
8. Communication
9. Outcomes
10. Organisation, planning and budget

This session is based on instructions on participatory planning developed by the Netherlands Ministry of Infrastructure and Water Management

Speaker's note:
List the different steps that are part of the participatory urban planning process.

Time: *to be added by trainer according to planning*

Background information:

1. Participation goal(s)

Clarify what you hope to achieve with the participation process. For example:
- Awareness raising
- Improve the quality of policy decisions
- Utilise the expertise/capacity of stakehokders
- Local ownership
- Empowerment of stakeholders
- Increase trust between stakeholders and government
- Etc.

Be as concrete as possible!

Speaker's note:
Explain what the second step in Planning Public Participation entails.

Time: *to be added by trainer according to planning*

Background information:
Adopted from: Handreiking: Participatieplan (in Dutch)
https://www.kennisknooppuntparticipatie.nl/downloads/HandlerDownloadFiles.ashx?
idnv=1724747&forcedownload=true
There are leaders at all levels. You can think of ministers and state secretaries, but also politically mandated (top) officials such as the secretary-general. Locally and regionally, the leaders are often the aldermen and commissioners. For a participation process to succeed, it is very important that there is leadership commitment. That commitment is expressed in two ways.
1. The leader promotes and defends the importance of the participation plan. The leader can play an important initiating role in communicating participation in a particular project. People are more inclined to participate actively when they are personally invited by the leader concerned than by an unknown official / project organization. Giving interviews about wanting to

involve people also has a positive effect on the number of people who want to participate. This role is not only external, but also within the own organization. Employees are more likely to want to cooperate when the leader is committed to participation and actively communicates this to the organization.

2. The leader uses the results of the participation process. The involvement of the leader is mainly expressed in how he or she deals with the results of the participation. He or she is accountable for how and whether results have been incorporated into the policy and taken into account in the final administrative decision. It is important to practice good expectations management.

3. Identify the participation framework

▶ Legal framework for participation
▶ Organisational framework
▶ Political framework
▶ Policy framework
▶ Financial and capacity framework

Speaker's note:
Explain the third step in Planning Public Participation.

Time: *to be added by trainer according to planning*

Background information:
Here you identify the legal and policy frameworks relevant to the participation process.
- **Legal frameworks:** Laws and regulations prescribing participation obligations, such as a legally prescribed complaints procedure, or a law prescribing the consultation of certain groups in urban planning processes.
- **Organisational frameworks**: You can think of the relationship of the project to other projects. Are there other participation processes that are compatible? But it can also be about the nature of the project. For example, if there is an intergovernmental program, then coordination with all partners about participation is necessary.
- **Political frameworks**: Examples are motions adopted by the parliament/municipal council, wishes of the minister/mayor.
- **Policy framework**: This includes the policy (im)possibilities, for example certain

standards that may not be exceeded, such as air pollution standards. Or, for example, to restrictions or requirements from international agreements.

- **Financial and capacity frameworks**: Such as the available budget and the available capacity within the project for participation.

4. Decision making milestones

For example:
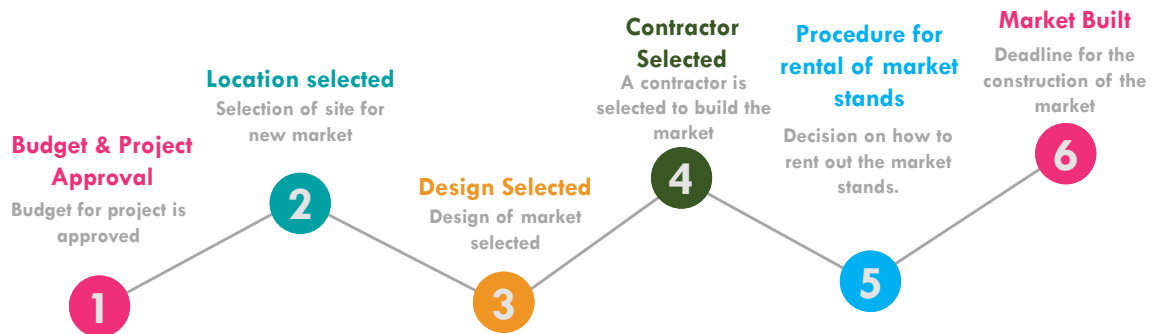
Speaker's note:
Explain the third step in Planning Public Participation.

**Time:** *to be added by trainer according to planning*

Background information:
Participation should feed decision-making. It is therefore very important to clarify the decision moments for the project. When will which (intermediate) product be delivered? When will what be decided? What kind of decision is taken under which legislation and what does this require for participation (for example, an internet consultation or opinion procedure)?

The purpose of mapping all milestones is to gain insight into the moments in the process at which participation has added value. Participation is often required by law at some decision points. In addition to these legally prescribed moments of participation, it is important to look together at the desirability and added value of participation. In general, formal participation takes place later in the course of a project. Participation that is not prescribed by law, can be valuable earlier in the project, and is often also supportive of formal participation moments.

Group work

▶ **Divide into groups**

▶ **Read the case study**

▶ **Complete page 1 of the group assignment:**
  ▶ Set your participation goal(s)
  ▶ Identify:
    ▶ What leader(s) commitment is required
    ▶ The participation framework (relevant laws, regulations, policies)
    ▶ The decision making milestones
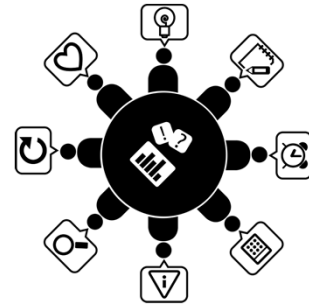
Speaker's note:
- Explain the exercise (3 min)
- Divide the participants into small groups of 4-6 participants (1 min)
- Hand out the case study and assignment (1 min)
- Let participants study the case study and complete the assignment (20 min)

Time: 25 minutes

Background information:
The participants do no have to present their outcomes in plenary yet. The facilitator should ensure that all groups are on track.

Speaker's note:
Explain the fifth step of Planning Public Participation.

Time: *to be added by trainer according to planning*

Background information:
Who you will focus on in terms of participation and what are the interests of these parties. This requires you to conduct a stakeholder analysis for this. Which we will conduct in a moment. Input for such an analysis can be obtained from all kinds of sources, for example from (local) media. And, of course, by conducting conversations and picking up signals during meetings or visiting the area around your project.

Stakeholders

What is a stakeholder?

Speaker's note:
Ask in plenary for defintions of the term 'stakeholder' (2 min)

Time: *to be added by trainer according to planning*

Background information:

What is a stakeholder?

▸ An individual, group, community or institution
▸ Who can (in)directly **affect** or is **affected by** someone else's decision making (policy, plan, programme, activity, etc.).
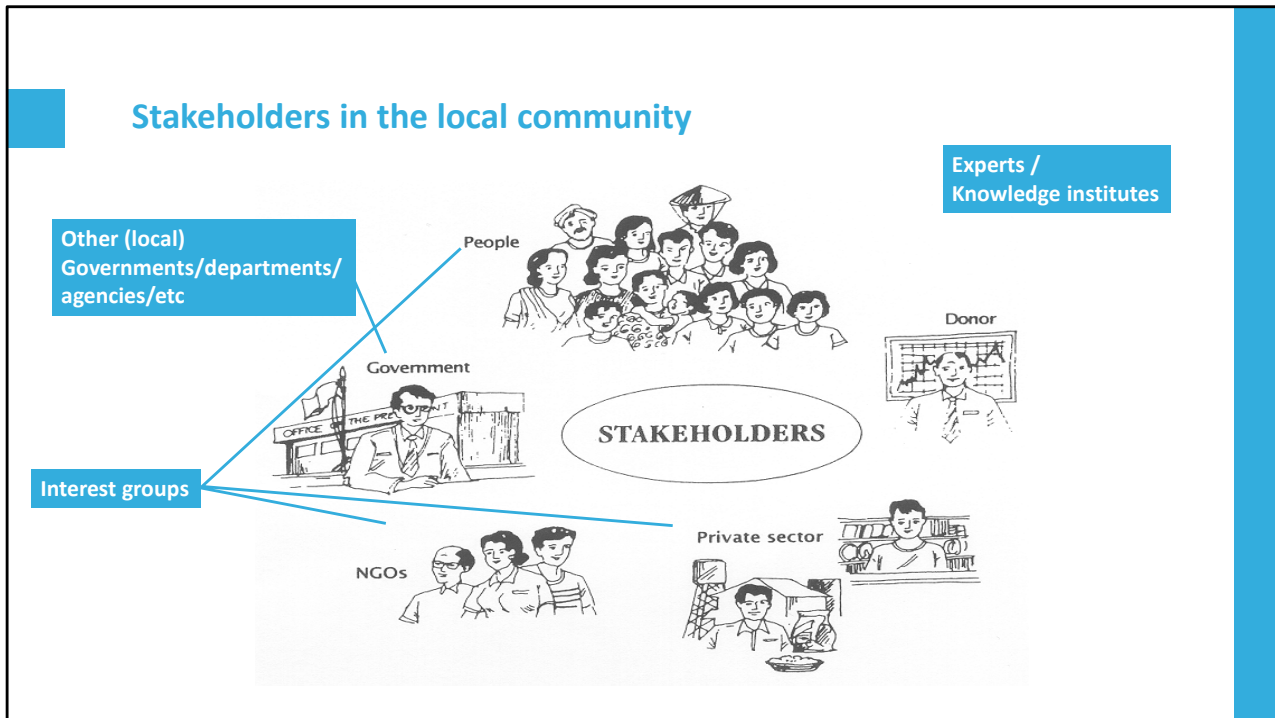
Speaker's note:
Explain the defintion of a 'stakeholder' (3 min)

Time: *to be added by trainer according to planning*

Background information:

Speaker's note:
Name the different stakeholders in the local community.

Time: *to be added by trainer according to planning*

Background information:

Governing a community means engaging with the different stakeholders in the community. They all have a different relation with the area (working there, living there, going to school, doing business). The groups can be further divided in smaller groups and/or in male/female members of the groups, for exaple small entrepreneurs and large companies, male or female entrepreneurs, elderly people, youth etc.

In addition to the groups mentioned on the image one could also consider involving experts and knowledge institutes such as universities.

It is important to realise that other governmental institutions should also be involved

It is often easiest to work with interest groups rather than individual citizens, companies or NGO.

STAKEHOLDER ANALYSIS

STAKEHOLDER ANALYSIS

A tool for the identification and description of stakeholders on the basis of **their attributes, inter-relationships and interests** related to a given service, process, resource or intervention.

Speaker's note:

Time: *to be added by trainer according to planning*

Background information:
There are many different ways to conduct stakeholder analysis. We have selected one method.

Stakeholder analysis: *Stakeholder identification*

Individually, write down as many potential stakeholders as possible (3 min.)

▸ 1 stakeholder per post-it

▸ Quantity over quality

▸ Consider gender/age/governmental departments/excluded groups/private sector/research institutes/NGOs/donors

▸ Prize for person with most stakeholders

Speaker's note:

- Introduce the exercise and stress that this a brainstorming exercise, i.e. it's not about being right, it's about generating the biggest possible number of ideas. (2 min)
- Also stress that it is an individual exercise which should be conducted in silence.
- Hand out post-its
- Individually, the participants list as many stakeholders as they can think of. Remind participants to write down one stakeholder per post-it. Keep track of the time! (3 min)
- Award a small prize to the person who comes up with the most stakeholders

Time: 5 minutes

Background information:

Stakeholder analysis: *Stakeholder analysis*

▸ Draw an interest/influence chart

▸ Place the stakeholders on the influence vs. interest grid

▸ Make sure you leave out duplicates!

▸ Identify the 5 most important stakeholders
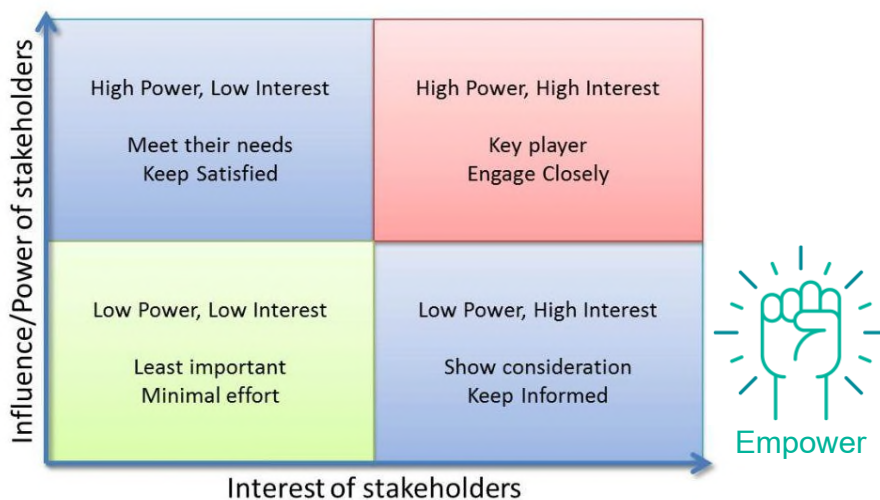
LEVEL OF INFLUENCE

LEVEL OF INTEREST

Speaker's note:
- Each group has to draw the interest/influence chart on a flip over
- Place their post its on the right place on the chart.
- Identify 5 key stakeholders

Time: 15 minutes

Background information:

Stakeholder analysis: *Stakeholder analysis*

Speaker's note:

Time: *to be added by trainer according to planning*

Background information:
This is a useful map to help understand the need for participation and potential resistance to change. 'Interest' indicates the likely concern of stakeholders about change, whilst 'Influence' indicates their ability to resist and hence stimulates *your* concern. The matrix describes four types of stakeholders:

C. Low interest, low influence – 'bystanders' – monitor (minimal effort)
These are relatively unimportant people, but keeping in touch with them is a good idea, just in case their status changes.

A. Low interest, high influence – the 'irresponsible' - keep satisfied
People with a low interest in the change will not be particularly worried about what you are doing, so they are not too much of a problem in the actual change. A problem can appear when they are persuaded to act for those who oppose the change. It is thus important to keep them onside, for example with regular meetings that explain

the truth of what is happening.

D. High interest, low influence – the 'victims' - keep informed
These people can be difficult in that it is easy to ignore them as they apparently cannot derail the change, although if sufficiently upset they may gain influence by low-level blocking and other techniques of resistance to change.
Do remember that minorities can be very powerful, particularly if they band together or if they get powerful allies.

B. High interest, high influence – 'key players' - manage closely
These people are both significantly affected by the change and most able to do something about it, either supporting or opposing changes (Opportunities and Risks). It is particularly important to engage these people in the change, ensuring both that they understand what is going on and also creating buy-in as they feel a sense of ownership of what is being done.

LET'S GO BACK TO
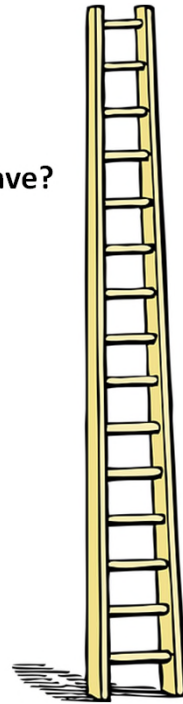## PLANNING

Speaker's note:

Time: *to be added by trainer according to planning*

Background information:

6. Level of participation

▶ **How much influence will which stakeholders have? (participation ladder)**
  ▸ Delegation
  ▸ Co-decision
  ▸ Co-production
  ▸ Recommendation
  ▸ Consulting
  ▸ Informing

Speaker's note:
Explain the sixth step in Planning Public Participation.

Time: *to be added by trainer according to planning*

Background information:
One has to define the level of influence the different stakeholder will have.

7. Participation methods

▶ **Select the participation methods you want to use to reach your participation goal(s)**
  ▶ Public hearing
  ▶ Online survey
  ▶ Interviews
  ▶ Advisory committee
  ▶ Etc.

▶ **Make sure you also reach vulnerable and marginalised groups!**

Speaker's note:
Explain the seventh step in Planning Public Participation.

Time: *to be added by trainer according to planning*

Background information:
The participation method is what you use to achieve participation results, such as an online or physical brainstorming session, a survey, an online challenge, a discussion evening, information evenings, design tables, interviews in the street or a citizen panel. Make sure that the participation method is in line with the purpose of the participation and the stakeholders. So don't use creative brainstorming session when a lot of decisions have already been taken. Do not try to reach online-oriented youngsters through a paper newspaper. A walk-in meeting can fit in well with the needs of local residents. A participation method with a competitive element can bring in ideas from young people and students. An online community can help obtain contributions from people from a large area. One-on-one "kitchen table discussions" reconnect you with stakeholders who are less likely to participate in a group process. You often opt for a mix of online and offline forms of participation.

Regardless of the ultimate choice of resources, it is always important to avoid that specific (vulnerable) target groups are excluded. Think of people with a disability, people with low literacy, or people with limited digital skills.

8. Communication

▶ **What communication methods will you use to communicate with your stakeholders?**
  - ▶ Newspaper
  - ▶ Website
  - ▶ Social Media
  - ▶ Letters
  - ▶ Email

▶ **Use communication methods appropriate to the stakeholder**

▶ **How will you ensure that all stakeholders have the information/knowledge required to participate? (information / transparency)**

Speaker's note:
Explain the eighth step in Planning Public Participation.

Time: *to be added by trainer according to planning*

Background information:
All necessary communication for the participation moments needs to be thought out. The communication for the various participation moments can consist of, for example, invitations to a workshop or a substantive explanation give to target groups. In addition, it is also possible to communicate about the participation process in newsletters, advertisements, flyers, etc. It is also important to always outline the process and what happens with input in the participation process. When drawing up communication goals for participation, it can be useful and efficient to make use of a communication expert.

9. Outcomes

What will be done with the outcomes of the participation process?

▶ Assessment of outcomes

▶ Implementation of participation outcomes

▶ Accountability to stakeholders involved

Speaker's note:
Explain the nineth step in Planning Public Participation.

Time: *to be added by trainer according to planning*

Background information:
On the basis of the participation goal, the target groups and the participation methods you can estimate what kind of results the participation will yield. These can be quantitative, but also qualitative results. The processing of participation results can be roughly divided into three stages:

• **Assessment**: What will you / can you do with the results? How will you assess the results? Do you use assessment criteria? How do you make the assessment criteria known to the participants? Are you going to organize special meetings for the policy team and the substantive experts who have to do something with these results? Who will conduct the assessment?

• **Implementation**: the way in which the participation results are integrated in the project/policy. If you cannot include certain input, it is essential to clearly document
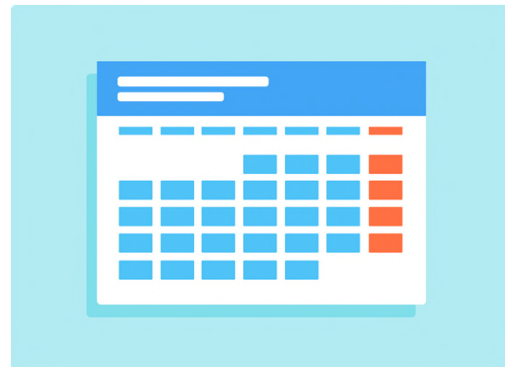
why.

• **Accountability**: the way in which the assessment and implementation is justified towards the participants. Indicate which participation results are included and which are not. Also indicate why. Draw up an accountability document or communicate the results to all stakeholders. You can think of a document in which you respond to all contributions, or work with a "traffic lights" system in which you indicate with red-orange-green whether or not a point can be included or should be further investigated.

The feedback can also be done, for example, through a special newsletter or in a video. By thinking about how to assess, implement and communicate about outcomes before the start of participation activities, it is possible to communicate clearly with stakeholders about what will happen with their input. It also provides guidance for the time and effort required by the people involved in the organisation of the participation process to process the input and to provide feedback to the participant

Speaker's note:
Explain the tenth step in Planning Public Participation.

Time: *to be added by trainer according to planning*

Background information:
The organisation of participation describes who does what, when and who is responsible for what. It also describes how much capacity this requires from the project and possibly from people outside the team. This is a further elaboration of the aforementioned financial and capacity frameworks. In this part, also give the director or the highest responsible person a clear role and position. In order to safeguard the quality and guarantee of the participation process, it is necessary that someone within the project bears responsibility for the participation process. This can be done by assigning the role to the project members or by appointing an environment manager. Planning and budget This chapter contains the planning of the project, including all participation moments. Which target group will be involved in which milestone when, with which questions, and in what way? So it summarizes all the aforementioned elements. This chapter also describes the budget for the participation process

Group Work

▸ **It is time to complete your participation plan!**

▸ **Copy the plan from the handout to your flipchart**

Speaker's note:

5 min instructions

40 min Participants to – in their groups – complete the participation plan.

60 min Each group presents their plan in plenary

Time: *to be added by trainer according to planning*

Background information:

Monitor and evaluate

Speaker's note:

Time: *to be added by trainer according to planning*

Background information:
At the end of your participation planning process it is always important to reflect on whether you achieved your objectives or not. What went well and what can be improved next time.

Recap: Conditions for successful inclusive citizen participation

▸ **Empowered citizens**: Citizens who have the skills, knowledge and attitudes to participate, including the ability to organise themselves
▸ Effectively implemented **laws, regulations and policies** that enable participation and social accountability
▸ **Commitment** to genuine inclusive participation by government (political leadership and civil service) and citizens: willingness to incorporate citizens' needs and suggestions in policy.
▸ The identification, understanding and involvement of all relevant **stakeholders**, particularly marginalised and vulnerable groups
▸ A **well-planned process** with clear objectives and sufficient allocation of resources (financial and human). The plan and its limitations should be understood by all stakeholders.
▸ A **transparent** government: the publication of understandable and useable information
▸ **Trust** between government and citizens

Speaker's note:
Give a recap of the conditions for successful inclusive citizen participation.

Time: *to be added by trainer according to planning*

Background information:

Questions/reflections?

Speaker's note:
- Summarise the content of the session
- Ask if there are any outstanding questions

Time: 5 minutes

Background information: