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FEDERAL URBAN PLANNING INSTITUTE

Participation Manual for Urban Planning

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ACRONYMS

CBO= Community Based Organization

FBO= Faith Based Organization

FUPI= Federal Urban Planning Institute

IDP= Integrated Development Plan

NGO= Non-Governmental Organization

NUPI= National Urban Planning Institute

PASDEP= Program for Accelerated and Sustained Development to End Poverty

PDC= Portland Development Commission

SC = Steering Committee

SF= Stakeholders' Forum

UNCHS= United Nations Center for Human Settlement (Habitat)

PARTICIPATION MANUAL FOR URBAN PLANNING

I BACKGROUND

1.1 Introduction

Experts of diverse persuasion now agree that public participation is crucial in any development planning. They also agree that it is not always easy to involve the public to the desired extent. Effective public participation demands time, resource, patience and above all, some *know-how* to manage the process of participation. Therefore, this manual attempts to provide some *tools* which, we hope, together provide some support to the *participatory urban planning process*. The tools are assembled/adopted/ from various sources. The manual, which may be considered as a stop-gap effort, is a first attempt of its kind and we believe it will gradually be enriched as more and more experiences are gained in future planning activities as well as the relevant legal instruments and organizational structures on participation are in place.

The preparation of the manual is based on (1) Review of literature on participation and (2) Review of questionnaires distributed to veteran practitioners of the Institute who have been involved in actual urban planning efforts on the ground. The latter helps to give insight in to the actual situation existing in Ethiopia and the problems encountered when trying to introduce participatory planning.

1.2 Purpose of the Manual

The Manual has a dual purpose. It is primarily intended for practitioners and municipal technicians who are actually engaged in the day-to-day planning and implementation processes. It is intended *not* to replace, but to work in tandem with mainly the IDP or other planning manuals, as the case may be. The readers in this section are advised first to read through the first section so as to get a clear idea about the importance of the participatory process. This, we believe, would create a motivation to grasp and apply the tools, provided in section two. The users in this section are expected to have a good grasp of the tools and apply them in practice.

The other purpose is to create awareness among officials and other member of the public. Without the proper awareness and commitment of officials in different levels of government, it would be very difficult to establish the required effective participatory system. In this regard, users in this category are advised to concentrate more on the first section of the manual so that they get fair idea about the importance of the participatory process and the degree of commitment required.

1.3 Organization of the Manual

This manual has two parts. The first part provides the background section, where brief introductory remarks about the urban planning experiences of the country to date and why a change in the earlier practices are required, what the existing policies and programs are etc. are discussed. With this motivation, the second part provides the actual tools that would enable practitioners and officials in the planning field to make public participation palpable and effective or, at least, more productive. To make understanding easier, the tools are provided under each planning phase and under each tool there are activities that instruct the user what to do in different situations.

In the Ethiopian context, the draft Urban Planning Proclamation of 2005 provides for Structural Plan, Local Development Plan as well as redevelopment plans like Urban Renewal and Urban Upgrading plans. Although not in the draft proclamation, a more comprehensive strategic participatory planning (known in South Africa as IDP) approach is the one currently in use, especially by FUPI. Still, under the PASDEP (Program for Accelerated and Sustained Development to End Poverty) initiative, 600 small towns are urgently to be provided with some form of "basic"/guide plans in the coming years. It is true that all types of plans require some form of participation. It is not, however, possible to provide a mode of participation that works well under all situations.

Under the circumstances, attempt is made to provide the participation tools for the most comprehensive form of planning, which is the (participatory) strategic planning (also called IDP), currently under use by FUPI and other major regions in the preparation of

urban plans. Therefore, practitioners engaged in other types of planning are advised to select the tools which are appropriate for their purpose.

DEFINITIONS

According to one participation manual (PDC, 2005), **Public participation** is defined as "any *process* that strives to inform, gather input or involve the public regarding decision-making processes. Public participation is the umbrella term to describe *all levels* of "public" information, education, relations... input, involvement and collaboration."(Emphasis added).

This process may work on the following four levels (ADB, 2006):

- *Information sharing* is one-way communication often involving disseminating information about an intended development project, program or strategy.
- *Consultation* is about gaining stakeholder input on proposed activities
- *Collaborative decision making* means engaging groups to jointly make decisions about development activities and resources that affect them.
- *Empowerment* is a deeper level of participation, where beneficiaries and other key groups initiate action and take control over development decision and resources.

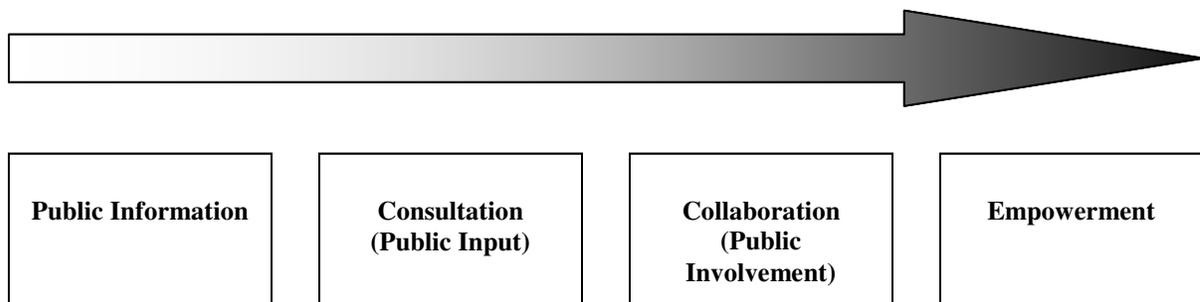


Figure 1: Levels of Public Participation

It is, therefore, important to understand that public participation is a *process* and should go as far as involving the public in decisions making over development issues and resources through interactive process. Here interactive means dialogue/debate among the concerned parties. This idea is illustrated in fig.1 above, where the intensity of the black color increases from left to right indicating the deepening of participation. Giving the right kinds of training, including education on issues at hand and on basic rights, especially to weaker segments of society, helps participants to be more self confident and assertive in any interactive participation.

1.4 Past Experiences in Urban Planning

After the Italian occupation and until the establishment of NUPI, urban plans were largely prepared by expatriates. Some, like Sir Patrick Abercrombie were very distinguished Town Planners. These various plans prepared for Addis and other towns suffer from a number of limitations though. One common strand of all these plans was that they, one way or the other, tried to replicate the experiences of other countries with widely different settings. Moreover, their obsession with land use and physical infrastructures with little attention to the real needs of the population was another weakness. Often, the main and sometimes the only actor was the Town Planner with very little or no involvement of the public.

The establishment of the National Urban Planning Institute-NUPI (now FUPI) in 1987 can be regarded as a step forward for a number of reasons. First, it ushers the preparation of urban plans by domestic experts and that urban planning was institutionalized. Second, experts of diverse persuasions have been involved in the plan preparation, although analysis and projection of economic, demographic and other social elements were simply to support the land use planning efforts. Since the last couple of years, however, a new strategic planning approach, the Integrated Development Planning (IDP) has been introduced.

Improving the morphology of many cities/towns can be regarded as positive development. On the conceptual level, however, the methodology used by FUPI, until very recently, was not much different from the earlier plans prepared by foreign experts in that both emphasized land-use planning and the approaches were neither strategic nor participatory. Regarding this common practice of the 'traditional planning paradigm', which was essentially similar to earlier activities in FUPI, Taylor & Williams (1982:26) aptly, described it as follows:

The approach usually limits the scope of its proposals to land use, circulation and other physical infrastructures (water supply, sanitation, drainage, etc.); all elements which can be mapped. Analysis and projection of economic, demographic and other social elements are frequently superficial and linked to generating data that can input into future land use. (For example, demographic projections can yield estimates of needed dwelling units which, at given density assumptions, can be

converted into future space requirements; and employment projections can similarly be converted into space requirements for various types of economic activity.) *Very little is included in these plans of socio-economic programs that are also required in their own right to solve urban problems and issues* (emphasis added).

The plans were largely expert driven, with little public participation in the planning process. What does the traditional paradigm to offer in respect of participation? Again Taylor and Williams (Ibid 26-27):

Little attention is given to the priorities, needs and constraints of the city's population, especially to low income groups. Involvement of any users, other than government officials, in the planning decisions which affect them has been minimal or non-existent.

In each urban plan preparation process in FUPI, a couple of consultative meetings were usually held to *inform* the public about the decisions made on *its* behalf, based on the data collected. Some comments could be accepted. Largely, they have been one-way communications from the planning team to members of the public. The plan preparations did not also consider the budget implications (not strategic) and the reports tend to be long on details and dealing with a variety of issues, but short on recommendations.

The chances of reasonable implementation of even the physical aspects were usually disappointingly low. According to Taylor and Williams (p.27):

Even within the area of physical development, traditional master plans have often failed to produce usable guidelines for channeling urban growth, with the result that much growth took place in "unauthorized areas". Development pressures within strategic areas are neither understood nor managed; rather a zoning map is produced for all areas. It is usually hoped that this map can provide the land use framework for controlling private development, but this negative approach has generally not proved successful. Because of its lack of a strategic quality, the master plan approach has been ineffectual in developing policies and solutions to many key problems and issues.

Following the many weaknesses manifested, there has been some shift or movement away from the 'traditional paradigm' in many Developing Countries since the early 1970s. In South Africa, for example, until the early 1990s, municipal planning was very much confined along the lines of the traditional model, very technical in nature with very little or no participation from other role players such as communities. It was reported that it

was not flexible, blue print in nature and concerned with physical development promoting racial segregation. Social and economic dimensions of development such as poverty alleviation, social health and welfare were not addressed at all. (Gov. of South Africa >Z, n.d., c).

After a series of consultations, by 1995 a strategic planning approach called the "Integrated Development Planning" had emerged as a distinct approach to planning. Its authors defined IDP as "...a participatory planning process aimed at integrating sectoral strategies, in order to support the optimal allocation of scarce resources between sectors and geographic areas across the population in a manner that promotes sustainable growth, equity and the empowerment of the poor and the marginalized". (Gov. of South Africa >Z, n.d., c)

Another good example can be the participatory urban planning in the periphery of the city of Porto Alegre in Brazil (Zellhuber, 2003). In this district, with a population of 53000, the participatory appraisal method was used to identify the specific social, economic and environmental problems within the district, to prioritise necessary actions and optimise the search for solution strategies. The participatory appraisal method was applied to analyse the socio-economic and environmental reality of the study area, linking the local knowledge and perceptions with the expert evaluations. The aim was to develop creative solutions to the identified problems in a cooperative way by applying visualization tools and group exercises.

For the implementation of the plan a "local planning group" was created, consisting of around 40 to 50 participants, half of them representatives of the local population, and the other half representatives from public institutions.

Following a series of interviews and workshops, the most stated problems at the social level were lack of schools and nursery schools and lack of medical attendance. As far as economic problems were concerned, most people mentioned unemployment and the bad quality of the local shops. The environmental problems most often referred to were river degradation, illegal waste dumping and deforestation

1.5 Justifications for Participatory Urban Planning

For much too long, as we tried to see, not only the different urban plans failed to address the real needs of the population for whom the plans were made, but even much of those proposed were not adequately implemented. From a review of some plan evaluations carried out by FUPI, the following are some of the many listed problems in plan implementations. They include a significant change in land use, prevalence and expansions of squatter settlements, incompatibility of functions, building height regulations becoming hindrance for implementations.

Similar feelings were also expressed, although much earlier, in other parts of the world. Questions were asked as to why projects had failed to produce the intended results. (Schilizzi, 2003) As a result, reliance on the rationality of planners to produce urban plans, with emphasis on blue print master planning, started to face serious challenges both within and outside the planning field since the early 1970s. Why?

Uncertainty is one of the major reasons. Planning, by its nature, is about what the future should look like some years down the line by extrapolating from existing trends. This essentially involves predicting many variables into the future. There is now increasing realization that many of the quantitative variables that in the past could reasonably be predicted (e.g. population, physical and economic growth, labor market) are assuming random behavior and the speed of change has increased. Moreover, the environment in which urban planning operates are social systems whose future is difficult to predict. It is often impossible to understand how the future will unfold. (Puglisi, 2000)

Therefore, in an era characterized by great complexity and uncertainty, it is argued that an approach that moves away from the notion of the planner as a rational expert and by giving people responsibility for defining a future that they are able to influence and shape with their choice is considered a preferred option. (Puglisi, 2000) It is said that people generally have a tendency to agree with something they help create. Thus, this approach heralds a clear paradigm shift in urban planning.

According to this approach even the planning agenda is set by the stakeholders or those affected by the development plan and *not* by the experts, as was the case with earlier plans. Public involvement should, in fact, start very early in the planning process with identification and prioritization of issues and problems by the community and stakeholders. In the visioning process citizens are invited to express their desired images and how to turn those images into reality, first of all by selecting only the most relevant ones and then building strategies to achieve the required images. It is believed that future images can affect present behavior guiding our choices and affecting our decisions.

The genesis of the idea of community participation was simply a logical outcome of the shift to the strategic planning approach. It is known that the central idea of strategic planning is the identification and prioritization of problems/issues, since cities/towns in developing countries, like Ethiopia cannot afford to solve all their problems within a brief interval of one planning period and hence priorities need to be decided. The big question here is who decides what the problems are and what the priorities should be? If experts are given the mandate of decision making, apart from the weaknesses associated with problems of predictions, outlined earlier, and paucity of data, they could also be influenced by other motives arising out of self interest.

Nowadays, it is also practically found out that if the decisions are left to the community/stakeholders, who actually live with the problems, the development plans have a better chance of being implemented and consequently improving the lives of citizens, which in fact should be the major objectives of the planning process. Moreover, participation increases a sense of ownership of the development plan, increase civic capacity and confidence among the community and in turn reducing suspicions and mistrust of authorities.

The theme of participatory/ collaborative planning is assuming more and more importance, attracting the attentions of practitioners, and politicians as well as academics. This new paradigm of planning thought is based on closing the gap between theory and practice, and between planners and the public they intend to serve. *The aim is that of*

building convergence of values and meanings that go beyond the specialized knowledge of few experts.

In connection with the theme of public participation, the governance policy of the Asian Development Bank (2006: 6) has this to say. "The principle of participation derives from an acceptance that people are at the heart of development. They are not only the ultimate beneficiaries of development, but are also the agents of development."

1.6 Some Benefits of participatory Decision- Making¹

- ❖ The transformative power of dialogue is regarded as one important reason for success. When citizens are engaged in an inclusive dialogue, where all are equally empowered and informed and where they listen, and are heard respectfully and when they are working on a task of interest to all, following their own agendas, every one is changed. They learn new ideas and they often come to recognize that others' ideas are legitimate.
- ❖ Collaborative processes do help create professional and personal relationships and trust which are vital to understand each others' views and perspectives.
- ❖ The civic capacity of society grows and participants become more knowledgeable and competent thereby developing self confidence and a sense of ownership.
- ❖ By involving disadvantaged groups into decision-making and by promoting their involvement in project formulation, participation, when applied properly, has been shown to have positive impact on poverty reduction. Participation can assist them in developing the attitudes needed to improve their situation and give them hope. (ADB, 2006)

¹ Mostly taken from Innes & Booher, 2004.

- ❖ Participation is believed to give residents (perceived) control on their living situation. Therefore, participation of inhabitants can have a *positive effect on their health* (emphasis added). This is especially true for groups that depend on external actors regarding their living conditions (e.g. house renters, public transport users, marginalized groups) (Walda, 2000).
- ❖ Moreover, the collaborative approach is more likely to advance fairness and justice by involving and assisting the weaker stakeholders to insure effective representation as well as increase the chances of the development plans to be implemented.

1.7 Risks of participation

Notwithstanding the benefits, participation is not without risks, if not properly handled. If citizens' views are collected, usually by central or local government agencies, and ignored, this breeds apathy and despair on the part of those let down by the process. In many instances, participation is used as a public relations exercise rather than a genuine decision-making process. In connection with this, it must be mentioned that the many and repetitive public gatherings and meetings in the past have already created a great deal of fatigue for all kinds of gatherings. Therefore, much effort is already being required to reverse this inbuilt negative attitude to public gatherings.

Moreover, if not properly conducted, participation may also raise expectations which are difficult to fulfill and could eventually lead to frustration and apathy. To avoid unrealistic expectation, one should clarify from the start of the discussions what is, and what is not, under consideration. It must be stated clearly what people can expect from the process and that, by and large, the resources required need to be generated from local sources. If external resources are available, its extent must be known.

Caution is also required that the planning process, especially at grassroots level, is not captured by elites. We should not be tempted to invite people around us and those we can

easily reach. Genuine efforts must be made to involve all segments of the society, especially people at the lower strata of society.

Experiences in some countries have also shown that flawed participation can lead to lawsuits (Innes & Booher, 2004). This is because taking action without consulting all those concerned, may damage the interest of some, causing disagreement and controversy.

1.8 Principles of Participatory Planning

- ✚ *Structured Participation*: Many of the urban areas are too big in population size and area to involve the majority of their respective residents in direct participation. It is, therefore, inevitable that participation should be structured and clear rules and procedures established as to who is to participate? Who is not to participate directly? etc.
- ✚ *Inclusiveness*: Inclusion of different (the full range of) stakeholders, including marginalized and vulnerable groups is vital. It has also to provide sufficient room for diversity in terms of different cultures, gender educational level etc.
- ✚ *Continuous Process*: Participation is a continuous process, going through different stages of the planning process, assuming different modes through the stages.
- ✚ *Bottom-up Process*: Participatory planning (decision making) emanates from the collective will of the stakeholders participating
- ✚ *The elected Council is the ultimate decision making forum*: As legitimate representative assembly of the residents of the urban area in question, the Council is empowered to make the final decision. However, the stakeholders are given the opportunity to provide pertinent input before decisions are taken by the Council.
- ✚ *Collaborative and Interactive*: Participatory process builds on finding a common ground and on sharing knowledge, expertise and resources from different sources. Moreover, instead of the general tendency to rely on "experts" for information, special emphasis needs to be given to involving a wider range of other stakeholders including those from private and community sectors, specially the poor

- ✚ *Facilitation*: Many stakeholders are unaccustomed to meetings and public events and may be reluctant to participate actively (especially the poor and marginalized groups). Nonetheless, every stakeholder has legitimate interests to express, protect and negotiate, as well as contribute important and useful information. Facilitation should ensure that all stakeholders contribute and gain from participatory cooperation.
- ✚ *Decision by Consensus*: As much as possible, the preferred option is that decisions, at the various discussions and meetings, are made by consensus and, therefore, efforts must be exerted in this direction.
- ✚ *Rapid Assessment*: Long studies are not the mode. Participatory planning, by and large, are based on rapid identification and ranking of problems and formulating strategies for implementations.

1.9 Existing Policies and Programs

Regarding participation, there seems to be no shortage of policies and programs in Ethiopia, although more specific legislative instruments are needed to make public participation more practical on the ground. The Constitution guarantees the right of citizens to participate in development activities affecting them and that the government would promote popular participation (see articles 43(2) and 89(6)). In tune with the Constitution, the preamble of the *Draft Urban Planning Proclamation* (MWUD, n.d) unequivocally states that:

It is vital to create a favorable and an enabling condition for public and private stakeholders to fully participate in the process of urban plan initiation, preparation and implementation on the basis of national standards.

One of the basic principles in article 5, which is about ensuring "the satisfaction of the needs of the society through public participation," is, in fact, at the heart of participatory planning. Also article 15 of the Proclamation stipulates that public hearings, before the approval of plans, would be held to the public at large, public organizations and the *kebele* councils. Relevant suggestions and objections are also required to be taken as inputs.

Further, under the Good Urban Governance Package, developed by the Ministry of Works and Urban Development, in the draft *Improvement in Public Participation Sub-Program*, chapter five, entitled as *Public Participation in Development Projects*, lists the goals and activities required for public participation in much greater detail, including highly pertinent points. Some are briefly stated as follows:

- Under Goal one, which states the need for establishment/support of different participatory organizational structures in urban areas, activity 2 stresses the formation of different committees in each *Kebele*, to be constituted from among the residents of the respective *Kebeles*.
- Different kinds of trainings and capacity building activities are also envisaged for these committees.
- Under Goal two, which proposes the establishment of Sustainable Networks and Discussion Forums for collaborative engagements, the following activities, among many others, relevant to public participation, are stated:
 - **Activity 1:** Conferences, about crucial urban issues, involving residents and different community groups of an urban center would be held twice a year.
 - **Activity 2:** Urban residents would be invited to participate in visioning festivals of their respective towns/cities
 - **Activity 3:** Consulting different community groups in urban master plan, strategic plans and high-cost infrastructure and investment plans.
 - **Activities 4-8:** The formations of various bi-lateral and multi-lateral collaborative forums with the private sector, NGOs and CBOs have been proposed.
 - Other activities include the creation of forums for each *Kebele* to present its budget proposals at the beginning of each budget year and performance report at the end.

PART II

PARTICIPATION TOOLKIT

II PARTICIPATION TOOLKIT

2.1 Preliminary Remarks

While on the one hand as much public participation as possible is desired, it is not always feasible, affordable or necessary to involve all adult population. Many towns are too big in terms of their population sizes to involve the majority of their citizens in all stages of the planning process. Therefore, for participation to be effective, it must be structured i.e. clear rules and procedures must be established as to who is to participate, who will not participate, but needs to be consulted on certain issues, on which issues should direct participation or consultation take place etc. Striking a balance, between, on the one hand of working optimum participation formula and on the other, of making it manageable is a delicate balancing act. The tools in this manual try to address most of these concerns.

Another point that must be emphasized is that participation is not a one time activity; rather it is a continuous process in all planning phases and goes much beyond the plan preparation stage, into the implementation including the monitoring and evaluation stages, although the mode of participation changes from one phase/stage to the other. With the ever changing situations, even some adjustments to the already proposed plans are inevitable.

In connection with the above, in order for development plans to be truly participatory, for the local citizens to own both the process and product of the development plans, for a continuous involvement of the stakeholders in all stages of the plan period, plans need to be prepared locally. In this regard, article 14 of the draft Urban Planning Proclamation (2005) states that all urban centers have the right to prepare or cause to prepare urban plans. The current practice of dispatching a planning team of experts from the federal or even the regional centers, only for a very limited time, is not likely to produce the desired results.

It may be argued that in a situation where local planning capacity is limited, as is the case now, the current practice of dispatching experts as a stop-gap measure until such time that capacities of municipalities are developed, is the only option. However, for such a system to work more effectively, the dispatched planning teams must stay longer and work together with local staff so that transfer of knowledge is achieved, which eventually leads to working independently, with little or no outside assistance. The hands-on experience or learning-by-doing kind of approach for the local experts would go a long way in addressing the required capacity building efforts.

Another important point that needs to be addressed is about the *cost* required to manage the participation. Although the people must be convinced that participation is for their own benefits and that spending should be kept at minimum, incurring some financial costs is inevitable. Even in FUPI's short experience in participatory planning, it is not often thought of allocating budgets for participation. There is no effective participation without cost. Budgets must be allocated for participation which in fact must be seen in terms of the great benefits accrued from it.

2.2 Organizational Arrangements

In order for public participation to work as required, some form of permanent or semi-permanent organizational arrangement is vital. This is also the assessment of respondents to the questionnaire survey. Once the structures takes shape, all the affected/concerned parties will have access to participation and decision-making process. This would allow the institutionalization of participation. The arrangement needs to ensure that the disadvantaged/marginalized groups of society, one way or the other, are included in decision making. By and large, the general participatory mechanisms are similar, but need adaptation to the particular environment they are applied in. The following generic two-level forums, through which public participation is insured in Ethiopia, are proposed as follows.

- (1) The *Kebele* level forum is the lowest level and vital, where grass-roots participation is ensured. Here a *Kebele* Committee which is a permanent or semi-permanent body, as the case may be, that stays for the duration of the entire planning period, is established perhaps by *Kebele* council (if there is one) from the residents of the respective *Kebeles*. This body provides the vital link between the grass-roots population and the planning authorities. By representing the interest of the *Kebele* community, the importance of this body cannot be overemphasized. The *Kebele* Committee may not include *Kebele* officials or even elected councilors. While the *Kebele* councils ensure political representation of the local population, the *Kebele* committees are the vehicles through which participation of the local residents in development activities is guaranteed.

Already in the draft *Improvement in Public Participation Sub-Program*, issued by Ministry of Works and Urban Development, it was stated that different committees should be constituted from the *Kebele* residents. This is very similar to what we propose in the foregoing. Therefore, since the Government has already issued such a program, it would not be difficult to put such a structure in place.

Other grass-roots stakeholder organizations like business associations/chamber of commerce, NGOs, teachers' associations, professionals need to create participatory forums. They should also send their representatives to the overall and higher forums from early on the planning process.

- (2) The second and a higher level forum is the Stakeholders' Forum (SF), which provides an organizational mechanism for discussion, negotiation and decision-making, among stakeholder representatives and the municipal officials/government. As opposed to the *Kebele* forum, the Stakeholders' Forum or Committee is organized on municipal level and includes representatives from all *Kebeles* and other grass-roots groups.

The selection of members to the Stakeholders' Forum needs to be based on criteria that ensure geographical and social representation. The SF is usually chaired by the mayor or in bigger municipalities, by a manager appointed for the planning cycle. When there is a facilitator (there should be one), the meeting is directed or facilitated by the facilitator, while the mayor/chairperson plays a ceremonial role, and mainly addressing the opening and closing ceremonies.

- (3) The Steering Committee (SC) - Unlike the above two bodies, the Kebele Committee and Stakeholder Forum, where public participation is required to be insured, the SC is composed of technical people and senior officials. In larger municipalities, the SC can be constituted from technical departments and other officials of the Municipality.

In smaller municipalities or town administrations, which are in fact the dominant number in Ethiopia, however, technical people are in short supply even in the towns. It is, therefore, advisable to form some kind of task teams composed of technical people and officials from other public agencies as well as the municipality/town administration. Still, SC members could be composed of the municipalities and other public agencies, according to some formula worked out by the respective municipalities.

The main duty of the SC is to support the Mayor or Municipal manager and ensure smooth planning process (including the stages of implementation evaluation and monitoring). To carry out its duties, the SC may establish sub-committees for specific activities by including additional persons outside the SC. In subsequent phases, the SC also plays an important role as a technical arm of the Stakeholders' Forum, where it prepares the different technical proposals before discussions are held in the Forum.

- (4) Project Task Teams-A small team of perhaps 2-5 members composed of technical people and officials is formed later during the project phase.

It must be stressed that the municipality is the focal institution which coordinates all the planning activities including the participation aspect.

Table 1. Participatory Institutions by Coverage, Population Served and Specialist/Facilitator Requirements

Participatory Institutions	Participants Served	Participation Coverage	Special Resource Requirements
Kebele Forum	Kebele residents	Kebele level	-
Stakeholder Groups Business, NGOs, Associations	Members of each stakeholder group	Each stakeholder group level	-
Stakeholders' Forum -General discussions -Technical analysis	Representatives of all stakeholder groups	Municipal/Town level	-Facilitator -Specialists
Steering Committee	Technical people	-	-
Project Task Teams -Formation..... -Technical proposal.....	-Stakeholders' Forum members -Technical people	-Municipal level -	-Facilitator -

2.3 TOOLS

DEFINITION: A Tool is basically a problem-solving technique/device, normally based on experience, which show how particular tasks or parts of tasks may be addressed.

These tools, given below, are not theoretical, but operational tools which can be used in practical situations and are synthesized from "real world" experiences, as much as possible, adapted to our situation. Some of them have already been tried and were found applicable in the Ethiopian context. To simplify the presentation to practitioners and increase their effective application, especially in the Regions, the tools are provided under each planning phase. In reality, however, the application of each tool is not necessarily limited to a particular phase, but can be applied to more than one.

PREPARATORY STAGE

The responsibility for the preparatory stage of the planning process rests on the shoulders of the higher officials of the municipality in question, the mayor or the manager (if there is one). As the focal organization, the municipality is expected to facilitate the conditions required for public participation in the planning exercise. Among other things, efforts must be exerted to build the capacity of the community with regard to participation related activities. Many of the respondents to our questionnaire stress the importance of this stage before the actual planning starts. The community and all stakeholders should be well aware and ready for the task.

Most municipalities in Ethiopia do lack human and/or institutional resources to assume such responsibilities, at least in the short-run. Under such circumstances, it may be advisable to enlist the support of other professionals residing in the area, perhaps in the form of some kinds of task teams. If public participation in planning is to take root and one wants to get the most out of it in future, however, extensive capacity building measures for municipalities are necessary. In fact, under PASDEP the Government is committed to invest in essential infrastructures and build the capacities of municipalities, among many other things.

Tool 1 Publicizing the Planning Process

The urban planning process is about addressing the basic needs and of improving the lives of the community. Therefore, it must be regarded as a fundamental event by the local community and all other stakeholders.

The level and effectiveness of public/stakeholder participation and the outcome of the planning process, however, to a large extent, depend on informing and creating awareness of the people and various interest groups. To create awareness and generate interest among all stakeholders in a particular municipality/*Kebele*, various, including, some *creative* and *original*, publicity activities must be undertaken. The different

publicity activities should be continuous and sustained throughout the planning and implementation stages, although they may assume different forms and intensity.

Activities

Activity one: Ground breaking ceremonies/sporting events:-To capture the attention and inform a wide cross-section of the community, holding of ceremonies and/or sporting/musical events are likely to contribute a great deal. Speakers about the planning process are invited to commemorate the beginning of the ceremonies. Among other things, the importance of the process in improving the lives of the community and the role expected of residents, that the process is continuous and the commitment of the municipality in the process may be included in the different speeches. Some noted personalities and community leaders may deliver brief speeches about the importance of community participation in the process. Photograph exhibitions may also be held as part of the ceremonies.

*Activity two: Diffusing information through *Idirs* and FBOs* :-As a grassroots based community organization, *Idir* can play an important role in various stages of the planning process. Most people in urban areas belong to at least one *Idir*. During the preparatory stage a well written, but brief text, including some of the points outlined above, may be read. If the number of *Idirs* is not so big, municipal officials may address the *Idirs* in person. Faith based organizations (FBOs) should also be able to cooperate in diffusing information since the planning process is about alleviating poverty and addressing the problems of their constituencies. Moreover, efforts must be exerted to increase the awareness of the institutions themselves about the importance of the planning exercise.

Activity three: Media release/ briefing:-During the preparatory stage, the public relations department or others in the municipality may take the responsibility to provide news or stories about the planning process to different media outlets. By providing news and

different stories, radio and television stations as well as government/private newspapers, with reasonable circulations, can be utilized.

Later, other active members of the community such as teachers should be invited and encouraged to submit stories and letters to the media. Although newspaper readership is low, clips of the articles may be read or posted in schools and different public and private institutions. They can serve as discussion points. Pamphlets/stickers may be distributed and posters displayed in areas of high public use and schools.

Activity four: Announcements: Once fertile ground is created through various means, and the public is aware of and is convinced about the benefits it stands to gain, messages about different meetings can be conveyed through megaphones, local radio stations or other means at different times and places.

Tool 2 Participation Checklist

Prior assessment of whether conditions exist for genuine public and stakeholder participation or bottom-up planning is important. If they don't exist, either it is necessary to create the required local decision-making process as much as possible or defer the exercise until such time that the right conditions are created. If participatory planning is attempted when most of the right situations do not exist, our efforts would simply be in vain.

The assessment could take the form of a simple participation plan or checklist and aims to assess the local political and institutional conditions for a participatory process and may include the following:

- a) *Level of political will and capacity in regional and local governments.*
- ✚ The Mayor's position and capacity in relation to the consultative process
 - ✚ Organizational strength of the Mayor and his\her staff including staff availability, office space, budget for operational costs etc.
 - ✚ Expressed commitment for participation and resource mobilization
- b) *Presence of Stakeholder Groups*
- ✚ Strengths and interests of social organizations and community based organizations (CBOs)
 - ✚ Presence of advocacy groups and organizations.
 - ✚ Experience of NGOs working with the local authorities.
- c) *Institutional conditions for operationalising stakeholder involvement*
- ✚ Local government openness to participation by the private sector and civil society organizations.
 - ✚ Whether or not there is an amicable relationship between the community and the Kebele administrations at the grass roots level on the one hand as well as the Kebeles and the municipality on the other.
 - ✚ The level of enthusiasm/interest of the community for consultative meetings

Tool 3 Stakeholder Analysis

DEFINITION-Who is a **STAKEHOLDER**? We begin with a simpler one, given by Portland Development Commission (2005):

Stakeholders are any individuals, group of individuals, organization or political entity that has an interest in or is potentially impacted by a.....policy, programs or projects.

According to a more elaborate definition given by UNHCS (Habitat)(2001), **Stakeholders** are; (1)those whose *interest* are affected by the issue or those whose activities strongly affect the issue; (2)those who posses *information, resource* and *expertise* needed for strategy formulation and implementation, and (3)those who control relevant *implementation instruments*.

Stakeholder analysis is a fundamental tool in any participatory planning process. It helps to identify those people, groups and organizations that have significant and legitimate

interests in the planning process. Also clear understanding of the potential roles and contributions of the many different stakeholders is a fundamental prerequisite for a successful participatory urban planning and stakeholder analysis is a basic tool for achieving this understanding.

However, stakeholder analysis by itself only identifies potentially relevant stakeholders, but it does not ensure that they will become active and meaningful participants. Other tools, as we shall see, are required to generate interest and sustain commitment.

Inclusion of the full range of stakeholders is not only an essential pre-condition for successful participatory decision making, but also vital for promoting equity and social justice, as guaranteed in the Constitution. It is important to include particularly the disadvantaged groups which are usually forgotten or are not given adequate attention such as poorest groups, women, disabled, etc. They should be able to participate directly and/or, through their organizations (if they have) or through advocacy groups. Direct participation, however, is feasible and be encouraged at *Kebele* level forums.

Activities

Activity one: Listing of stakeholders

Separately or preferably as part of the process plan, a long list of possible stakeholders, as comprehensive as possible, should be prepared, perhaps under the stakeholder category groups (e.g., Kebele committee , private organizations, NGOs, CBOs, public sector)

Activity two: Stakeholder mapping/grouping:-The stakes or interests of all stakeholders in the planning process are not the same. Some are likely to benefit more than others and hence should participate more to safeguard their interest. Grouping will help us to focus more on the key groups and exploit the positive attributes. Therefore, once listing of all stakeholders is completed, each member is categorized or" mapped" into groups (e.g. marginalized /vulnerable groups, traditional leaders, resource persons, etc.). It will also

identify areas where capacity building is necessary for effective stakeholder participation. Filling up the following matrix allows to identify the position of each stakeholder group in relation to the process.

Table 2. Influence-Interest Matrix

Level	Low Influence	High Influence
Low Stake	least priority stakeholder group	useful for decision and opinion formulation brokering
High Stake	important stakeholder group perhaps in need of empowerment	most critical stakeholder group

Source: UNCHS (Habitat), 2001

Activity three: Assess stakeholder availability and commitment:-Review, perhaps utilizing additional informant and information source, the initial analysis to insure that no key stakeholders are omitted. Also assess the availability and commitment of the already identified stakeholders.

Activity four: Devising strategies for mobilizing and sustaining effective participation

Strategies should be tailored to the different groups of stakeholders as analyzed and classified above. For example, empowerment strategies could be applied to those stakeholders with high stake but little power or influence.

Tool 4 Establish the *Kebele* Forum

The *Kebele* level forum is intended to be the lowest, but crucial level where the *Kebele* community participates. This is also the level where direct participation is possible. If a particular *Kebele* is so large, as is the case now in many places, there may be a need to break it into manageable areas or zones, at least for the duration of the meetings so that as

many interested people as possible can participate. It must be stressed that *Kebele* meetings, with respect to the planning process, must be open to all who are interested.

The main purpose of creating the *Kebele* forum is two fold; to provide a forum for a large part of the community to directly participate and to establish a permanent/semi permanent body called the *Kebele* Committee that serves as a bridge or contact group between the grass-roots community and the entire planning process, including at the implementation and evaluation/monitoring stages.

Activities

Activity one: Following publicity of the planning process, through different methods (e.g. radio, posters, drama/ photograph etc.) including clear explanations of the reasons for the meeting (see tool 1), a general meeting of the *Kebele* population needs to be called. The initial meetings must be open to all *Kebele* members who are interested.

- The medium of discussions of the meeting should be the local language. Translation services need to be given for the benefits of those who do not speak the local language so that the interests of ethnic minorities are also respected.
- All community members should be well aware of the venue (the place where the meeting is to take place) and the time of the meeting. Dates/time convenient for most members of the community must be selected.
- The community should be encouraged and motivated to participate. Creative motivational activities, both before and after the meetings, like drama and musical activities, would go a long way in creating the right atmosphere.
- Since this initial meeting is crucial, providing refreshment like tea and coffee during the breaks is likely to decrease the number of people going away for coffee/tea and encourage extended exchange of ideas. As much as possible,

efforts should be made to provide similar services at other meetings/assemblies. Most of the respondents to our questionnaire share this opinion.

It must be realized from the outset that participation is not without cost. Starting with publicity the different meetings and activities inevitably incur some cost. Therefore, although efforts are required to minimize the costs at all stages, *a budget must be allocated for participation*. Experiences elsewhere have shown that the benefits gained from participation far outweigh the likely costs incurred.

The *Kebele* Council (if there is one) should take the responsibility and the lead in organizing the meeting and make the public aware of the established mechanisms and issues in which it wants participations. The first meeting itself may be chaired by a member of the Council. If *Kebele* Council does not exist, a person selected by the assembly should chair the meeting. The *Kebele* administration chairman should not automatically assume chairmanship.

After a brief introduction, the chairperson should encourage free discussion about the problems existing in the *Kebele*. A flip chart can be used to list down and group the problems in the *Kebele*. The different problems could also be located on a map of the *Kebele*. After allowing sufficient time for discussions, the chairperson or who ever is conducting the meeting, should skillfully lead to prioritization of the issues/problems already stated as much as possible by consensus.

It is very important to stress that the activities as well as the outcomes of the meeting should be meticulously documented. Therefore, before the meeting starts, a good rapporteur should be selected. The minutes of the meeting, not only are kept for the record, but eventually would be used as a source of a report that needs to be prepared for the Stakeholder Forum meetings.

Activity two: At the end of the discussion, the participants are invited to select a committee (contact group) to represent and serve as a communication channel between the *Kebele* and the planning process. Members of the contact group are chosen by vote of the participants. Until legislative instruments, about particulars of a *Kebele* committee like the organizational form it should take, its composition etc. are issued, we have taken the liberty to suggest the following:

- The committee may consist of at least eight dedicated members depending on the size of the *Kebele*.
- Fair or equal representation of women must be ensured.
- The geographic spread or representation from all parts of the *Kebele* needs to be taken into account
- Based on the priority problems identified during the community discussion(s), people working in or having specialized knowledge of these sectors should be included.
- The committee needs to have its own chairman who represents the committee whenever required. The member with the highest vote, during the election, could be nominated as the chairperson of the committee. On the other hand, the committee may agree, by a majority vote, to nominate a chairperson.
- Appropriate time, for committee meetings, must be agreed upon by the committee members.
- The committee, through its chairperson, must report back to its constituency periodically about the progress, discussions and activities that transpired regarding the planning process. The committee should get feed-backs and reflect the interest of the community in its dealings with the planning bodies.
- The committee should also be responsible to meticulously document all the discussions and activities that took place for future references.
- Committee members may be reimbursed for out-of-pocket expenses from the *Kebele* or the municipality, depending on the situation.
-

Some Important Reminders

- Is the required facilitator already obtained?
- Is the rapporteur-the person who records the activities and the outcomes of the *Kebele* meetings-already selected?
- Are actions taken to compile the REPORT of the *Kebele* meetings?

NOTE:-Like the Kebele forum discussions, earlier on, other stakeholder groups with significant number of members e.g. Business, Civil Society groups, NGOs can hold their own meetings long before the Stakeholders' Forum meetings. The main purposes of such meetings are twofold:

- (1) To discuss about development needs and compile a report to be discussed in the Stakeholders Forum.
- (2) To select representatives or contact groups who represent them in the Stakeholder Forum

Tool 5 Establish Stakeholders' Forum

While direct participation was recommended in the *Kebele* forum, indirect participation is the mode of participation of the Stakeholders' Forum. The Stakeholders' Forum is a permanent/semi-permanent organization composed of representatives of all the stakeholders in the municipality (sometimes even some out of the municipality). In the *Kebele* forum, all those interested *Kebele* residents were to be invited (see tool 4). In the Stakeholders' Forum, however, representatives of organized and unorganized groups, some individuals and representatives of *Kebele* residents in the municipality are included.

Activities

Activity one: Following a stakeholder analysis, in tool 2, prepare a final list of members to be included in Stakeholders' Forum. The size of the list may differ from one municipality to the other depending on the size and complexity of the municipality in question.

As much as possible, social and geographic representations must be ensured.

Composition of a suggested list looks as follows:

- Chairperson---Mayor or City/Town manager.
- Secretariat ---Steering Committee
- Members :
 - ✓ Members of executive committee/department heads of the Municipality
 - ✓ Councilors (if there are)
 - ✓ Traditional leaders
 - ✓ Representatives of religious denominations.
 - ✓ Kebele committee representatives. If there are many *kebles*, only the chairperson or few representatives may suffice.
 - ✓ Heads/representatives of public agencies (including Utilities)
 - ✓ *Idir* chairperson/representatives
 - ✓ NGO and other CBO representatives
 - ✓ Representatives of faith based organizations (FBOs)
 - ✓ Resource persons/Noted personalities.
 - ✓ Representatives/advocates of marginalized groups

By way of a practical example, specimens about the composition of two different lists of Stakeholders' Forums, one for a small town (Yabello) and another for a bigger town (Awassa) are provided below. Both lists are taken from the process plans of the respective towns, prepared by FUPI.

Box 1. Composition of Stakeholders' Forum for Yabello Town

Stakeholders' Forum for Yabello Town

- Chairperson – Zone Administrator/ Executive Mayor of the town;
- Secretary –The IDP Manager
- Members:
 - ☞ . Heads of Sector Departments or Senior Officials;
 - ☞ . Senior Officials of the municipality;
 - ☞ . 20-30 *Kebele* representatives composed of the chairpersons, women& youth associations, religious leaders, noted personalities, disabled persons and sex workers etc.*
 - ☞ . Representatives of organized groups (Institutions);
 - ☞ . Advocates for un-organized groups;
 - ☞ . Community representatives (*Edir, Mahibers, etc*);
 - ☞ . Traditional leaders and/or elders;
 - ☞ . Resource persons (intellectuals, retired officials, researchers, etc.);
 - ☞ . NGOs;
 - ☞ . Other role players

* There are only two Kebeles in Yabello town.

Source: The Process Plan (TOR) of Yabello town, FUPI.

Box 2. Composition of Stakeholders' Forum for Awassa Town.

Chairperson: Mayors' Committee member or a member of the Committee of Appointed Councillors

Secretary: IDP Steering Committee member

Members:

- Members of the Executive Committee (Regional, Woreda)
- Councillors (Regional, Woreda, all mayors' committee)
- Traditional Leaders
- Kebele Committee Chairperson
- Heads of Departments / senior officials
- Stakeholder representatives of organised groups
- Advocates for unorganised groups /could be NGOS/
- Resource persons
- Community Representatives
- Federal Infrastructures Representatives
- Chamber of Commerce Representatives
- Religious Institutions Representatives
- Civic Societies Representatives
- Higher Institution Representatives
- Financial Institution Representatives

Source: Process Plan (TOR) for Awassa Town

Apparently, as can be seen from the above boxes, the composition for bigger towns/cities is generally likely to increase with increase in size and level of sophistication. This is obviously because there are higher order services in larger towns that are not available in the smaller ones. For example, in Awassa there are many institutions of higher learning, more NGOs and other public institutions than in Yabello. Consequently the scope of the participatory process is wider demanding more coordination than in smaller towns. While only Kebele committee chairpersons are included in Stakeholders' Forum in Awassa, 20-30 Kebele representatives are included in Yabello. The marginalized/vulnerable groups are not explicitly listed in the Awassa Stakeholders' Forum.

Activity two: Invitation letters, with similar content, is sent to all selected members of the Stakeholders' Forum (mainly for the first meeting). Among other things, the letter need briefly, but clearly explain the responsibility of members, the venue and time of the

meeting. It should also contain the program of the meeting containing the general agenda so that participants get some time to think over the issues.

Activity three: Preparation of venue, necessary tools; like amplifiers, chairs & tables, flipcharts and maps of the municipality are important.

Tool 6 Acquire a Good Participation Facilitator

DEFINITION: **Facilitator** is a person trained or experienced in facilitating and leading group discussions, consultations, and meetings. He / she has the skills to apply the various techniques and tools that make joint activities more efficient and more participatory (UNCHS-Habitat, 2005)

The role of the facilitator is to assist with a process of information exchange, and to help discussion/workshop participants collectively focus on the issues and reach decisions. It is usually the case that because of lack of facilitation skill, meetings take much more time than is required and often may not even reach satisfactory conclusions. This only contributes to meeting fatigue. By saving time, improving the mood of the participants, the facilitator makes sure that the time is well spent and fruitful.

Activities

Activity one: Select and acquire a skilled facilitator early in the planning process, if possible even by hiring one. S/he may be acquired from outside the municipality, but well aware of the local knowledge. S/he must be neutral without vested interest in the issues under discussion. The main duties of the facilitator include (1) to make the stakeholder forum discussions easier and efficient-including design of the process and (2) perhaps to give training in facilitation to those selected from the different *Kebeles*. It would be better if the facilitator is recruited much earlier, during the preparation stage. S/he could be involved in designing the workshop itself and could provide more useful advices.

Activity two: Since it is hard to find capable facilitators at *Kebele*, sometimes even at municipal level, the municipality/town administration should facilitate training opportunities for those selected especially from the *Kebeles*, as part of the participatory planning process.

Some NGOs or Government agencies might be willing to cooperate, if asked. Therefore, the municipalities should explore all avenues in this direction. Also if financial assistance is obtained from private or government agencies, the municipalities may hire the required facilitator with the assistance obtained.

Some Tips on facilitation

- ✚ Be mindful of time constraints of local people-such as *Idir*, religious and wedding events and hence design a participation process that minimizes clashes with these.
- ✚ Do not rush people, but do facilitate and help.
- ✚ Make sure that group rules are clear and acceptable and that views are seriously considered.
- ✚ Do not force a consensus unless, in rare cases, this is required; even then, it may only be achieved after several discussions.
- ✚ Avoid leading questions. Instead, ask open questions, such as "what else?"
- ✚ Do not dominate the discussion; listen carefully and note experiences and opinions
- ✚ Ask, ask, ask.....and listen!

ANALYSIS PHASE

The main purpose of the analysis phase is to identify and analyze problems whether faced by specific community/stakeholder or the municipality as a whole. These different problems are then prioritized so that the costs of addressing the problems are compatible with the resources available to the municipalities. During this phase, the main center of activity, regarding public participation is the Stakeholders' Forum (SF), where the community and municipal problems are discussed thoroughly by representatives and solutions proposed. The Forum ensures that the community's needs are included. It is important that the interests of the lowest strata of society are always taken into consideration. The series of community/stakeholder meetings and stakeholder workshops are likely to take much more time than planners currently utilize.

The *Kebele* level discussions are held before the municipal-wide workshops are conducted, but continue thereafter. The representatives (contact groups) are expected to report back and forth between the *Kebele* and the Stakeholders' forums.

Tool 7 Conducting Municipal-Wide Workshops

In tool 5, we have seen that first, stakeholder representatives were selected and a similar letter of invitation including the venue, time of the meeting and responsibilities of each member, among other things, is sent to each selected member of the Stakeholders' Forum. Workshops consisting of stakeholder representatives are then organized with a good facilitator to be hired (acquired) long before the workshop is conducted. The importance of the facilitator cannot be overemphasized here.

In addition, a rapporteur, or somebody who records the minutes of the meeting, needs to be secured. All records of the different meetings must be kept in safe places for future references. Together with other reports, they would also serve as bench-marks during the evaluation and monitoring phase of the implementation process.

Activities

Activity One: Ensure the finalization of logistical arrangements

Conducting a workshop is not an easy task. Organizing and conducting a series of stakeholder workshops are even more daunting tasks that require careful planning. Therefore, someone may be assigned to take all the responsibilities for the logistic arrangements and the conduct of the workshop activities. Checklist of equipments like overhead projector, flipchart, video or recording equipments, extenuation chords etc. need to be prepared beforehand.

How is the registration of participants accomplished? Whether or not refreshments (like tea and coffee) as well as other catering are to be provided.

Activity two: The municipal manager (as in some larger towns/cities) or the mayor can chair the proposed workshop mainly playing a ceremonial role during the opening and closure of the meeting. On the other hand, the facilitator directs and deals with the main activities after the workshop is declared open.

The chairman delivers a welcome address including the purpose of the workshop which may be followed by a brief introduction of participants. As much as possible, attempt must be made to relax the atmosphere of the meeting. The facilitator need to encourage all members to actively participate. Workshop norms are usually set; like how to deal with cell phones, punctuality, etc.

Activity three: The agenda or program should be discussed so that all participants know what to expect from the workshop. Participants should also be allowed to make comments that may be taken into considerations as situation allows on the following points

- Expected outcomes
- Time frame and punctuality
- Topics to be covered

-Activities/group participation

Activity four: Presenting the topic

The facilitator introduces the issues one by one. In this regard, it might be better to start with issues from the *Kebeles*. Brief presentations of available facts and figures regarding the *Kebeles* are made as a background. Then statements are delivered from *Kebele* representatives. The ideas can be written down on flipcharts or on small cards if they are available. If cards are used, usually only one brief statement is written down in each card. If a significant number of people can not express their ideas on the cards, arrangements might be made to capture their ideas by enlisting the support of other participants. Depending on the situation, the amount of contributions per person or group can be limited.

The different statements are then categorized and structured jointly by the facilitator and participants to reach some decisions. As much as possible, it is preferred that decisions are made by consensus.

The other important topic to be discussed, by the Stakeholders' Forum is the town/city-level or municipal-wide issues. As described in the foregoing, the facilitator introduces these issues to all participants. Brief presentations of facts and figures, usually by experts, that would help participants raise their understanding of the issues, are made. Usually information/data on social, economic and some physical aspects are presented. Data on revenue collection must be presented. Pie chart can be used-indicating the amount of revenue collected versus not collected.

Once the basic facts are presented to participants usually by municipal experts, ideas are collected from participants by the different methods described above. However, it would be better if people are allowed sufficient time to think before starting to collect ideas. Confronting people with facts is crucial in achieving realistic and precise results of a participatory process.

Consequently, technical people and those responsible for compilation of the different set of data should attend the Stakeholders' Forum. Large map of the Municipality, pasted in front of the participants is likely to contribute to the discussions.

Reminder: Visualization is so important that adequate attention must be given in different activities of the workshop to complement oral communication. It is reported that the reception of information occurs mainly by eye (83%) compared to by ear (11%). Meetings, therefore, can be much more successful if messages are also conveyed visually.

Source: IDP Toolbox: p.20

Activity five: Categorization

The collected ideas/statements are categorized and structured jointly by the participants and the facilitator. It is useful if the facilitator has some meaningful categories in mind to discuss and agree with the participants. This can normally be done if a particular problem analysis tool is used. Some of these well known tools include problem census format, problem tree, Fishbone. These tools help to identify the root causes of the problems raised in the Stakeholders' Forum. Consequently, contributions regarding the problems can be structured in terms of causes, effects, potentials and specifications.

The structured contributions can now be discussed and evaluated to determine their usefulness and relevance. It is useful to:

- Deal with erroneous data and opinions (misconception)
- Ensure that reality is reflected adequately
- Check for any missing pieces of information
- Establish **consensus** and deal with differences in opinion

Activity six: Summary

All discussions and decisions should be summarized and visualized to ensure common understanding and agreement. Differences must be clarified by referring to discussions and agreements. After this, no new topic is opened.

At the conclusion of the workshops, agreements must be made on:

- Identification of priority issues.
- Tasks that need to be allocated to people including time frames.
- The documentation and dissemination of the results.
- Any future follow-up meeting.

STRATEGY PHASE

We have seen that in the analysis phase, the major problems and their root causes were discussed and priority issues identified through public participation. In the strategy phase ways and means or alternative strategies to address these identified problems are assessed, again with public involvement, mainly again in the form of Stakeholders' Forum. The main outputs of the strategy phase are:

- A long-term **vision** of the municipality
- Mid-term **objectives** for each priority issue
- **Strategies** for each priority issue and
- Identification of projects

Again in the strategy phase, the Stakeholders' Forum plays a central role. A workshop of the Stakeholders' Forum is again required to determine the vision (and perhaps the mission and value system too). Briefly, vision is a statement of what the municipality wants to achieve at some future time.

The Stakeholders' Forum should formulate the vision. How is a common vision formulated? In the case of Ethiopia, where the whole idea of participatory planning in general and things like the idea of vision formulation in particular are new, *some form of education and awareness creation* is vital before directly plunging into the visioning exercise. Therefore, we strongly recommend giving, at least, some explanation of what a vision is, why it is formulated? Etc.

Tool 8 Formulate Vision

There are many tools of how to determine a vision. As an example, the Mind Journey tool (from IDP Toolbox is given below.)

Activities

Activity one: Mind Journey

The facilitator guides participants² (who should relax and close their eyes before the start of the "journey") on a **fantasy trip**. Participants are first asked to imagine the present day-to-day situation they are in and then guided on a fantasy trip by entering a plane, taking off and looking down on the present reality from high above until it disappears and they have left their present reality with all its worries behind.

There is a silent phase and then the participants will be guided back to their home places (after a long period of absence-5 to 10 years). They will land in the plane and be asked to imagine the place the way they would like to see it (their homes, their working place, their families, the broader community, their town/city etc.) Participants are given time to imagine all relevant aspects of their future desired situation and are asked to open their eyes and come back to reality.

Activity two: Developing vision statement

The facilitator gives participants 5-10 minutes to phrase their imagined future situation in 1-2 sentences and write these down. These are handed in and used as a basis for developing a vision statement. As a means of building consensus, some time can be allocated to sharing and discussing peoples different "visions".

² In our case, the participants could be members of the Stakeholders' Forum or any other stakeholder group.

Many people may not be able to write down what they imagined. Under such circumstance, either the facilitator should help in jotting down these different "visions" separately or enlist the support of other participants to do so.

(For more tools on vision formulation, see the IDP Guide Pack-Toolbox)

Activity three: Popularizing the vision

Once a common vision is accepted by the Stakeholders' Forum, then the municipality/town administration together with the Stakeholders' Forum should devise ways and means to popularize the Vision and kindle debate on it, among the public at large. This is likely to take some time. Popularizing, publicizing, and debating the working vision may take as long as six weeks.

Activity four: Revising the Working Vision After some discussions and debate among the public at large, there might be a need for revising the vision. Therefore, another, one day workshop of the Stakeholders' Forum is required to revise the working vision.

Tool 9 Determine Working Objectives

Working objectives are initially drafted/ phrased by the Steering Committee and then eventually presented for discussions and decisions to the Stakeholders' Forum at the visioning workshop. Visioning and the decision on objectives should be one process and must be done in the Stakeholders' Forum.

The objectives are formulated in such a way that they contribute to the vision and relate to the priority issues and guide the strategy formulation. They need to be formulated as solution to the identified problems. In this regard, there are different tools of determining objectives compatible with the vision and the selected priority issues.

One such tool is the Objectives Formulation Chart. The Chart puts the vision, priority issues and the objectives on the same table and ensures that each objective addresses at

least one priority issue and at the same time contributes to the overall vision. It is important to stress that it is the Steering Committee, using whatever technique, which initially drafts the objectives and present them to the Stakeholders' Forum for discussions and decisions.

Tool 10 Develop Strategy

A public debate on the alternative strategies of solving the identified problems should be stimulated through the Stakeholders' Forum. The debate could be conducted on two levels. The public at large can debate on the pros and cons of the different alternatives, either in different community and stakeholder forums or just by open, unstructured public debate. The media may be involved, and hearings with experts may be organized. Technicians and specialist in charge should be asked to provide the information on expected costs and benefits. This process is likely to take some time.

On the second level, later, the Stakeholders' Forum debates on the alternative strategies, taking into consideration the direction of the public debate. The following activities are suggested:

Activities

Activity one: A broad rang of realistic alternatives for each priority issue is created in the Stakeholders Forum. A workshop or a working group session is required to create alternatives for each priority issue. This ensures (a) Provision of specialist information on alternative ways (b) To stimulate a creative brainstorming process (c) That every participant gets a clear picture of what is proposed.

Activity two: The identified and refined alternatives for each priority issue have to be listed in such a way that comparison and analysis are made easy.

Activity three: A broad debate on the advantages and disadvantages of each alternative is encouraged among the public/stakeholder groups. Professionals should also be involved by compiling information on the various effects of the alternatives. The municipality should create conditions for public debate and the Stakeholder Forum should stimulate it.

Activity four: Criteria for comparative analysis should be agreed on

Activity five: Finally, the alternatives should be analyzed and decisions made in the Stakeholders' Forum against each of the criteria based on the public debate and the expertise provided by the professionals.

There are many techniques which help in the alternative strategy identification debate. One such technique/tool is what is called brainstorming, which itself has many variants. One of the variants is given below as an example (see Box 3).

Box 3. An Example of a Brainstorming process for Strategy Identification

- Consider the issue at hand and formulate a 'how' or 'what' question that indicates to the participants what kind of contributions are expected (the brainstorm question).
- Write the question on top of a whiteboard or flip chart and check whether it is understood by all
- Distribute cards of single color and pen (preferably felt tip markers, if there are) to the participants. Explain that they should adhere to the following rules while phrasing their answers:
 - One single idea per card - there are sufficient cards to allow more ideas
 - Use bigger and bolder letters and try to remain within **one brief sentence**.
 - Verify whether the participants have, at this point any question on either the brainstorm question to address or on the brainstorm procedure.
 - Repeat the brainstorm question and ask participants to write their ideas on cards. Do not panic if it takes a while for the first idea to emerge.
 - Now two options can be chosen
 - For sensitive questions (participants would not like to be identified with a particular opinion) collect all cards and only at the end of the period of writing paste them on the wall, using masking tape, while reading them out loud
 - For less sensitive issues: collect a few cards, read them out loud and put them on the wall. Ask participants to not repeat ideas they have heard already.
- You cluster the cards while pasting them according to pre-defined categories if you are in a hurry. But it is always better to ask the participants to help in grouping the cards according to categories that emerge during the discussion. Give cluster titles on a card of a different color. During the discussion on clusters, ideas can be clarified. Only remove cards that are not relevant or that are 'double' if the group suggests so, or agrees to the suggestion.
- Summarize the question and the outcomes, and thank participants for their contributions. If new or surprising outcomes were generated, ask participants to voice how they feel about the outcomes.

Source: Maastricht School of Management (2005). Participation in Decision-Making Process

PROJECT PHASE

Intensive public participation continues unabated during the project phase. The affected communities and stakeholders are informed of the projects. They are invited to meetings and their ideas and concerns considered so that project proposals reflect the specific needs and requirements of those communities/stakeholders. Also During this phase of the planning process, among many other things, inevitably, task teams are formed to take responsibility for each project and are given clear terms of reference. Budget is also allocated for each project during this phase

Tool 11 Community/Stakeholder Participation in Project Phase

During this phase, the community and the different stakeholders as well as the Stakeholders' Forum play an active and significant role.

Activities

Activity one: Establishing Project Task Teams Once projects are identified, some body must take the responsibility of formulating and implementing them. This crucial task rests on the shoulders of what we may call the "Project Task Teams". These teams should be small operational teams (Perhaps 2-5 people) composed of technical people and/or including representatives of agencies likely to be involved in project implementation. Their composition is subject to the nature of the project. Inter-sectoral projects need inter-sectoral teams. Sectoral projects, however, may only need sectoral teams.

The teams are usually proposed by the Steering Committee with some Terms of Reference. Technical officers in charge of implementation management should play a key role within the Project Teams.

Activity two: The Stakeholders' Forum discusses and approves the proposed composition of the task teams with a clear mandate. This is to make sure that competent people are involved in the teams. Initially, the Steering Committee proposes teams for identified projects.

Activity three: The community or a stakeholder group affected by particular projects need to be consulted. That is, designing localized community related infrastructure or services require an intensive dialogue with the affected communities, in particular if there is a public-community partnership. Therefore, the Task Teams are expected to consult and work closely with communities/stakeholder groups.

Activity four: As is known, resources are limited. Therefore, in order to insure transparent and rational distribution of available resources between priority projects, the Stakeholders' Forum discusses and also approves the proposed budget allocations. Initially, however, it is the Steering Committee which also proposes the budget allocations.

Activity five: For municipal wide projects, public hearings or discussions in the Stakeholders' Forum or both are essential.

From what has transpired in the foregoing, it can be discerned that community/stakeholder participation, including that of Stakeholders' Forum remain intense.

INTEGRATION PHASE

The question at this juncture is, what form does participation take during this more complicated phase? One thing, however, is still true. Participation remains active during this stage, mainly in the form of discussions/debate in the Stakeholders' Forum.

The main purposes of this phase are:

- To ensure that the different proposed projects are in line with the available guidelines, objectives and resource frames
- To ensure that the most important issues are mainstreamed in the different projects and programs
- To integrate the different projects and programs
- To prepare a 5-year financial plan and capital investment program

Tool 12 Participation in Integration Phase

Discussions/debates in the Stakeholders' Forum, involving various experts, are conducted. It is important to stress that *professional facilitation of the workshops is necessary since the discussion is likely to involve complicated technical issues*. The main activities that need to be performed, under this phase, are given below.

Activities

Activity one: Checking Compliance The different projects and programs are presented to an extended workshop of the Stakeholders' Forum:

- To check for compliance with guidelines, policies and legislation as well as objectives.
- The Steering Committee checks all project proposals before they are presented to the Stakeholders' Forum. At the same time sector agencies revise their sector programs.

- The inter-sectoral negotiation process for scarce funds is closely related to the compliance and the relevance of project proposals in the context of overall principles, priorities and strategies.
- Revisions resulting from the discussions in the Forum will be incorporated in the different projects and programs through the project task teams and sector agencies.

Activity two: Main Streaming One important task of the Stakeholders Forum is to ensure that very important cross-cutting issues like

- (1) Poverty reduction program
- (2) Environmental program

are mainstreamed in the different projects. Compilations of a brief report to each of the above mentioned programs should be done by a competent resource person. It is first presented to the Steering Committee and then, together with comments and recommendations, to the Stakeholders' Forum after which discussions are held. It must be ensured that recommendations given in the Stakeholders' Forum are incorporated in the integrated projects via the respective project task teams.

It is to be stressed that the legitimate representatives (or advocates) of the social strata concerned will attend the workshops of the Stakeholders Forum.

Activity three: Integrating projects and programs

While the Project Task Teams revise their project proposals, the process of integrating the different projects and programs is carried out in close coordination with the project revision process.

Members of the Steering Committee, the Stakeholders' Forum or other specialists are nominated to compile the integrated plans on the basis of the project proposals. The persons involved, by and large, should be domain specialists.

At the end of this process, the integrated plans, but not the revised projects, are presented and discussed in the Stakeholders' Forum.

The necessary changes, resulting from this discussion, will be incorporated in the draft plan.

Approval phase

Tool 13 Participation in the Approval Phase

The approval phase is the final phase in the planning process and before actual implementation starts whereby the City/Town Council gives its approval by a majority decisions in a full Council meeting. Even in this final process, public participation is evident.

Activities

Activity one: Copies of the draft plan or a summary of the plan should be disseminated to all councilors, all members of the Stakeholders' Forum, other relevant stakeholders and local media, if possible. Some copies should be made available at places accessible to the public so that the public can make comments. At least a month might be given before final comments are collected.

Activity two: Major and controversial issues arising from the comments must be submitted to the Stakeholders' Forum for decision making. Public hearings might also be held by municipal officials.

Activity three: After making sure that the relevant comments are incorporated, the Council approves the plan by a majority decision in full Council meeting.

Implementations Stage

During the implementation stage, including the monitoring and evaluation phase, it can be surmised that participation will continue. For one thing, community involvement in projects will continue sustainably, first during implementation and later by giving beneficiaries a stake in nurturing/ taking care of the continuation of the projects even after the formal completion and handing over.

The Stakeholders' Forum will continue to play an active role during the implementation stage. Not only should it follow the progress very closely, it would also continue to discuss and decide about the different adjustments required during this ongoing process. The Stakeholders' Forum should continue with the mobilization of the different stakeholders in the implementation process.

It must not, however, be forgotten that the municipality is the focal institution in the preparation and implementation of the plan. On the other hand, the municipality should be obliged to involve all stakeholders and other institutions in its efforts. This needs to be enshrined in legislation. Especially, the close relationship between the Steering Committee and the Stakeholders' Forum need to continue.

Tool 14 Participation in Monitoring and Evaluation Phase

The main objective of this phase is to follow and find out whether or not implementation of the different projects and programs stays on course, as much as possible, as planned in terms of both time and allocated resources. More often, changes would be inevitable with changing circumstances. Concomitantly, the main purpose of the continuation of public participation during this phase is, to make sure that the plan, prepared and approved through public participation, is not derailed from its original course during implementation.

Monitoring is a continuous follow up process involving the gathering and organizing data into sets of information about sets of actions/events/situations. The information could be about

- The implementation of programs and projects through a series of indicators
- The achievement of objectives set in the plan
- New data sets like baseline data on demographics, new policy and legislation etc.

Activities

Activity one: The Mayor, the Municipal Manager, or any executive head assisted by sector officials, is primarily responsible for regularly organizing initial summary information for consideration by the Steering Committee, at least every year. The municipality should assign a body to continuously monitor and compile data on the various activities.

Activity two: The Steering Committee elaborates the initial summary information and together with comments and recommendations, submits it to the Stakeholders' Forum.

Activity three: After assessing the implications of the compiled information for the prepared plan, the Stakeholders Forum should be able to agree on the amendments and refinements required, following discussions in the Forum. Finally, the full Council needs to agree to any major changes to the implementation schedule or budget and eventually make decisions.

Monitoring and evaluation may also include participatory midterm review workshops to increase local involvement and ownership, and to generate commitments to improve project performance.

After the end of the plan period, the planning cycle would start all over again, from plan preparation to implementation, improving on earlier experiences. It is an iterative process.

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