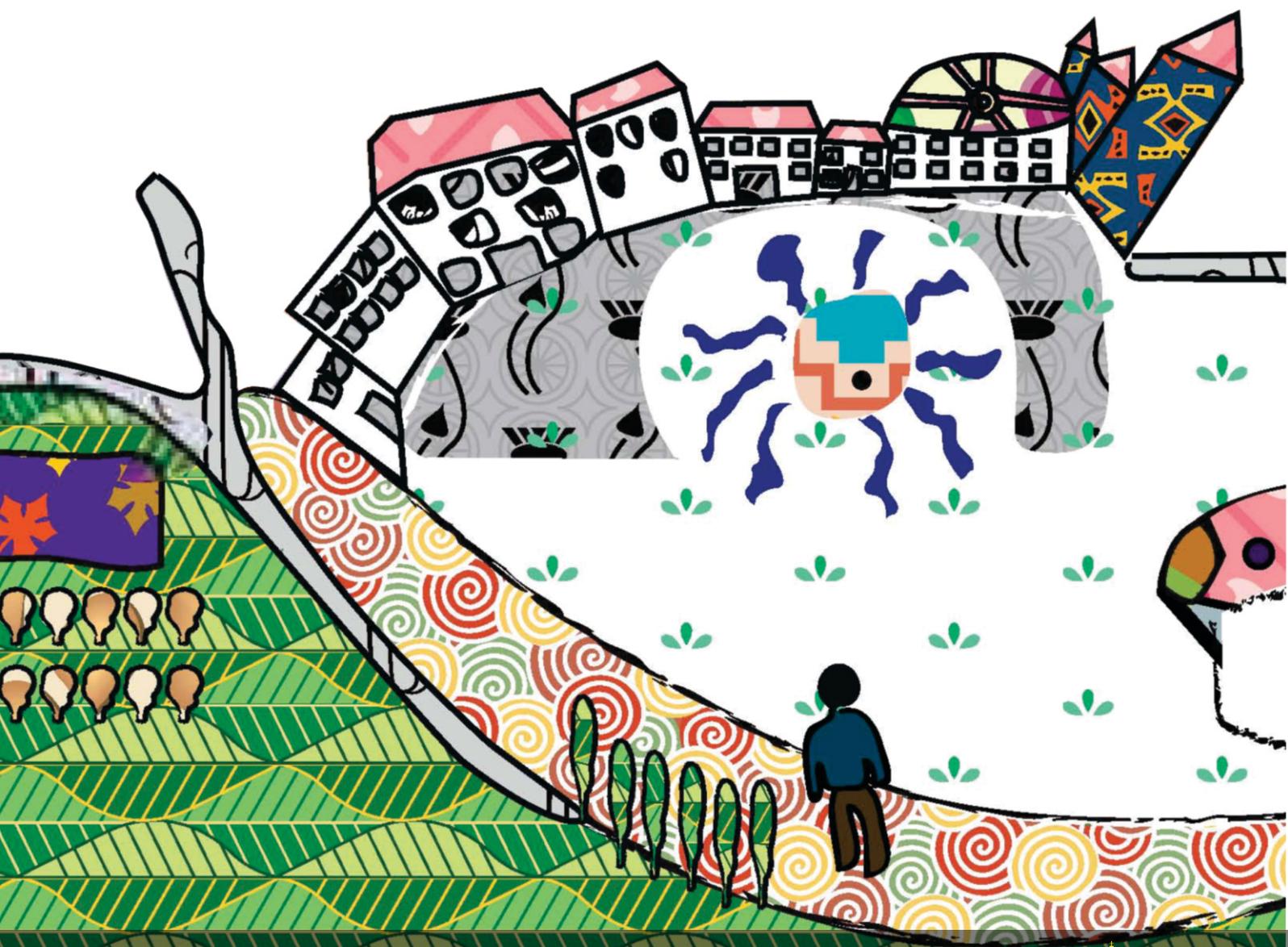


MUNICIPAL SPATIAL PLANNING SUPPORT PROGRAMME IN KOSOVO

Making Better Cities Together

A GUIDE TO MANAGING CAPITAL INVESTMENT PROJECTS



Implemented by:

UN HABITAT
FOR A BETTER URBAN FUTURE

Financed by:

**SWEDISH DEVELOPMENT
COOPERATION**



MUNICIPAL SPATIAL PLANNING SUPPORT PROGRAMME IN KOSOVO

Making Better Cities Together

A GUIDE TO MANAGING CAPITAL INVESTMENT PROJECTS

“Lessons learned from MuSPP”

Oktober 2014

Implemented by:

UN HABITAT
FOR A BETTER URBAN FUTURE

Financed by:

**SWEDISH DEVELOPMENT
COOPERATION**



TABLE OF CONTENT

INTRODUCTION.....	1
PART I : THE PROCESS OF DEVELOPING AND IMPLEMENTING CAPITAL INVESTMENT PROJECTS	
1. Organizational Setup, Roles and Responsibilities.....	3
2. Five steps for developing and implementing Capital Investment Projects.....	5
2.1 Step One: IDENTIFICATION.....	6
2.2 Step Two: DESIGN.....	9
2.3 Step Three: TENDERING.....	10
2.4 Step Four: IMPLEMENTATION.....	11
2.5 Step Five: POST COMPLETION PHASE.....	12
PART II: CASE STUDY	
“Revitalization of Farkatarëve Street”, Prizren.....	15
CHARTS	
Chart 1.1.1. Organizational setup for development and implementation of capital investment projects	
Chart 2.5.1. A comprehensive scheme of the process of developing and implementing capital Investment projects	
TABLES	
Table 2.1.1. Stake-influence stakeholder matrix. Source: UN-Habitat (2007b), vol.2, p. 17	
BOXES	
Box.2.0.1. “Revitalization of Farkatareve Street” Prizren, 2010	
Box 2.1.1. “Mirushë Green Corridor - Improving mobility and public spaces in the town center” Malishevë/Mališevo, 2013	
Box 2.1.2. “Lushta River Green Corridor” Mitrovicë/Mitrovica, 2010	
Box 2.1.3. “Moronica Park” Junik, 2013	
Box 2.1.4. “Sustainable Schoolyard” Rahovec/Orahovac, 2013	
ANNEXES	
Annex I	- Guidelines/Check list for drafting the Project Document
Annex II	- Matrix for Reviewing Priorities (case of Malishevë/Mališevo)
Annex III	- Questionnaire for Area Audit (case of Prizren)
Annex IV	- Open Competition Form (case of Rahovec/Orahovac)
Annex V	- Detailed Dynamic Plan (case of Ferizaj/Uroševac)
Annex VI	- Implementation Monitoring Report (case of Ferizaj)
Annex VII	- Satisfactory Survey – Questionnaire
Annex VIII	- Template for drafting the Completion Report

INTRODUCTION

The guideline for managing Capital Investment Projects is drafted by the Municipal Spatial Planning Support Programme (MuSPP) in Kosovo funded by The Swedish Development Cooperation and implemented by UN-Habitat. It is based on the lessons learned from joint development and implementation of Capital Investments Projects with the Partner Municipalities during the last two phases of the Programme, respectively MuSPP 2 and 3.

The overarching goal has been to build capacities for sustainable implementation of planning strategies as set out in the planning documents at the local level, thereby demonstrating the importance of plan implementation as part of the planning cycle.

The main focus has been the *in-house process* of the project development with an active role of *public participation*, which in the document is presented as a crosscutting issue in each phase of the process. Such an approach ensured a greater level of transparency, ownership sustainability and better outcomes.

The area contribution has been in the field of place-making initiated and led by the Municipalities. However the principles are drawn from MuSPP's joint projects with partners municipalities, but they are applicable to all the projects that may impact the livability conditions, regardless of the initiation and leading body of the project development and implementation.

The guideline for managing Capital Investment Projects also aims at providing a set of practical recommendations that should help the municipal staff –both at managerial and technical level, business community, other governmental and nongovernmental organizations, as well as civil society to improve the process of developing capital investment projects and enhance service delivery to the citizens through a transparent process.

To do so it is of crucial importance that the appropriate organizational setup is established to enable relevant stakeholders to have a good understanding of their role as well as that of the counterparts. In this regard the first section of Part I of the document, are listed the entities that needs to be established, the relation between them and the respective roles and responsibilities.

Given that the project development consists of various activities, in the second section of Part I the process is broken down into five main steps. For each step are listed the main tasks and specific recommendations with examples of the methodology on how those could be accomplished.

In Part II of the document presents a case study where the reader can follow how the presented methodology has been implemented in a Project developed jointly with a Partner Municipality.

PART I

THE PROCESS OF DEVELOPING AND IMPLEMENTING CAPITAL INVESTMENT PROJECTS

1. Organizational Setup, Roles and Responsibilities

The Capital Investment Projects (CIP) implemented by the Municipality should be in line with the municipal planning documents, respectively the activity plans which are compiled in accordance with the strategies and the objectives set in the municipal development plans or sectoral strategies.

The set of players involved at this level varies depending on two main factors:

- the nature of the project, and
- the Institutional arrangement within the municipality.

Nevertheless the organizational and procedural setup for project development remains the same.

The responsibilities of the Municipal staff in this process are roughly divided into:

Management - responsible for the early stage of planning the investment and the decision making during the process of project development;

Technical Staff - responsible for planning and maintaining the process of project identification, design, tendering, implementation and the post completion phase.

Although the duties are shared between the different Departments, the responsibilities are distributed accordingly to their mandate.

The key Municipal Departments which play a role in the organizational setup of the project are:

The Mayor/Board of Directors – responsible to take the decision for Project Initiation, Appoint the staff; facilitate the process when needed;

The Department of Urbanism, Department of Public Services, Department of Infrastructure, the Project Office (if existing) – responsible for facilitating the process of project identification, project development and supervision of implementation respectively, the project-leading department; approve execution of installments vis-a-vis the progress of works according to the conditions of the respective contracts;

The Department of Urbanism – issues the necessary permits/consents.

The Department of Finance – responsible for budget confirmation before project initiation; execute installments to the outsourcing companies.

The Procurement Office – responsible for the tendering process.

Upon project initiation, the Project-Leading Department needs to confirm the municipal budget with the Department of Finance in order to get the green light for continuing with the project development. After having completed and received the detailed project document, the responsible Department through the procurement office undertakes the responsibility of tendering and the project implementation. In cases of co-founding, the responsibilities are distributed depending on the conditions of cooperation.

The entities that need to be setup at the stage of project initiation are:

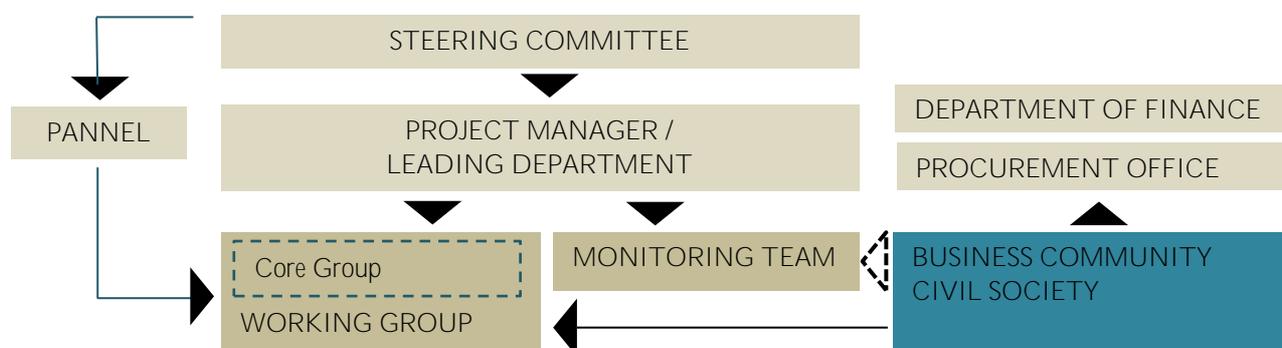


Chart 1.1.1. Organizational setup for development and implementation of capital investment projects

STEERING COMMITTEE

It consists of the Mayor and the respective Directors. The main responsibilities are:

- take the decision for project initiation;
- appoint the Project Manager;
- appoint the Core Group;
- appoint the Supervision Team;
- approve the final project proposal;
- support the process when needed;

In case of donation or joint project development, representatives of the supporting organization may take part in the committee.

PANEL

It consists of the management, professionals and representative of the donor (if co-founded). The main responsibilities are:

- assess the final project design;
- give constructive feedback to the working group;
- technical acceptance of the project output.

PROJECT MANAGER

It is the appointed municipal official to manage the process of project development and implementation. The project manager is part of the Core Group. The main responsibilities are:

- manage the Core Group;
- divide tasks;
- monitor the progress of works;
- report to Steering Committee.

CORE GROUP

It consists of the municipal staff from the respective departments (depending on the nature of project) appointed by the Steering Committee. The main responsibilities are:

- organize the process of project development, public meetings and the preparatory works;
- draft Stakeholder Analysis and Consultation Plan;
- draft Project Concept document;
- draft detailed project or guidelines for detailed project development (in case of outsourcing);
- consult with the contracted company/ies (in case of outsourcing);
- report to Project Manager;
- report to Working Group.

WORKING GROUP

It consists of the Core Group and the representative from Civil Society, Business Community, Governmental and Non-Governmental Organizations. The main responsibilities:

- identify project;
- develop project idea;

MONITORING TEAM

It consists of the municipal staff from the respective directories (depending on the nature of project) appointed by the Steering Committee. It is preferable that the Supervision Team consists of the same members as in the Core Group. Nevertheless if it is not the case, the Core Group should be consulted for clarification when needed during the implementation of the project. The main responsibilities are:

- agree on a common monitoring plan;
- monitor the implementation of the project accordingly with the implementation dynamic plan;
- report to the project manager;
- report to the public.

The Steering Committee, Project Manager and Core Group should be established before the project initiation.

2. Five steps for developing and implementing Capital Investment Projects

The process for the development and implementation of a Capital Investment Project can be broken into five main steps, such as:

STEP 1 : IDENTIFICATION

STEP 2 : DESIGN

STEP 3 : TENDERING

STEP 4 : IMPLEMENTATION

STEP 5 : POST-COMPLETION PHASE

An outstanding characteristic of the approach presented in this document is the involvement of public from the very start of the process of project development and implementation.

Public Participation is one of the key planning principles, which adds value to the process by increasing the quality of the project output and the level of transparency.

The involvement of various stakeholders in the process contributes in addressing appropriately the different needs and priorities, thereby makes the project proposal more versatile and innovative, and lastly increases the usability and sustainability of the project.

It also contributes to changing attitude towards project idea as well as building a stronger sense of ownership by the community, which is reflected in the maintenance of the project output after project completion.

Box.2.0.1. Revitalization of Farkatareve Street, Prizren 2010

The initial idea of pedestrianizing the Farkatareve Street was seen as a threat to the existing businesses and a concern to the inhabitants due to limited parking spaces. But the collaboration of the municipality with the business community and the inhabitants led to a proposal that created a vibrant environment that triggered the opening of small new business and improving the conditions of the existing ones.

The stakeholders involved vary depending on the nature of the project. They might be from the private sector, public agencies, governmental and non-governmental organizations and the civil society. Special effort should be given to engage women, people with special needs as well as representatives of vulnerable groups within the community.

Public participation in the process of CIP development and implementation defers from one step to another:

STEP ONE, TWO and FIVE – The public has an active participation role in the process, with a direct contribution by working together with the municipal staff in identifying, proposal as well as impact assessment of the project.

STEP THREE and FOUR – The public has rather passive role participation only by monitoring the process. If there are concerns, they should be addressed by the procurement office and the monitoring team.

2.1 Step One: IDENTIFICATION

The primary objective of this stage is to have identified a clear option for the project idea and the project site.

The main tasks are:

TASK 1 – MAPPING THE STAKEHOLDERS

TASK 2 – DRAFTING THE PROJECT DOCUMENT

TASK 3 – IDENTIFYING THE PROJECT

TASK 1 – MAPPING THE STAKEHOLDERS

The starting point of this step is to understand *who* is relevant in the process and *why*. To do so, it is crucial to conduct a *stakeholder analysis*² as means to engage all *stakeholders*¹ that play a role in the project development process starting from the identification phase up to maintaining the outcome of the project.

Definitions:

¹*Stakeholder* – Anyone who may be affected by a decision. Someone who has a stake in the outcome of a decision often referred to as “actor”.

²*Stakeholder analysis* – Action to assess the attitudes of the stakeholders regarding potential changes generated by the project.

One of the most common techniques for mapping and analyzing the stakeholders is the stakeholder-influence matrix, which helps to identify and understand the role of each of the stakeholders in the process.

	<i>Low influence</i>	<i>High influence</i>
<i>Small stake</i>	<i>Stakeholder with limited potential for involvement</i>	<i>Stakeholder with decision-making power</i>
<i>Big stake</i>	<i>Important stakeholder possibly needing encouragement and support</i>	<i>Stakeholder with maximum impact on resolution of the issue</i>

Table 2.1.1. Stake-influence stakeholder matrix. Source: UN-Habitat (2007b), vol.2, p. 17

TASK 2 – DRAFTING THE PROJECT DOCUMENT

The Core Group, in agreement with the Steering Committee, drafts a Project Document (*see Annex 1*) that gives an idea of the current nature and condition of the targeted environment and a preliminary plan on how to approach the issue.

At this stage there is the need to define the modality for project development by defining broad activities including the public consultation plan (*see Annex 1 point 8*) and the respective financial implication for the process development.

TASK 3 – IDENTIFYING THE PROJECT

The identification process in most cases is not straightforward. It is broken into a number of selection rounds that are not exactly fixed but rather differ from one case to another. In all cases the first round of selection results with a broader list of project ideas.

In the second round these project ideas are assessed bearing in mind 5 main criteria such as: *benefits, impact, cost, sustainability* and *risks*. Such assessment helps the involved stakeholders to narrow down to a fewer number of feasible options, within which they have to agree on the project to be further developed.

During the identification of the project there is the need to also bear in mind to:

- Be consistent with the objectives of Municipal Planning Documents and Sectoral Strategies;
- Be creative. The nature of the project should enable the participatory planning process to come up with innovative ideas that make a positive impact and leads to further improvements of livability conditions;
- Be environmentally sensitive.

The project identification can be done through different modalities:

Review of Priorities - A CIP can derive directly from the Municipal or Sectorial short-term priorities. Nevertheless, the reassessment of such priorities through a public consultation process contributes to narrowing down priorities towards an option that can best benefit the public.

There are two main ways that the assessment can be done:

- One-day Workshop where the short term priorities can be assessed and ranked according to their importance through different techniques such as: Matrix-Priorities vs. Objectives (*see Annex 2*); SWOT analysis (*Strength/Weaknesses/Opportunities/Threats*). In this case the stakeholders are identified and invited to take part in the exercise.
- Online survey. In this case the assessment is opened to the public and has the potential to reach all those with a potential stake in the matter.

Box 2.1.1. "Mirushë Green Corridor - Improving mobility and public spaces in the town center" Malishevë 2013

Among many priorities deriving from the Municipal Development Plan scenarios, the intersection between the Mirushë Green Corridor and regional road to Rahovec was highlighted in the Priorities Workshop by the representatives of the community.

The improvement of the bridge and the surrounding environment along the river has not only contributed in improving the safety of the children on their way back and forth to school and opening of businesses along the river, but importantly has improved the overall traffic flow within the city center.

Area Audits – an Area Audit is most applicable when the Municipality has identified the area of investment. It is done through a survey (*see Annex 3*) that aims at highlighting the main concerns, problems and opportunities identified by the inhabitants of the chosen area.

The recommended chronological order of the main activities is as follows:

- a. Preliminary face-to-face meetings with different stakeholder groups in order to introduce the purpose of the participation process of CIP before undertaking the Area Audit.
- b. Conduct Survey. When drafting the questionnaires for the survey there is the need to bear in mind that the information gathered is also useful throughout the design process and is to be used as a resource while shaping the proposal for the area.
- c. The list of project ideas arising from such activity undergoes further selection and refining through public consultation or internal consultation with all the stakeholders.

Box 2.1.2. "Lushta River Green Corridor" Mitrovica, 2010

The issues of non-motorized mobility and the degraded environment along the river as well as connectivity with the city center were a crucial challenge for the inhabitants, especially those with special needs.

Based on inputs from the conducted survey, the associated issues were approached from different perspectives, which contributed to making the proposal much more versatile in satisfying the needs of the different interest groups of the community.

Idea Workshops – Such a methodology is best used when the Municipality has identified the targeted interest group.

A set of three workshops are recommended to achieve the necessary outcome:

- a. Brainstorming workshop with the stakeholders to examine the issues, challenges and possible solutions; and as an outcome from the workshop develop a list of possible projects;
- b. Proposal workshop where the possible project ideas are assessed through different techniques (ex.SWOT) vis-à-vis the above mentioned five criteria, with a view to further develop a concept on how to address the main issues;
- c. Closing workshop where the stakeholders decide for the preferred scenario.

In this case the participants contribute not only in project identification but also in defining in general terms the concept of the project.

Box 2.1.3. “Moronica Park” Junik, 2013

Turning the Natural Park of Moronica into an Urban Park for public use has been a long-lasting wish of the community. The topic featured strongly at the idea workshop for project identification. The joint work of the local government, university and civil society led to a winning concept that opened the park to the community through places and activities that above all promote preservation of nature.

Open competitions – It is best used when the municipality seeks for concept ideas in addressing a particular issue or concern from different point of views and interpretations (*see Annex 4*). In this case the parties involved have to develop the first draft of project document as well as a concept design. If accepted by the municipality, the concept is further developed with the respective municipal staff.

The recommended chronological order of the main activities is as follows:

- a. Call for proposals.
- b. Submission of proposals.
- c. Public presentation of the proposals. Through such activity the municipality opens the proposals to the public for evaluation, which can then play a role during the selection as one of the criteria.
- d. Selection. The municipality forms a jury that assesses the proposals according to the criteria set at the beginning of this step.

Box 2.1.4. “Sustainable Schoolyard” Rahovec, 2013

Apart from creating a sustainable schoolyard, the project sought to engage the school community in teamwork and to enhance pupil imagination on urban matters and raise environmental awareness.

To do so the municipality opened a competition, and seventeen primary and secondary schools submitted their respective schoolyard proposals.

After the assessment of the jury two emerged as the winning projects. These projects were then further developed jointly by the municipal staff, the school working group and the representatives of the community.

2.2 Step Two: DESIGN

Based on UN-Habitat MuSPP experience, for a good quality project design there are different approaches, depending on the nature project and the context. The main objective of this step is to develop a detailed design through an inclusive and transparent process.

The main tasks are:

TASK 1 – DRAFTING THE DESIGN CONCEPT

TASK 2 – FINALIZING THE DETAILED DESIGN

TASK 1 – DEFINING THE DESIGN CONCEPT

As an entry point to this step, drafting the concept depends on the modality that was used for project identification:

- When the project has been identified through *Reviewing of Priorities* or *Area Audit* the starting point is the preferred option to be further developed. In this case the Core Group organizes a workshop where the participants contribute into defining the respective design concept. It is important that for the purpose of this activity the list of the stakeholders is revised to make sure that all the relevant stakeholders are, included particularly vulnerable and hard to reach groups are taken into consideration.
- When the project has been identified through an *Idea Workshop* or *Open Competition* the design concept is already defined at the stage of Project Identification. In this case the task of defining the design concept is not relevant.

Once the design concept is defined the core group drafts the design scheme, which guides the development of the detailed design as the final product. At this stage it is important to consider the impact of the project in a wider context, *ex. The City* or *The Green Corridor*. Furthermore the proposal should be assessed based on the three main pillars of good planning such as economic, social and environmental sustainability in order to foresee the necessary measures for impact mitigation.

Take into consideration the following principles:

- Interdisciplinary - through the co-operation of professionals from different disciplines;
- User-integrated - through the co-operation of professionals and users;
- Transparent - through the presentation of results;
- Tolerant - welcoming remarks and comments through a built-in feedback mechanism;
- Flexible - through the incorporation of recommendations made during the identification process;
- Practical - by providing tools (drawings, maps, background documents) for users;
- Intercommunicative - by creating a network with project partners, experts.

TASK 2 – FINALIZING THE DETAILED DESIGN

Once the working group has agreed on the design scheme, there are two possible ways to continue:

- In-House: The core group drafts the Detailed Design which includes the technical drawings, description of construction works and the bill of quantity;
- Outsource: The municipality outsources the drafting of the Detailed Design which includes the technical drawings, description of construction works and the bill of quantity;

In both cases, it is important that the project elements are carefully drafted and calculated in order to prevent further complications during the implementation. It is recommended that the Project Manager seek professional support to address the possible concerns that might arise.

It is important that during the drafting of the detailed design, the current situation or ongoing projects regarding infrastructure and the relevant property issues are considered at the earliest possible stage in order to issue the necessary permits or consents at the appropriate timing.

After the detailed design is finalized it is presented to the Panel. The Panel may:

- Approve;
- Approve with conditions that require additional work;
- Recommend a significant reworking and resubmission;

Once the panel approves the core group goes forward to finalize the documentation for the tendering process.

2.3 Step Three: TENDERING

The main objective of this step is to appoint a contractor for project implementation through a transparent process as regulated by the Public Procurement Law.

Once the detailed design is finalized, the project manager/leading department through the department of Urbanism ensures that the necessary permit/consents are issued for the respective project.

Even though it is practice that the Tender procedure often goes in parallel with the process of obtaining a Construction Permit it is highly recommended to include the Construction Permit in the Tender Dossier.

Upon finalization of the Detailed Design Document, the procurement office prepares the tender dossier and issues the tender.

It is recommended that within the tender dossier to include a template for the detailed dynamic plan (DDP) (*see Annex 5*) to be completed by the bidders. The DDP should require for the implementation to be broken down into milestones and the respective activities in relation to the human resources and working days/dates in order to have a more realistic timeline and feasible way to monitor the implementation.

Permits - The construction permit shall be issued in accordance with Law no.04/L-110 on Construction, respectively Administrative Instruction no.10/2013 on Setting Procedures for Submission and Review of Applications for Terms of Construction and Construction Permits. The construction permits are mandatory for the projects as foreseen by the Administrative Instruction no.09/2013 on the Categorization of Construction Works. All these legal requirements should be identified during the CIP development process. It should also be noted that the mentioned legal acts may be subject to change.

2.4 Step Four: IMPLEMENTATION

The main aim of this step is the completion of project implementation accordingly to the final Detailed Design Document.

The main tasks are:

TASK 1 – SETUP THE MONITORING TEAM

TASK 2 – MONITOR THE IMPLEMENTATION

TASK 3 – SET UP MECHANISMS FOR MAINTAINANCE

TASK 1 – SETUP THE MONITORING TEAM

Except the municipal staff and the professionals, the involvement of the relevant stakeholders during the implementation phase is equally important. They can play the role of observers and reporters which leads to a stronger sense of ownership, ensures sustainability of project results as well as future maintenance of the project.

Upon the constitution of the monitoring team, there is the need to develop a monitoring plan, which would include modalities regarding frequency of meetings and reports to the project manager (*see Annex 6*).

TASK 2 – MONITOR THE IMPLEMENTATION

Monitoring takes place throughout the whole implementation phase to make sure that the activities are being realized as planned and that the outcome is of the quality that was initially envisaged and requested.

This process is facilitated by the detailed dynamic plan for implementation (*see Annex 5*), which is submitted during the tendering phase. In the cases when it is not included in a framework which enables the monitoring team to monitor the progress of the works, it is of crucial importance that such a document is developed and shared by the contractor with the monitoring team before the implementation starts so that the potential challenges can be identified and managed.

The team should initially supervise if the setup and the necessary measures regarding the project site for starting the project implementation are in line with the requirements of the legal framework.

After the implementation completed a final evaluation of the works is done in order to make sure that the quality of the output is satisfactory. Such process is then followed by the technical acceptance and inauguration.

TASK 3 – SET UP MECHANISMS FOR MAINTENANCE

Once the project is finalized the responsible department should ensure that the project is included in the list of the assets to be maintained, as part of the regular Municipal Maintenance Plan.

2.5 Step Five: POST COMPLETION PHASE

The main objective of this step is to assess the non-physical result of the project, but rather the impact of the project in terms of the everyday life of the community.

The main tasks are:

TASK 1 – SURVEY

TASK 2 – DRAFT CLOSURE REPORT

TASK 1 – SURVEY

It is done through satisfactory surveys, which take place after the finalization of the CIP (*see Annex 7*). Such assessment contributes highly to improving the CIP development process by minimizing gaps, developing new criteria for CIP development, improving design as well as raising awareness regarding the participatory approaches in spatial planning.

TASK 2 – DRAFT CLOSURE REPORT

As a final step of the project completion, the project and the whole process of CIP development and implementation, has to be documented and compiled into a report called *Closure Report* (*see Annex 8*).

A comprehensive scheme of the process of developing and implementing capital investment projects, with the respective roles and responsibilities is presented below.

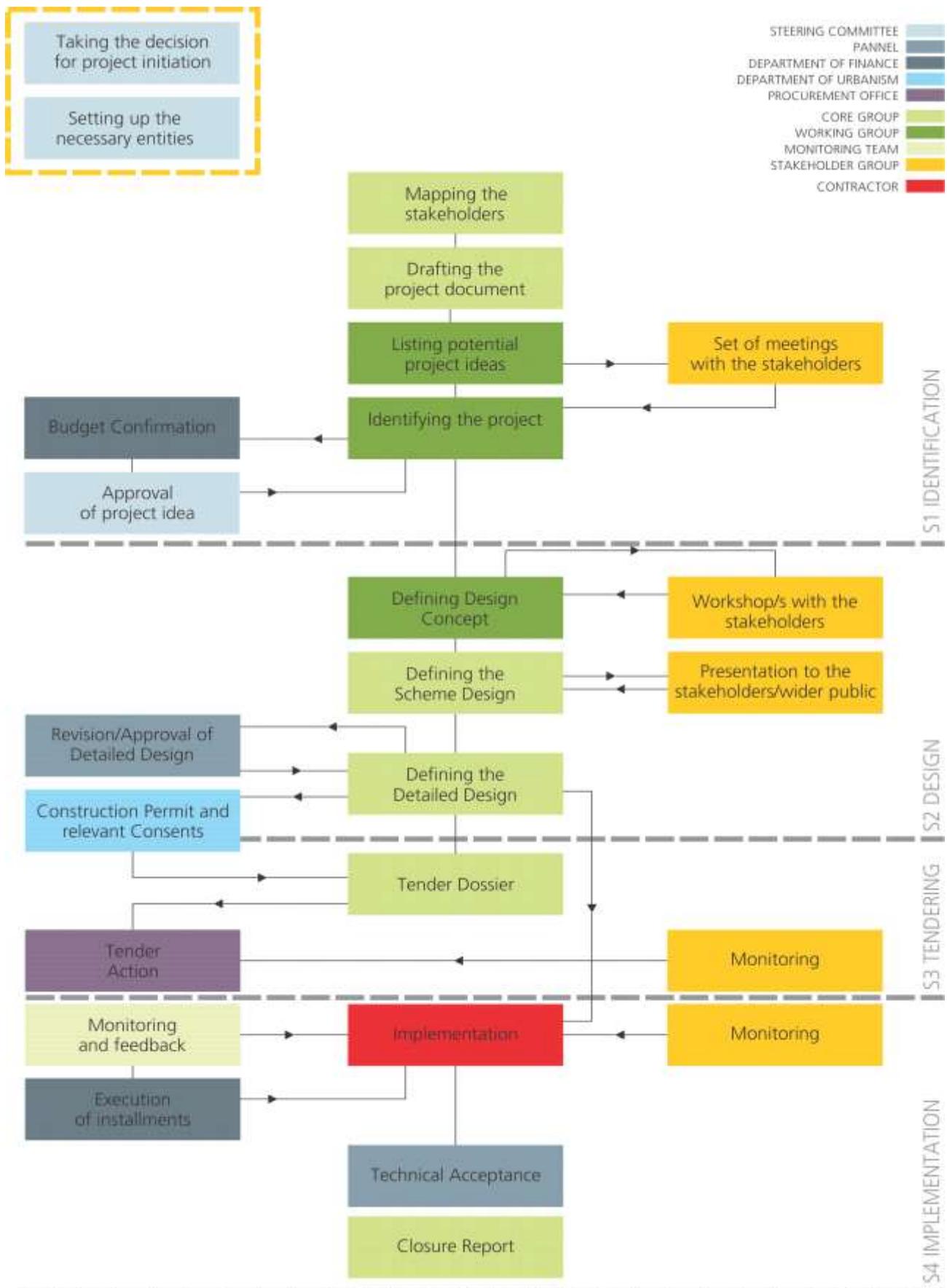


Chart 2.5.1. A comprehensive scheme of the process of developing and implementing capital investment projects

PART II
CASE STUDY

“Revitalization of Farkatarëve Street”, Prizren

The Farkatarëve Street is located in the heart of the historic zone of Prizren, which through the old stone bridge connects the Shadervan square with a number of landmarks such as the Tekke Havleti, open air cinema, Cultural House, Saraqhane mosque, the Turkish bath “Hammam”.

The historic zone of Prizren is managed through the Conservation and Development Plan of the Historic Zone (CDPHZ), therefore the proposal for the Capital Investment Project (CIP), had to be in line with both the CDPHZ and the Urban Development Plan 2003-2013 (UDP).

Organizational Setup, Roles and Responsibilities - *The Board of Directors* played a crucial role in facilitating the decision making process from the initial phases of the project development.

Once the decision for project initiation was taken, the necessary bodies were put on place with specific responsibilities, such as:

The Core Group, which consisted of the municipal staff from two directorates, Public Services as the leading directorate in the process which appointed the Project Manager, in cooperation with the directorate of Urbanism and Spatial Planning. Some members from the Core Group were also appointed to *supervise* the implementation of the CIP works.

The Working Group, consisted of the core group and representatives from Regional Centre on Cultural Heritage (under the Ministry of Culture, Youth and Sports) as well as representatives from Cultural Heritage without Borders (CHwB) assisted, to identify the project, develop project idea and followed relevant procedures applicable to the historic zone.

Since the CIP was a co-founded project (50% Municipality and 50% UN-Habitat/MuSPP) the final project design was assessed by a *panel*, which consisted municipal management, professionals and MuSPP representatives that contributed and added value through a constructive feedback to the working group.

Identification – Generally very little consideration was given to the process of project identification, as well as the involvement of the different stakeholders. Therefore this case aimed to introduce a new, innovative approach, to project identification and development.

Several activities were undertaken in order to come up with a clear option for the project idea and the project site. As a first step, a *stakeholder analysis* was conducted through which a range of stakeholders, governmental and non-governmental organizations were identified. A separate municipal working group assisted by MuSPP dealt with an overall public involvement. This group regularly reported back to the core group dealing with only the technical part of the project including the preparation of the project document.

After rounds of discussions amongst key stakeholders, the Municipality identified the Historic Zone of Prizren as an area of investment. The basis for this was the Conservation and Development Plan of the Historic Zone (CDPHZ).

The municipality paid particular attention to further preserve and develop its cultural heritage sites by improving the livability conditions, making public spaces more attractive and accessible as well as creating a convenient environment for development of small businesses.

Given that the project area was defined, the Area Audit was selected as a modality to identify the project.

With the aim to introduce the intention and importance of the CIP participatory process, several preliminary face-to-face meetings were held with the identified stakeholders such as with *Association of craftsmen of Prizren* including *the women's branch* representing businesses operating in the historic centre, *NGO Dokufest* operating mainly within the historic centre, *Association of blind people* located within the project area, *NGO Handikos* representing people with special needs, *local artists* as well as *inhabitants* living within the historic zone.



MuSPP CIP Prizren Municipality, 2009. Photo©UN-Habitat/A.Haskuka

The Area Audit was then conducted focusing in four routes within the historic zone. Through this survey emerged many issues and concerns such as: *limitation of free pedestrian movement due to high volume of traffic concentrated in the centre, increase of the number of parking lots, limited street lighting as well as lack of appropriate signage for cultural heritage sites.*

Over twenty possible projects were identified. After having been assessed according to the 5 criteria such as *benefits, impact, cost, sustainability and risks, the project of “Revitalization of Farkatarëve Street”* was considered to be a priority.

Design - In order to define the concept the core group held several technical workshops. It is important to say that during this exercise the findings of the Area Audit served as basis for defining the proposal which would reflect the needs and priorities of the inhabitants.

The main objective of the project was to *improve the public space in the area, increase safety and pedestrianize the street* in order to enable a continuous pedestrian flow between different sites to better experience the Historic Zone of Prizren. In doing so, special consideration was given to the materials, in order to preserve the character of the area.

In the spirit of openness and transparency, the relevant stakeholders were invited to the *Area Audit Findings Workshop*, with the aim to consult the interest groups on the proposal.

The presentation showed how the comments, issues and concerns raised through the Area Audit had been translated and reflected into the project objective and design, which was highly appreciated by the participants.

Tendering - After finalization of project proposal the municipality opened the tendering process, which followed and fulfilled all the procedures and requirements as set by the public procurement law.

Construction permit and related consent

Prior to starting the implementation of CIP works, the leading directorate of public services ensured that all necessary permits and consents are issued for the respective project.

As the Farkatarëve Street is located within the Historic Centre of Prizren, the Regional Centre on Cultural Heritage in Prizren initially issued the consent in accordance with the applicable laws.

After receiving the consent, the directorate of urbanism and spatial planning issued the construction permit.

Implementation – The implementation of the project continued for 10 months. This process was prolonged due to a number of reasons, but the main challenge remained the weather condition. Given that the implementation started on November, during the winter the works had to stop for several times, which affected the planned timeline of the CIP.

Although the area was closed to public access for a relatively long period, there was a high level of understanding by the inhabitants and local businesses. This is due to strong role that they played during the process of project development, which contributed to build the sense of ownership and be aware of the challenges that might arise during the implementation of the project.



MuSPP CIP Prizren Municipality, 2010. Photo©UN-Habitat/A.Haskuka

Post completion phase - After the inauguration of the CIP, the survey was conducted in order to assess the overall satisfaction regarding the project output.

The objectives of the survey were to:

Develop new criteria for the CIP in Prizren;

Minimize mistakes and gaps in design for future projects;

Increase the awareness of participatory approaches in spatial planning.

The main target groups of the survey were: the residents of Farakatarëve street, business community, pupils from different ethnicity groups, institutions and NGOs.

The women's NGO Dora Dorës assisted to conduct the survey by interviewing 302 citizens, 54% female and 46% male.

The questionnaire contained parts with regard to quality of works, safety, accessibility, lighting and greenery, urban furniture as well as gender issues.

Overall, results have shown that majority of citizens are satisfied with the project implementation. However, the survey contributed in highlighting a number of lacking elements in the Historic Centre such as limited appropriate Urban Furniture, greenery and shaded areas, safe playground for children as well as the limited use of traditional materials, which remained to be considered in the future CIPs developed by the municipality.

ANNEXES

ANNEX I - Guidelines/Check list for drafting the Project Document

1. Background to the project:

- What is the general background to the project?
- How does it relate to the MDP/UDP and how does it relate to other activities, responsibilities etc of the Municipality/Directorate?

2. Project description (synopsis):

- What is the location, main features and material contents of the project (without going too far into the substance of the headings below)?
- Problem statement, identification of main issues and other pre-conditions to the project to be described briefly.
- Land ownership, building regulations, conservation issues.
- Location map and sketch of planned intervention to be provided together with any other relevant (photo) graphic illustration.

3. Objectives of the project:

- What are the overall and the specific objective(s) of the project?
- Which are the links to and fulfillment of the objectives of the MuSPP2 program?
- What issue does it aim to solve or promote?
- How does the project meet actual needs in the concerned area?
- Which are the target group(s)?

4. Output/results and outcome:

- What are the output/results of the project in as concrete terms as possible?
- What is the expected outcome of the project (i.e. the effect of the project) and how will it in a sustainable way be beneficial to the target group(s)?
- How will the project benefit men and women, boys and girls?
- Will the project take into consideration special needs of vulnerable groups? If so, how?

5. Activities:

- What activities have been or will be undertaken to achieve the results? Describe in terms of surveys, analysis, design work (architectural/engineering), procurement, construction, information/communication, management/monitoring etc. Differentiate between project preparation activities and project implementation activities.
- Can/should the project for implementation purposes be broken down into clearly defined phases? Differentiate also between "hard" and "soft" components of the project.

6. Organization and Resources:

- How will the organizational set-up of the project be structured and function? (if differing, differentiate between project preparation period and implementation period respectively). How is the distribution of tasks and responsibilities between the various parties? Project management, working groups, steering groups, reference groups etc
- Involvement by the local political structure.
- Identification of stakeholders and interested and affected parties.
- What resources will be required in terms of personnel, consultants, physical resources? Quantification is required. For finances, see point 12 below.
- Can other parties than the Municipality contribute?
- When will, in relation to the overall time frame the various inputs be required?
- Has Terms of Reference for consultant input, if any, been prepared?

7. Time schedule:

- What are the time requirements and tentative dates for approval of business plan, preparation of tender documents, procurement, mobilization, start of construction, finalization and other important events/mile stones?
- Is there a likely or required phasing of the activities?
- Has a graphic representation been prepared (Gant chart or similar)?

8. Consultation and participation:

- Has a plan for consultation and participation of the various stakeholders and other interested and affected parties been established and how far has it been implemented?
- What is the outcome of above?
- Does the plan provide for special efforts to engage women and representative of vulnerable groups? If so, how?
- Does the plan provide for the use of public and/or private media, other channels, for information sharing and reporting results of the consultation process?

9. Impact analysis and Sustainability of the project:

- What is the ecological, economic, cultural and social impact of the project and what will be the sustainability of the project?
- How will future operations and maintenance of the investment be secured?

10. Assumptions, risks/killing factors:

- What assumptions have been made as a basis for project implementation? Are any of these posing a risk to project implementation and beyond the control of the project?
- What other issues are facing the project?

11. Budget and finances

- What will be the total budget for the project? If it is phased implementation, what's the distribution between phases?
- How will it be financed and what part of it will require MuSPP2 contribution/ financing (including amount)? Differentiate between project preparation costs and direct capital investments.

ANNEX II – Matrix for Reviewing Priorities (case of Malishevë/Mališevo)

Objective	CIP. 1 Medical centers	CIP. 2 Schoolyards	CIP. 3 Sports fields	CIP. 4 Fairs and exhibition	CIP. 5 Tourism office	CIP. 6 Improving access to housing for people with disability and the elderly	CIP. 7 Green spaces for recreation	CIP. 8 Sidewalks and paths	CIP. 9 Linking public spaces (CIP. 10 Fire station	CIP. 11 Regulation of Mirushe river	CIP. 12 Reforestation of degraded areas	CIP. 13 Plan-ting of trees / green-belts along settlements	CIP. 14 Mirushe green corridor
O1: Increase access to the water supply system											1			1
O2: Enhance water quality														1
O3: Increase water availability											1	1		1
O4: Reduce people's exposure to air pollution and nuisance							1		1			1	2	2
O5: Improve urban services	2	2	2	1		1	2	1	1	2				
O6: Improve pedestrian mobility						2	1	2	2				1	2
O7: Protect high-quality agricultural soil				1						1	2	2	2	2
O8: Reduce soil contamination							1		1		1	1	1	1
O9: Prevent soil erosion							1		1		1	2	1	1
O10: Restore and protect forests from degradation									1	1	1	2		1
O11: Enhance biodiversity and ecological corridors					1		1		2	1	1	2	2	2
O12: Improve the quality of the landscape							1	1	2	2	2	2	2	2
O13: Protect and enhance cultural heritage sites				1	1		1							2
O14: Increase access to the sewage system														1
O15: Improve waste management														
O16: Reduce vulnerability to natural and man-made hazards	1									2	2	2	1	2
O17: Promote activities and land uses that reduce GHG emissions		1	1	1	1		2	2	2			2	2	2
O18: Improving energy efficiency of buildings	1	1		1	1					1				
Overall score	4	4	3	5	4	3	11	6	13	10	12	17	14	23

Key:

2: The CIP provides a direct contribution to the objective;

1: The CIP provides a potential (indirect) contribution to the objective.

ANNEX III - Questionnaire for Area Audit (case of Prizren)

Questionnaire on:

IMPLEMENTATION OF THE CONSERVATION PLAN

Help us improve the place you care about

General Information

Route

Date

Time (beginning/end)

Audit group member

You are Man Woman Boy Girl

1. How would you generally rate this route?
.....

2. From your observation, what is the best way to travel along this route?
 Car Bicycle Walking Public Transport Other

3. Do you feel comfortable using this route??

If you were
 an elderly person
 a mother with a small child
 a person from outside Prizren
 a person with disabilities

Yes No If not, why.....

4. Is the route equally safe for men and women, boys and girls

All Yes No
 Parts Yes No

5. Which parts are not safe and why?
.....

6. Which days of the week you find easier to use this route?
.....

7. What is the best time to use this route?
.....

8. First impression of lighting?
 very good satisfactory poor very poor non existent

9. How does the lighting illuminate the area?
.....

10. How does the lighting illuminate walkways and sidewalk?
.....

11. Are you able to identify the person from 25m?
 Yes No

12. Your first impression about signage?

.....

13. Is there any sign identifying key public buildings (e.g. hospital, municipal building, police station, schools, churches, mosques)?

- Yes No in some places

14. If you were not familiar with this place, would it be easy to find your way around?

- Yes No

15. Is the area build properly for disable people?

- Yes If not, what is missing?

16. Are you happy with the existing provided street furniture (benches, fountains, lights etc)?

- Yes No I have no opinion

17. First impression of overall design:

- very good satisfactory poor very poor

18. What are the key uses of space along this route?

- Green areas Streets and pavements Bars & restaurants shops Other.....

19. Which parts of the route you find attractive and why?

.....

20. What parts of the route need improvement?

.....

21. What would add value to the places along this route?

.....

22. What other features are important for this route?

.....

23. Are there any places along the route that lose attractiveness due to garbage, construction site, closed access etc.

.....

24. Which part along this route would be more attractive if the road was closed to traffic?

.....

25. What improvements would you like to see along this route?

.....

26. Do you have any specific recommendation?

.....

27. In your opinion, who should be responsible for making these changes?

.....

28. What role could you or the organization you represent play in making this place/this route more attractive?

.....

ANNEX IV – **Open Competition Form** (case of Rahovec/Orahovec)

Project Name : SUSTAINABLE SCHOOLYARDS

THE CHALLENGE

Create a VISION (concept/model/plan) of your schoolyard regarding to the sustainable schoolyards principles (opportunities to learn about nature, outdoor classrooms, links between environment and pupils, lower maintenance, attractive place for pupils, etc.). Schools must demonstrate how their vision or proposal would make a significant contribution to create pleasant condition for pupils.

Time scale:

04 February 2013 ----- Opening of the competition

25 February 2013 ----- Submission of Proposals

The prize: The winning school will be selected for improvement of its schoolyard

Contact Details: Directory of Education, Municipality of Rahovec

1. Background

The Municipality of Rahovec, with support from the Municipal Spatial Planning Support Programme in Kosovo (MuSPP) funded by the Government of Sweden and implemented by UN-HABITAT will promote a Capital Investment Project in Rahovec. The Municipal Development Plan of Rahovec has identified the need for improvement of the schoolyards in the Municipality. The "Sustainable Schoolyards" approach will provide the pupils with a place to learn and socialize.

Doing the schoolyard project in the form of a competition open to all primary and secondary schools in Rahovec, will broaden the engagement and raise awareness considerably among the pupils and teachers. Apart from creating a sustainable schoolyard the project aims at engaging the school community in teamwork, enhancing pupils' imagination and environmental awareness.

2. Objectives

The overall objective is to deliver a tangible model project, through a series of interventions aimed at creating pleasant and sustainable conditions for pupils and providing an opportunity for a variety of other uses for the community.

The specific objectives are:

- to enhance learning about nature and design, smart land use etc.
- to build links between the environment and the pupils to include teachers, pupils and the community in the project design and maintenance
- to create outdoor classrooms (biology, art, geography, etc.) to allow physical activities, play, sport and recreation to promote ease of maintenance
- to improve and enhance safety.

3. Participants

The competition will be open to all elementary and all high schools in the Municipality of Rahovec.

4. General Conditions

The general conditions for participation in the competition are:

The schoolyard should be suitable for the sustainable approach

The management of the school should show readiness to engage community

5. Outputs / Deliverables (paper to be submitted to Municipality)

The following output / deliverables will be expected from schools:

Written concept paper (a brief overview of the topic that you would like to develop) about Sustainable Schoolyards (2 -A4 pages)

The concept paper with text and illustrations should include:

Description of how the schoolyard will serve the pupils and the community, about multi-use facilities, how they see outdoor environments that pupils enjoy,

Description about maintenance where pupils take care of their school (methods of how they are planning to engage pupils and community).

6. Methods and Process

All schools in the Municipality of Rahovec are invited to submit the concept paper within 3 weeks (from the opening of competition) in the Municipality of Rahovec by 25 February 2013.

The winning school will be selected by a panel consisting of 3 members from UN-Habitat, 3 members from the Municipality of Rahovec and one Sida representative, through a transparent process.

The best project will be selected for implementation. The results will be announced on the municipal website and UN Habitat's website.

7. Assessment criteria

- Innovation: Is the submitted concept paper innovative and creative (using or showing new methods, ideas);
- New vision for the schoolyard;
- Does the submitted concept paper deal with Sustainable Schoolyards characteristics (opportunities to learn about nature, outdoor classrooms, links between environment and pupils, lower maintenance, attractive place for pupils, etc.);
- Maintenance and use Does the submitted concept paper deal with the challenges of schoolyards (maintenance, community engagement, etc)?

ANNEX V – Detailed Dynamic Plan (case of Ferizaj/Uroševac)

FERIZAJ MUNICIPALITY/ UN-HABITAT MUŠPP - CIP "GREEN CORRIDORS"										Month		MA													
PROJECT IMPLEMENTATION - DYNAMIC PLAN										Week		I													
										Working Day		0													
										Staff		1													
No. Task	Tot. Work. Days	Date								3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	
A. GREEN BELT ALONGSIDE THE ROAD FERIZAJ-SHTIME	1	Measurement and input of coordinates								4															
	2	Site cleaning and excavation								11															
	3	Supply of soil and planting of grass								16															
B. PLANTING OF TREES	1	Planting of new trees								10															
	2	Construction of manhole and Ins. of W Pipe								6															
C. ASPHALT WORK	1	Laying of Asphalt (and other prep work)								4															
	2	Lines and other signage								3															
D. CORRIDORS FOR WALKING, CYCLING, JOGGING	1	Soil Excavation								8															
	2	Laying of gravel (and other prep work)								8															
	3	Placing Edges								8															
E. MAIN ALLEY IN GREEN CORRIDORS	1	Removal of concrete cubes								3															
	2	Preparation of the alley								3															
	3	Installation of stone slabs								14															
	4	Planting of green fence								4															
	5	Inlay the entrance wall with stone slabs								0.5															
	6	Installation of mobile barriers								0.5															
N. PUBLIC LIGHTNING	1	Underground works								0															
	2	Installation of the electrical network								?															
	3	Installation of distribution framework								?															
	4	Establishment of protective grounding								?															
	5	Installation of Body Fixtures								?															
Location 1	Un-Planned timeline								3	4	5	6	7	8	9	10	11	12	13	14	15	16	17		
Location 2									0	0	0	0	0	/	/	1	2	3	4	5	/	/	6		
Location 3									0	0	0	0	0	/	/	0	2	2	5	5	/	/	17		

ANNEX VII – Satisfactory Survey – Questionnaire

Target group: _____

Age _____; Gender/Gjinia M F

Institution NGO resident –Farkatareve Roa Designer/Architect/Plan

1. Please give your general opinion about project

.....
.....

2. What do you think about the materials used

Appropriate Inappropriate

3. What do you think about quality of works

High Medium Low

4. Do you think that safety for pedestrians is increased or improved

Yes No

5. Do you think that lighting is adequate for project area

Yes No

6. Do you think that number of benches meet needs of people

Yes No

7. What you would like to add or change in project

.....
.....

8. Do you think that this project increased quality of life of citizens

Yes No

9. Do you think that this project encouraged small businesses

Yes No

10. Your recommendations for future

.....
.....

ANNEX VIII – **Template for drafting the Completion Report**

(LOGO OF THE MUNICIPALITY)

Completion Report

Name of project:			
Implementing partner:			
Start date:		End date:	
1) Overall description of the project:			
2) Project objectives:			
3) Project activities (incl. schedule), achievements and outputs:			
4) Challenges:			
5) Budget and resourcing:			
6) Lessons learned and recommendations:			
7) Other information:			

Date:

Prepared by: _____

(Name/Signature)

Approved by: _____

(Name/Signature)

