

GUIDELINES FOR PUBLIC PARTICIPATION IN SPATIAL PLANNING

MUNICIPAL SPATIAL PLANNING SUPPORT PROGRAMME IN KOSOVO

Implemented by:
UN HABITAT
FOR A BETTER URBAN FUTURE

Financed by:
**SWEDISH DEVELOPMENT
COOPERATION**



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October 2014

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I. BACKGROUND

1.1 INTRODUCTION

An important aspect of the process of shaping new democracies in Eastern Europe is represented by the shift of power from centralised, to more decentralized planning processes, which include a more comprehensive public participation system.

Public participation derives from the provisions concerning civil rights and in particular the right to participate, to be informed, to be heard and to express opinions and lodge comments. Through the adoption and signing of the International Covenant on Civil and Political Rights, governments commit themselves to observe these rights and create conditions for their execution.

The rights to participation in the planning process, access to information and presentation of opinions is also reflected in the Law on Spatial Planning adopted by Kosovo Assembly in 2013. This is the legal aspect of public participation, but not the only reason why different groups of stakeholders, including civil society and residents at large, should be involved in the planning process. The planning of local development, the use of land and creating spatial order, the establishment of public services and creation of new jobs is all done with the view of improving the living conditions of citizens.

1.2 PURPOSE OF THE GUIDELINES

The guidelines on the involvement of all relevant stakeholders in the spatial planning process are intended primarily for the members of central and local level governmental bodies who will be directly involved in the process of drafting spatial planning documents in a participatory, inclusive and gender-sensitive manner. They are also intended to enhance the knowledge and capacities of those working in the field of urban governance, and city planning by improving and helping to institutionalise such participatory approaches.

The Guidelines can also serve as a source of information for other stakeholders. They make part of a broader document which deals with legal requirements of the spatial planning documents as stipulated in the Law on Spatial Planning and accompanying by-laws. The intention is to make the Guidelines as practical as possible, but also to present some background theory which may be useful for those who have not had an earlier opportunity to work on public participation issues.

1.3 KEY LEGISLATION REGARDING THE PUBLIC PARTICIPATION PROCESS

Public participation as a democratic human right guaranteed by the international agreements and instruments is also guaranteed by the Constitution of Republic of Kosovo. The Constitution foresees the direct applicability of international agreements and instruments on human rights and fundamental freedoms (Article 22).

The Law on Spatial Planning no.04/L-174 foresees public participation during drafting and implementation of spatial planning documents (Article 20). Moreover, the Administrative Instruction no.05/2014 on “Responsibilities of Spatial Planning Authorities as well as Principles and Procedures for Public Participation in Spatial Planning”, foresees into more details the participation procedures and responsibilities of spatial planning authorities and the principles for organization of the presentations, public reviews as well as all other forms of public participation from the beginning and throughout all stages of spatial planning processes.

All these legal instruments create a basis for the further encouragement and strengthening of public involvement in spatial planning decision-making processes.

II. CONCEPTS

2.1 WHAT IS PUBLIC PARTICIPATION?

Public Participation is the dynamic incorporation of the people in the economic, social and political life of a country (region, community) which would ensure that the beneficiaries are effective participants in collective decisions with regard to common good (Vancouver Plan of Action – June 1976).

Picture 0.1 Community involvement in survey for Junik, MDP



Source: UN-Habitat MuSPP

*“Tell me and I’ll forget;
Show me, I may remember;
Involve me and I’ll understand”*
Chinese proverb

Picture 0.2 Celebrating World Habitat Day in Prizren



Source: UN-Habitat MuSPP

Picture 0.3 Municipal Vision by children for Junik, MDP



Picture 0.4 Visioning Workshop for Gracanica Municipality



2.2 WHY PUBLIC PARTICIPATION?

- Leads to outcomes that better reflect the needs and views of the wider
- Improves the quality & efficiency of decisions by drawing on local knowledge and reduces unnecessary conflict;

- Constitutes a vehicle to the open participatory democracy;
- Helps build consensus for development initiatives, especially in the context of great demands, restricted resources and limited capacity;
- Increases the efficiency of development investments, by drawing on local resources and skills and managing external inputs through the involvement of all possible stakeholders in project identification, design and monitoring;
- Increases effectiveness of development investments as it builds on local knowledge and understandings of problems, leading to better tailored interventions;
- Expands local capacities of people as they learn to manage and negotiate development activities;
- Potentially increases inclusion as local people assume responsibility for ongoing sustainability and maximise the potential uses of the intervention;
- Leads to more inclusive initiatives as it improves the opportunity for women and other discriminated groups to be involved.

2.3 MAINSTREAMING PARTICIPATION IN SPATIAL PLANNING

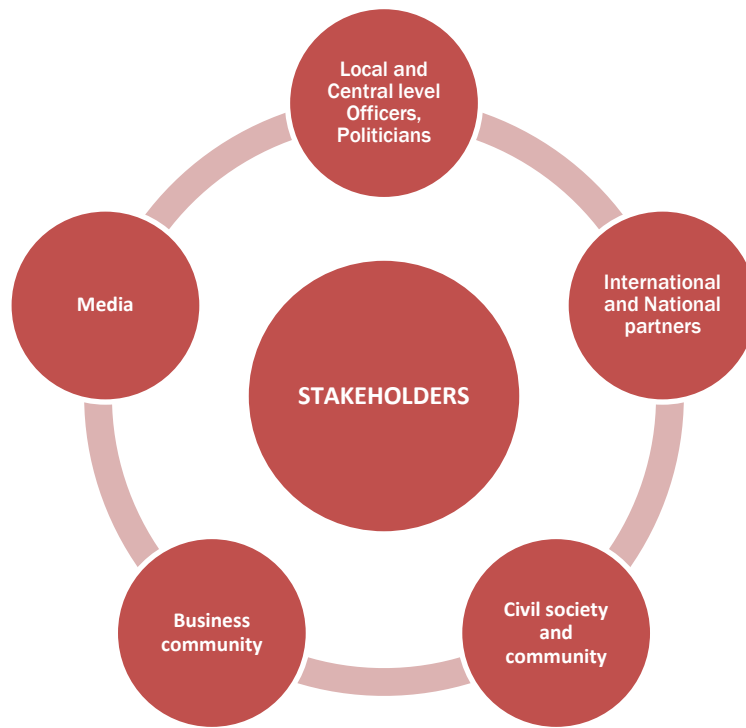
Public participation in decision-making processes, including spatial planning, is seen as an important element in developing strategies for solving urban problems. This may relate to such issues as improvement of local infrastructure and services, poverty alleviation, upgrading of the urban environment, economic development, improved safety standards for children and women in urban areas, and many other issues.

The involvement of citizens in identifying their needs, selecting priorities and identifying strategies offers a better chance for developing solutions that are sustainable, feasible and which the citizens are ready to help implement. There are many different tools which can be used to elicit views and opinions of citizens, to “measure” their willingness to participate, and finally to mobilise their actual participation. One of the important things about engaging the public in the process is to understand the interests, level of influence and capacities for participation of all stakeholders.

One of the reasons why local governments are increasingly more open to public participation is their recognition of local potential offered by non-governmental institutions, business community, civil society in general, and other stakeholders as a mean to a better and more efficient preparation and implementation of development projects. For instance, building partnerships with the local community, which are exposed to risks and have a detailed knowledge of how natural hazards have affected their neighbourhood, enables a better response to hazards.

By taking the initiative of channelling public participation, central and local governments may be better prepared to open a constructive dialogue with citizens. Experience shows that if this is not done at the right time, civil society will seek its engagement anyway, but often taking a stronger and confrontational position.

There are some arguments against extensive involvement of citizens in spatial planning, such as lack of interest and capacities of citizens to contribute creatively, higher costs and longer timing for reaching at decisions. However there are also clear and well proven benefits. These include greater local ownership and sense of responsibility for the ideas, development of tolerance and cooperation among different social groups, ensuring better response to local needs as well as stronger commitment to participate in the implementation and maintenance of developed projects.



Stakeholders in spatial planning (adapted from MuSPP presentation in WUF 6 Naples/UN-Habitat)

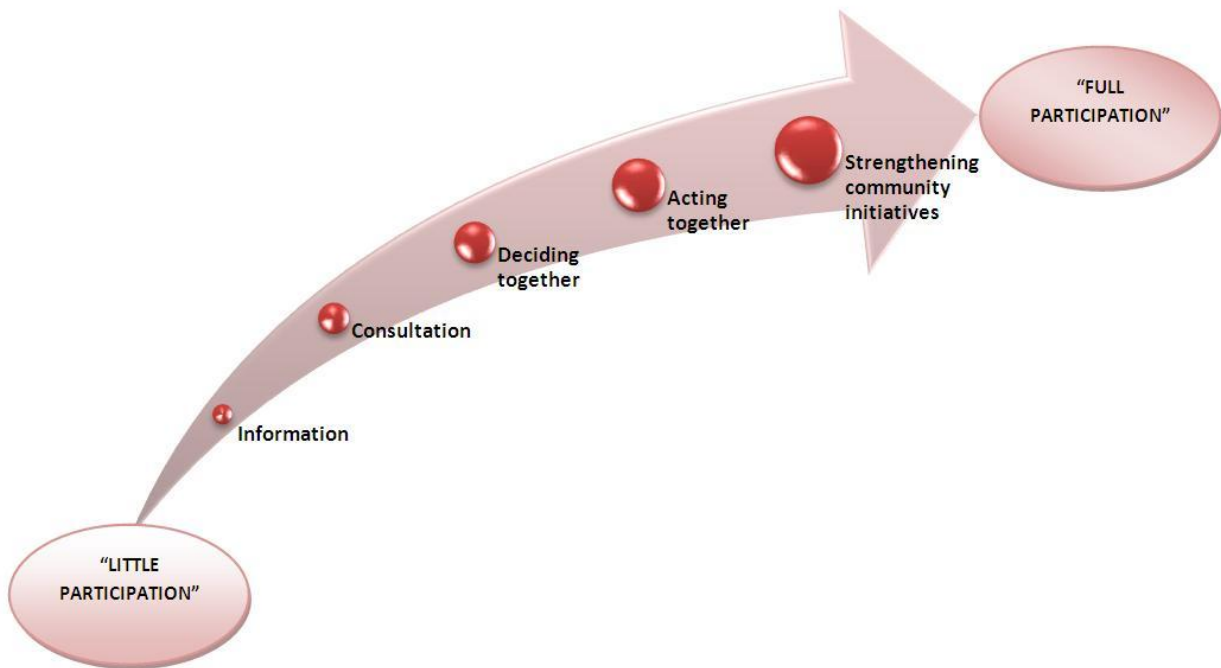
Stakeholders in the spatial planning process will include politicians, central and local level governmental officers, activists, residents, business community, local organizations, formal and informal groups, media – men and women of different age, social status, ethnic and education groups.

2.4 LEVELS OF PUBLIC PARTICIPATION IN SPATIAL PLANNING

Degrees of public participation are often presented in the form of a ladder which ranges from getting citizens acceptance of solutions that had already been developed without their participation up to full citizens' control of projects developed and implemented by them. The concept of the ladder was originally developed by Sherry Arnstein and is often quoted as the basis for further modifications required by specific programmes or projects.

The levels of participation set out here reflect a number of basic rights of citizens: the right to be informed, the right to be heard, and the right to affect those activities which directly relate to people's living conditions. These rights can be executed by e.g. participation in urban consultation events, public debates, surveys, meetings, working groups and committees, and other bodies. But one of the key matters is to ensure that citizens receive proper information about central and local initiatives and that the authorities create conditions for citizens to engage in them.

A CONTINUUM OF PARTICIPATION-TYPES OF PARTICIPATION



Source: UN-Habitat MuSPP

All these levels create a continuum, which in practical terms brings about a gradual development of participation from the lowest to the highest-intensity stages. Although different types of projects and activities may require only some of these forms of participation, it is useful to keep in mind that a high level of participation is not likely to happen without involving citizens at an earlier stage.

Tabular presentation of all levels listed below can be found in Annex 1: Levels of Public Participation.

2.4.1 INFORMATION

Picture 0.1 Public presentation of Malisheva Visioning



Source: UN-Habitat MuSPP

Information-giving underpins all different levels of participation, and may be fitting all alone in a few circumstances.

Concept

- Citizens are informed about their rights, responsibilities and options
- One-way communication, even if the information is provided at the request of stakeholders
- Does not involve channels to provide feedback or enter into negotiations
- Information is provided through channels that are accessible to all members of the community

Occurrence in the spatial planning process

- Information about spatial planning is shared with key identified stakeholders
- Major information campaign is held prior to consultation events, public debates and public review
- An authority is reporting a course of action which has been decided upon and doesn't affect others, e.g. information about tenders, annual monitoring reports on implementation of plans, public review reports (also foreseen by Administrative Instruction no.05/2014);

Methods

Consider the following methods for information:

- Press, radio and TV announcements,
- Information boards in the institutions and the city
- Posters
- Leaflets and bulletins
- Publish on the websites
- Open days in municipality or ministry

2.4.2 CONSULTATION

Picture 0.1 Discussion in public presentation of Malisheva Visioning



Source: UN-Habitat MuSPP

Consultation is proper when individuals can be offered a few decisions on what is going to happen - yet not the chance to create their thoughts or take part in placing plans into reality.

Concept

- Two-way communication, where stakeholders have an opportunity to voice suggestions and concerns
- Does not offer any assurance that stakeholders' ideas and opinions will be used at all or as they intended
- Usually conducted through meetings chaired by a person representing various levels of government or their bodies, public hearings (debates) and surveys

Occurrence in the spatial planning process

- Spatial planning consultation events are key element in the actual process of drafting the plans. It focuses on the development of common vision, mission, goals and objectives, both through plenary discussions, working groups, and thematic meetings
- Progressing/passing from one stage into another one during drafting process of plans (the Administrative Instruction no. 05/2014 foresees at least one consultative meeting/public discussion at each stage of the planning process);
- You and/or the initiator of the proposals can handle feedback and is prepared to use this to choose between or modify options
- Prior to finalizing the plans (during public review as foreseen by the Administrative Instruction no.05/2014).

Methods

Consider the following methods for consultation:

- Surveys, Questionnaires, opinion polls
- Assembly meetings
- Public debates and Public review
- Consultative meetings/public discussions
- Simulations where the options and constraints are clear
- Provide direct public access to see and comment the data, maps, charts and all plans for interested parties.

2.4.3 DECIDING TOGETHER

Picture 0.1 Design workshop for regulating Moronica park CIP in Junik



Source: UN-Habitat MuSPP

Deciding together is a demanding level, on the grounds as it can mean giving individuals the ability to choose without completely sharing the obligation regarding bringing choices through.

Concept

- Stakeholders interaction in order to understand each other and arrive at negotiated positions that are acceptable for the whole group
- However, vulnerable individuals and groups often tend to remain silent or passively agree to negotiated solutions
- Strategies should be employed to ensure that the opinions of men and women are equally considered, especially in this phase
- Deciding together is an expression of both power and responsibilities for outcomes that may result
- Negotiations at this stage reflect the different degrees of commitment exercised by individuals and groups
- Involvement in spatial planning participating processes enables stakeholders to take part in decision-making about the future of the city and use of its human, natural and financial resources towards implementation of the city vision

Occurrence in the spatial planning process

- When there is a need to define the vision, goals and objectives, strategic priorities and other substantial elements of respective plans; (as foreseen by the Administrative Instruction no. 05/2014)
- There is enough time to prepare;

Methods

Consider the following methods:

- Information-giving methods to start the process;
- Online surveys, e.g. voting for setting the strategic priorities;
- Open debates, workshops, face-to-face meetings;

- SWOT analysis to understand where you are;
- Brainstorming, Surveys to develop some options;
- Methods for deciding together to create a shared vision¹;
- Action Planning workshop.

¹ See: “Visioning as participatory planning tool learning from Kosovo practices”

2.4.4 ACTING TOGETHER

Picture 0.1 Different ethnic groups shaping together outdoor environment of School in Radevo/Radeve-Gracanica Municipality



Source: UN-Habitat MuSPP

Acting together may include fleeting coordinated effort or shaping more perpetual organizations with different interests.

Concept

- Collective actions result in a mix of beneficial, harmful and neutral consequences that are equally shared by all partners/stakeholders
- Accountability is fundamental at this stage
- Sharing among stakeholders with similar, equal status and towards a common goal

Occurrence in the spatial planning process

- Spatial planning results in a degree of potential benefits and risks shared between stakeholders but tries to mitigate risks through consensus building and analysis of development projects in terms of their financial, socio-economic and ecological impact
- Establishing public–private partnerships for service delivery, maintaining residential buildings, etc., is one of the ways to increase the efficiency and/or cost-effectiveness of local government
- The citizens and other stakeholders are engaged in implementation of plans through e.g. participation in shaping their environment.

Methods

Consider the following methods:

- Information giving methods to start the process;

- Team building exercises;
- Design exercises;
- Interim structures like working parties and steering groups as a focus for decision making and accountability.

2.4.5 SUPPORTING LOCAL INITIATIVES

Supporting autonomous community based activities means helping other people create and do their plans. Asset holders who advance this level of support may, obviously, put restraints on what they will support.

Concept

- Highest level of participatory efforts
- Stakeholders take full responsibility for projects that affect them directly and are willing to learn how to conduct the process from beginning to end.

Occurrence in the spatial planning process

- Form of participation expected in Action Planning Implementation, especially for neighbourhood or community-level projects
- It is not liable to be suitable when community activities are seen as 'a good thing' in theory and pushed on individuals starting from the top or where there is no dedication to give preparing and support, nor assets to keep up activities in the longer term.
- In the cases when time is very short.

Methods

The possible methods to consider include:

- Workshops for helping community groups to create a shared vision and plan their action;
- Team building exercises;
- Commitment planning;
- Workshops on design, fund-raising and publicity;
- Visits to similar projects;
- Interim structures like working parties and steering groups as a focus for decision making and accountability;
- Longer-term structures where community initiatives are fully represented;

III. GENERIC STEPS FOR PUBLIC PARTICIPATION

Participation is a process in which people, who are responsible for making it happen, have to think about what they want, consider some options, and work through what should happen. As any other process, developing a Public Participation Plan must be thought about in terms of phases:

Initiation

The phase at which something triggers the need to involve people, and the Spatial Planning Authority responsible for the process starts to think what that involves in terms of human and financial resources. This phase includes step 1 listed below.

Preparation

The period when the Spatial Planning Authority responsible for public participation thinks through the process, analyses the stakeholders, agrees an approach and develops a detailed activity plan. This phase includes steps 2, 3 and 4 listed below.

Implementation

The phase in which participation methods are used to bring in the key stakeholders in the community. This phase includes steps 5 listed below.

Continuation

What happens in this phase will depend very much on the level of participation – it may involve reporting back on consultation as well as monitoring and evaluation. This phase includes steps 6 and 7 listed below.

3.1 STEP 1: INITIATION AND MANAGEMENT

- Determine the legislative framework on public participation
- Clarify the aim of public participation
- Identify the benefits the plan gets from public participation

The process of participation and consultation is considered good when it is carefully planned in detail and contains clear goals.

The public participation plan (PPP) should include a brief description, purpose, project phases including forms of participation which will be used throughout the planning process. The Spatial Planning Authority should identify a staff member to prepare and manage the participation plan. After a staff member has been assigned as responsible for the overall public participation plan, other staff members shall be appointed to deal with specific participation activities. Standard forms of communication between the working group and other stakeholders involved in the process should be determined. It is important to discuss the budget for implementing the participation plan as well as the financial means to organize activities for public participation. For illustration, see Annex 2 on Spatial Plan Consultation Timeline.

The Spatial Planning Authority provides and encourages transparent public participation in planning and decision-making process by providing public access to data, maps, charts and all spatial documents for interested parties.

(As foreseen by the Administrative Instruction no. 05/2014)

3.2 STEP 2: DETERMINE THE STAKEHOLDERS WHICH SHOULD BE INVOLVED IN THE PUBLIC PARTICIPATION PROCESS

3.2.1 IDENTIFY STAKEHOLDERS AND THEIR ROLES

In order to determine the level of participation for each activity, a stakeholder analysis should be conducted. The stakeholder list should include all individuals or entities that:

- Are affected by the issue or whose actions strongly influence the issue;
- Can contribute with human, financial, technical or other resources in the formulation and implementation of the Spatial Planning Document;
- Control or influence the implementation of the Spatial Planning Document.

The matrix shown in Figure 1 below clarifies the process of defining stakeholders by creating at least four groups of stakeholders, depending on their stake and influence.

Table 1. Stake-Influence matrix

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

Source: Inclusive and Sustainable Urban Planning: A Guide for Municipalities, UN-Habitat publication

During the stakeholder analysis the following principles must be followed:

- Inclusiveness,
- Relevance, and
- Gender sensitivity.

The rules under which civil society will be engaged in the planning process must be clearly defined. There must be a clear understanding of the role of municipal officers, politicians, elected officials and civil society and business community.

3.2.2 IDENTIFY APPROPRIATE METHODS TO INFORM STAKEHOLDERS ABOUT YOUR PUBLIC PARTICIPATION PROCESS(ES)

- What methods (briefing meetings, printed communication) will be most effective in making stakeholders aware of the public participation process(es)?

Some people will want - or demand - more involvement than others. Others will wish not to be involved. Identifying these different interests of stakeholders and negotiating the level of participation which is appropriate and acceptable for them, is another aspect of the participation framework.

Strategies for mobilising stakeholders may take the form of:

- assembly meetings for a sense of stakeholders' "feelings" about a specific urban issue;
- a citizens' assembly which gives people an opportunity to meet with members of the municipal assembly and review progress on electoral promises; or
- small neighbourhood meetings to share information, identify problems and propose solutions.
- making use of "local champions", where the participation process is led by someone other than the planning authority as a way to divert the focus away from the person.

The Spatial planning authorities inform the stakeholders about public participation activities by using their respective websites, national or local media, invitation letters, public notifying letters and other forms of communication. The Spatial Planning Authority undertakes an information campaign to encourage public participation during drafting and implementation of the spatial planning document.

(as foreseen by Administrative Instruction no. 05/2014)

As foreseen by the Administrative Instruction no. 05/2014, Ministry of Environment and Spatial Planning (MESP) and municipalities should take into account the needs of youth, elderly people, minority groups, persons with special needs, public and private sector, NGOs, experts as well as gender issues.

"Knowing the stakeholders to be involved in public participation assists the Spatial Planning Authority to choose the most appropriate approach to ensure maximum impact - e.g. knowing what language to use and the level of information that should be provided to stakeholders on the issues under discussion. A proper stakeholder analysis makes it easier to divide the stakeholders into groups to ensure more focused discussions where stakeholders attending a specific intervention are on the same level in terms of background on the issue. Providing all appropriate information beforehand will ensure that stakeholders can participate meaningfully in the session." (Template for Developing Guidelines on Public Participation, Public Service Commission of South Africa, 2010)

"Participation must be based upon a "contract" clarifying the objectives of the process, statute of the participants, methods and rules chosen". The entire experience of the Network confirms this orientation, suggesting that in order to have a "structured" process it is often sufficient to clearly and precisely establish times, spaces, rules and roles guaranteeing everyone equal rights of participation, expression and being heard. (European Handbook for Participation, The Urbact Partecipando Network)

The European Institute for Public Participation argues that a core component of genuine participation is the possibility for involved actors/stakeholders to change their mind, which enables people to come to a shared understanding of issues and solutions instead of just exchanging views. (Public Participation in the Development Process, European Urban Knowledge Network, 2013).

3.3 STEP 3: IDENTIFY THE TYPES OF PARTICIPATION

3.3.1 IDENTIFY THE MOST APPROPRIATE PUBLIC PARTICIPATION TYPE(S) TO BE USED

- What public participation types would be most appropriate under the specific circumstances?
- What are the strengths and weaknesses of the relevant types?
- What is the choice of a type based on? (cost effectiveness, potential for maximum outreach, stakeholder expectations)

3.4 STEP 4: DEVELOP A DETAILED ACTIVITY PLAN

3.4.1 IDENTIFY CAPACITIES REQUIRED TO FACILITATE PUBLIC PARTICIPATION

- What are the capacity needs of the spatial planning authorities to facilitate public participation? (needs in terms of, but not limited, i.e. to facilitation skills, research skills, mediation skills, and interviewing skills)
- What are the capacity needs of stakeholders to participate in public participation?

3.4.2 IDENTIFY ACTIVITIES AND RESOURCES REQUIRED FOR PUBLIC PARTICIPATION

- Which activities will have to facilitate effective public participation? (See Annex 3 & 4 on Work Breakdown Structure and Activity/Responsibility Matrix)
- Which resources (in terms of human resources, cost, time and logistics) will be needed for each of the activities in the detailed plan?
 - Which resources are available for implementing the action plan?
 - What are the gaps between available and needed resources?
 - What sources can be explored to address gaps?
- Has a detailed action plan with timeframes, milestones and responsibilities been developed?
 - Select the appropriate location for events (consider gender-sensitive time/places for public participation activities to take place)
 - Agenda should be drafted and distributed on time and in all needed languages;
 - Check equipment – sound system, laptop, beamer, need for translation etc
 - Prepare and check all required materials, such as maps, charts, brochures, CDs, etc;
 - Is there access for people with special needs?
 - Organize the layout of the room where the activity will take place (e.g. a U-shaped layout may be helpful for a more participated activity where you aim at receiving feedback from your audience);

As foreseen by the Administrative Instruction no. 05/2014, public announcement shall be undertaken at least 8 days prior to public discussion (through calls, public notifying letters, national or local media, etc)

- Consider creating a comfortable meeting room environment, including such aspects as refreshments, heating, cooling, etc.

3.5 STEP 5: IMPLEMENT PUBLIC PARTICIPATION PROCESS

In order for public participation to be successful, all details should be considered – including logistics. Depending from the level of participation and tools and techniques that will be used in the process the Spatial Planning Authority should take care of issues such as:

3.5.1 ENSURE PROPER LOGISTICAL ARRANGEMENTS SUCH AS:

- Who will liaise/engage with the public?
- Who will record the inputs of the public?
- How risks will be managed, including
 - * Stakeholders overpowering others
 - * Not keeping to agenda and issues to be discussed
 - * Disrupting behaviour of stakeholders

3.6 STEP 6: PROVIDE FEEDBACK TO STAKEHOLDERS

3.6.1 PROVIDE ALL STAKEHOLDERS WITH FEEDBACK ABOUT THE OUTCOME OF THE PUBLIC PARTICIPATION PROCESS AS WELL AS THE INCORPORATION OR NOT OF THEIR INPUT INTO THE PLANNING DOCUMENT

- Have stakeholders been informed on how their inputs influenced decisions?
- Have the appropriate form and language in which to provide feedback been identified?

In order to do so, make sure:

- Media releases where a larger component of the public has to be reached for instance in announcing a specific policy
- Published reports are distributed to stakeholders or posted on websites
- Have stakeholders also been allowed to provide feedback on:
 - Their satisfaction with the public participation process?
 - Challenges they have identified in the process?

Citizens provide proposals and remarks in the following manner:

- have direct access to spatial planning draft document;
- write proposals and remarks in the book of observations, and
- give verbal suggestions, comments, and proposals and ask questions during the public presentations for certain issues.
(As foreseen by the Administrative Instruction no. 05/2014)

All proposals and remarks submitted by the public during public review (30 days for the draft spatial planning document and 15 to 30 days for changes to the draft spatial planning document) are included in the public review report.

The Report shall contain the justification for adopting or rejecting the proposals and objections, excluding proposals and remarks given after the deadline. The Report shall be published in the official website of MESP, and/or Municipality.

3.7 STEP 7: EVALUATE AND MONITOR

3.7.1 REVIEW THE PUBLIC PARTICIPATION PROCESSES AND INITIATIVES

- Has the Spatial Planning Authority used effective instruments (e.g. surveys, reviews) and indicators to evaluate whether the public participation process and or initiatives have accomplished its objectives?
- Have the constraints and challenges in the public participation process been identified?
- Has the Spatial Planning Authority devised ways to improve public participation?
- Have lessons from the process been used in planning future public participation initiatives?

It is recommended to develop indicators to monitor implementation of the participation plan, up to what extent goals and objectives of the public participation plan have been achieved, and to assess the overall participation process.

Data collection can be done by applying questionnaires to the community, or conducting focus groups with people who have participated in the process. (See Annex 5

Example of evaluation questionnaire)

The Spatial Planning Authority should be informed about the satisfaction level of the community regarding the participation process. Ultimately, data received from the monitoring process will serve Spatial Planning Authority to review its participation plan in the future.

IV. CONCLUSIONS AND RECOMMENDATIONS

“Effective public participation processes not only improve the quality of the projects or decisions at hand, but they also build relationships for future work. Many public participation processes fail to achieve either of these outcomes because of a tendency to move too quickly to implement ‘old and familiar’ activities without clearly identifying the objectives and reach of the program, and/or the preferred level of public participation.” (Source: Park Management Plan Review Public Participation Program - Framework Paper, May, 2007 by Parks Canada).

While referring to stakeholder engagement, it is not enough to state that all stakeholders must have a role in determining the future of their human settlements and in accessing services and opportunities. It is important to ensure equal participation of men and women, boys and girls, in these processes. A gendered approach to urban planning and management implies that the specific needs and priorities of men and women are incorporated in situation assessments and prioritisation, and that the impact of planning on men and women is carefully examined before reaching at any decisions. In order to ensure full community representation in the urban decision-making process, it is essential to ensure significant participation of all ethnic groups, as well as those groups which are frequently marginalised, e.g. the disabled, elderly people or the urban poor.

It is also important to ensure that allocation of appropriate budget is done on time and the processes are accountable to all those involved. Careful attention should be given to timing and location setting.

4.1 WHAT CHARACTERIZES GOOD PARTICIPATION?

Makes a difference: The purpose of participation is to achieve change in relation to the purpose identified; it may also make a difference to all those involved in terms of learning, confidence and sense of active citizenship. This requires active commitment to change by all parties.

Voluntary: People may be encouraged to be involved, but effective participation requires them to choose to be involved. Participation cannot be compulsory.

Transparency, honesty and clarity: about the purpose, the limits of what can and cannot be changed, who can be involved and how, and what happens as a result.

Interactivity: The idea that the engagement process is not just about presenting data and information, it is also about receiving information from participants. Interactivity is a more in-depth form of public engagement than simply informing the public about what you are doing.

Ownership: Control of the process will remain with the Spatial Planning Authority. The process can always be negotiated and discussed with participants; however the final call remains with the respective authorities. Effective participation implies ensuring the widest-possible “ownership” of an initiative by sharing responsibility and decision-making power. As such, it is extremely important that it is designed in such a way that the unique needs and capabilities of all stakeholder groups are recognised, particularly those of women as well as men. Adequate resources: to manage the process well and to deliver on the results.

Appropriate participants: representative and/or inclusive, depending on the purpose of the exercise, with traditionally excluded groups given special support and encouragement when their involvement is appropriate.

Accessibility: No participant should be excluded because of lack of physical access to meeting places or appropriate support, timing, etc.

Accountability: Participatory processes need to be accountable to all those involved (including the organisation that may be running / commissioning the exercise, and to the wider community). This requires good record-keeping and reporting of both processes and outcomes.

Power: Participatory processes should have sufficient power to achieve the agreed objectives. This may require a change in the existing power sharing arrangements.

Learning and development: Participatory processes should seek to support a climate of mutual learning and development among all those involved.

4.2 THE NATURE OF EFFECTIVE PARTICIPATION

Participation works best for all concerned when each of the key stakeholders is satisfied with the level of participation at which they are involved. The difficult task for the practitioner managing the process is to identify these stakeholders and their interests, help them define what they want from the process, and negotiate a route for them to achieve it.

The power of the practitioner lies in influencing who will benefit. Participation is not a neutral process. Therefore the person leading the participatory process should ask herself/himself:

- What is the purpose of the process?
- Who benefits? Who pays? Who controls?

With different stakeholders seeking different levels of participation, and being in different phases, conducting effective participation process can be a major challenge.

4.3 POSSIBLE RISKS

People in general are more likely to display their dissatisfaction with authorities than to cooperate with them. This changes when people have a strong personal or community interest in the actions of the authorities and can see them as an opportunity, a benefit or as a threat to their own interests.

Risks to the process include:

- Creation of parallel participatory processes that are not integrated with existing social and political structures
- Limited trust, conflicting interests, and differing bargaining powers between stakeholder groups that result in disorganisation of the process and abuse of confidences
- Diverse perceptions by different stakeholders concerning the participation process
- Exaggerated expectations by some stakeholders of the outcomes of the participation process
- Insufficient sharing of information between participants in the process
- Poorly planned participation processes that are open-ended and not realistically budgeted or that are a token effort by the organizers
- Lack of political will among government agents to allow wide participation because they fear loss of power or influence
- Limited time, capacity, and finances

4.4 EXAMPLES OF MOST COMMON CHALLENGES AND SOLUTIONS

The Authority responsible for managing the participatory process must be prepared to recognise the possible challenges and have some options on how to deal with them. Below there are examples of common challenges and ideas of how they could be addressed.

❑ *The budget for information and consultations is low.*

Focus on using existing ways of communication: local NGOs, TV and radio, internet, social media, posters or leaflets. Get prepared to answer questions when needed. Meetings of other local organisations can be used to present information and receive feedback. But do not plan large events which require considerable funds.

❑ *The Public Relation department or another body in your organisation has responsibility for communications.*

Get the basic messages clear before anything gets printed or published. Make sure you have internal agreement to convey any messages. Make it clear whether the PR department or another body in your institution will be able to process information from surveys, prepare a report and respond to feedback.

❑ *There is no response from the audience you are addressing through your information activities.*

Information involves only limited response, unless the issue becomes controversial and triggers social debate. However, to test how the message gets through, you can ask a few people what they understood from your communication to see whether your message got through properly.

❑ *People are not happy with information level only.*

Are they right that information level is not enough? Are you able to change the level of participation? If needed take it to the top-level authorities in your organisation to discuss it. It is easier to change the level of participation early on. Later it may become more difficult to mobilise participation, if people already got disappointed with a negative response to their demands.

❑ *There's no time to do things properly.*

Be realistic about the deadlines. If you do not have enough time for more advanced levels of participation, stick to lower, e.g. consultation.

❑ *You receive more - or less - response from public than planned.*

Maybe the consultation was not an appropriate level of engaging people? Was it simulated as how it would look like from the audience's point of view?

❑ *You are not sure whether your colleagues will support your decision to engage people for deciding together and higher levels*

Such decisions have to be taken at the beginning of the process, with full consent of the organisation's management. If the resistance comes from the lack of understanding, involve the management in the process. Run internal workshops before involving others.

❑ *People aren't intrigued in joining in*

Invest more time on early on time organizing - fundamentally conversing with individuals before holding any gatherings. Find out why they are not interested and what would make them more willing to engage.

❑ *The methods appear to be excessively complicated*

Attempt some of the less demanding ones with a little group that you know. Get an outside trainer or organizer.

❑ *From the beginning discussions focus on the composition of committees and groups, rather than the issue.*

The last structure should come last - after you have chosen what you are going to do, how to get the assets, what abilities you need, and how power and obligation will be shared. Set up interim structures like a steering group with clear terms of reference.

❑ *Conflicts emerge in steering group meetings*

Invest more of an opportunity in workshop sessions and casual gatherings to create an imparted vision and common comprehension.

❑ *Some stakeholders feel left out*

Clear up who the stakeholders are, and what their true interests are. Once more, run workshops instead of meetings. Utilize an autonomous facilitator, e.g. from one of neighbourhood associations or surprisingly better, utilize inward resource individual, if on disposal.

❑ *Community groups think that it is hard to set up*

Provide help and, if fundamental, training. Facilitate visits to comparable projects somewhere else. Treat individuals' development as genuinely as project development.

❑ *The steering group or other body cannot decide*

Arrange workshop sessions outside formal advisory groups

❑ *Little happens between gatherings*

End each gathering with an activity arranging session. If finances allow, choose somebody to organize exercises. Stay in touch, e.g. through a consistent exchange of e-mails or bulletin.

❑ *Community groups/stakeholders become committed to action, however asset holders can't convey*

Organize internal sessions to increase commitment inside the supporting associations, arrange with asset holders. Utilize the media.

Firsthand experience in mobilising public participation may be initially more complicated than it sounds, but it also provides an excellent learning opportunity for the Authority that takes responsibility for it and for better results for any project development and implementation. Therefore try it and good luck!

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3. Manual on community participation for regularization of informal settlement, MESP publication, 2013
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7. European Handbook for Participation, The Urbact Partecipando Network, available on website at [http://www.eukn.org/Policy_Labs/Public Participation in the Development Process 9th December 2013 Nicosia](http://www.eukn.org/Policy_Labs/Public_Participation_in_the_Development_Process_9th_December_2013_Nicosia)

Additional reading:

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9. Dare we jump off Arnstein's Ladder, a paper by Kevin Collins and Ray Ison, available on: programm.corp.at/cdrom2009/papers200/CORP2009_31
10. Visioning as participatory planning tool learning from Kosovo practices, UN-Habitat publication, 2012, available of UN-Habitat website <http://unhabitat.org/publications/>
11. Public participation in urban planning and strategies, lessons from medium sized cities in the Baltic Sea Region, by Samuli Lehtonen, available on website: www.MECIBS.dk

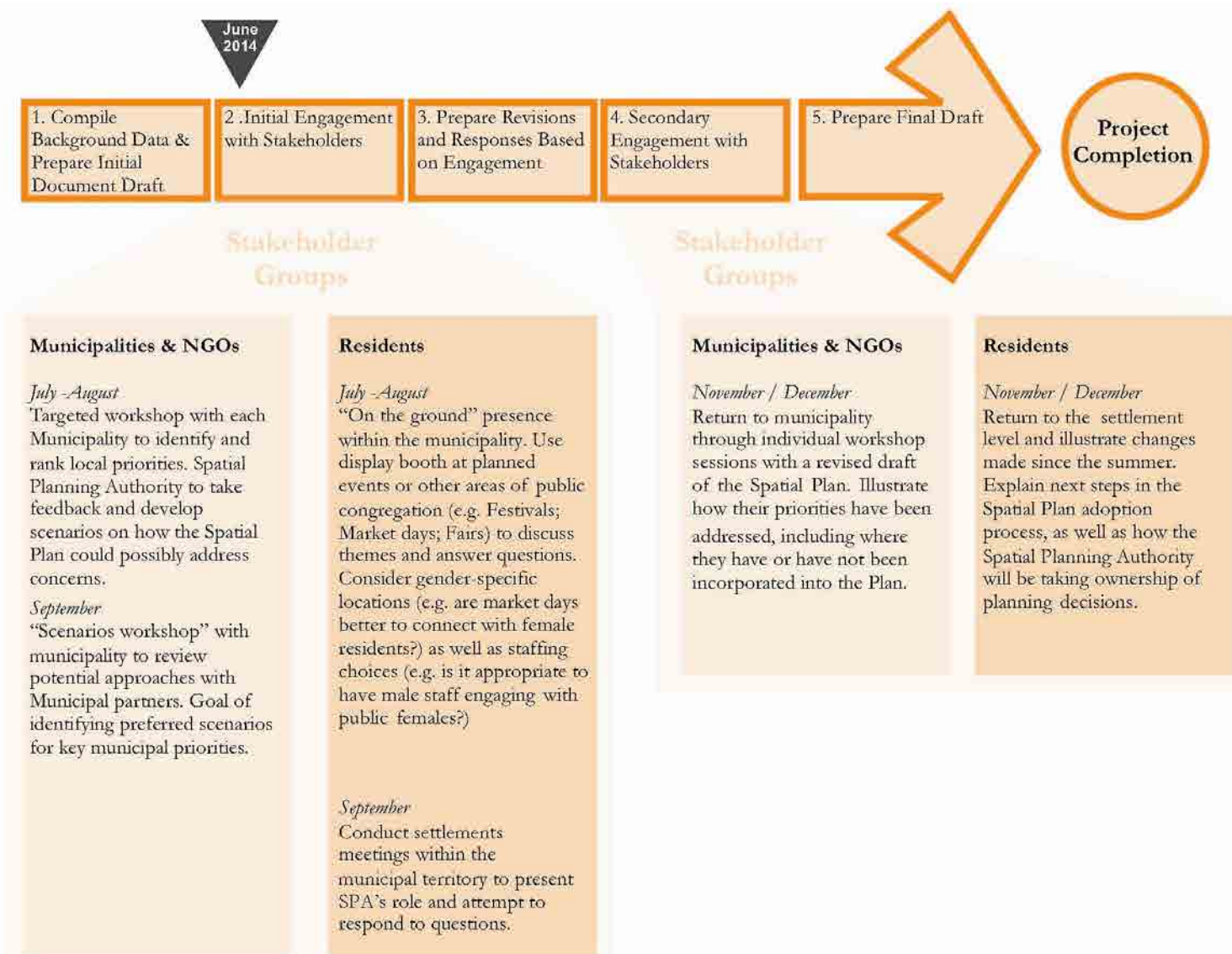
Annex 1. LEVELS OF PUBLIC PARTICIPATION

Level of participation	Concept	Occurrence in the Spatial planning Process	Forms of engagement
Information	<ul style="list-style-type: none"> • Citizens are informed about their rights, responsibilities and options • One-way communication, even if the information is provided at the request of stakeholders • Does not involve channels to provide feedback or enter into negotiations • Information is provided through channels that are accessible to all members of the community 	<ul style="list-style-type: none"> • Information about spatial planning is shared with key identified stakeholders • Major information campaign is held prior to consultation events, public debates and public review 	<ul style="list-style-type: none"> • Press, radio and TV announcements, • Information boards in the institution and the city • Posters • Leaflets and bulletins • Government website • Open days in municipality or ministry
Consultation	<ul style="list-style-type: none"> • Two-way communication, where stakeholders have an opportunity to voice suggestions and concerns • Does not offer any assurance that stakeholders' ideas and opinions will be used at all or as they intended • Usually conducted through meetings chaired by a person representing various levels of government or their bodies, public hearings (debates) and surveys 	<ul style="list-style-type: none"> • Spatial planning consultation events are key element in the actual process of drafting the plans. It focuses on the development of common vision, mission, goals and objectives, both through plenary discussions, working groups, and thematic meetings • Prior to finalizing the plans (during public review as foreseen by the Administrative Instruction no.05/2014). 	<ul style="list-style-type: none"> • Surveys, Questionnaires, opinion polls, • Assembly meetings • Public debates and Public review • Consultative meetings/public discussions, • Simulations where the options and constraints are clear. <p>These methods may be used in conjunction with information-giving and presentational techniques, for example:</p> <ul style="list-style-type: none"> • Advertisements. • Media briefing. • Leaflets and posters. • Exhibitions. • Websites • Social media • Videos. • Provide direct public access to see and comment the data, maps, charts and all plans for interested parties.

Level of participation	Concept	Occurrence in the Spatial planning Process	Forms of engagement
Deciding together	<ul style="list-style-type: none"> • Stakeholders interaction in order to understand each other and arrive at negotiated positions that are acceptable for the whole group • However, vulnerable individuals and groups often tend to remain silent or passively agree to negotiated solutions • Strategies should be employed to ensure that the opinions of men and women are equally considered, especially in this phase • An expression of both power and responsibilities for outcomes that may result • Negotiations at this stage reflect the different degrees of commitment exercised by individuals and groups 	<ul style="list-style-type: none"> • Involvement in Spatial planning Consultations enables stakeholders to take part in decision-making about the future of the city and use of its human, natural and financial resources towards implementation of the city vision 	<ul style="list-style-type: none"> • Information-giving methods to start the process. • Stakeholder analysis to identify who should be involved. • Online surveys. • Public presentations, open debates, workshops, face-to-face meetings. • SWOT analysis to understand where you are. • Brainstorming, Surveys to develop some options. • Visioning Workshops Action Planning workshop

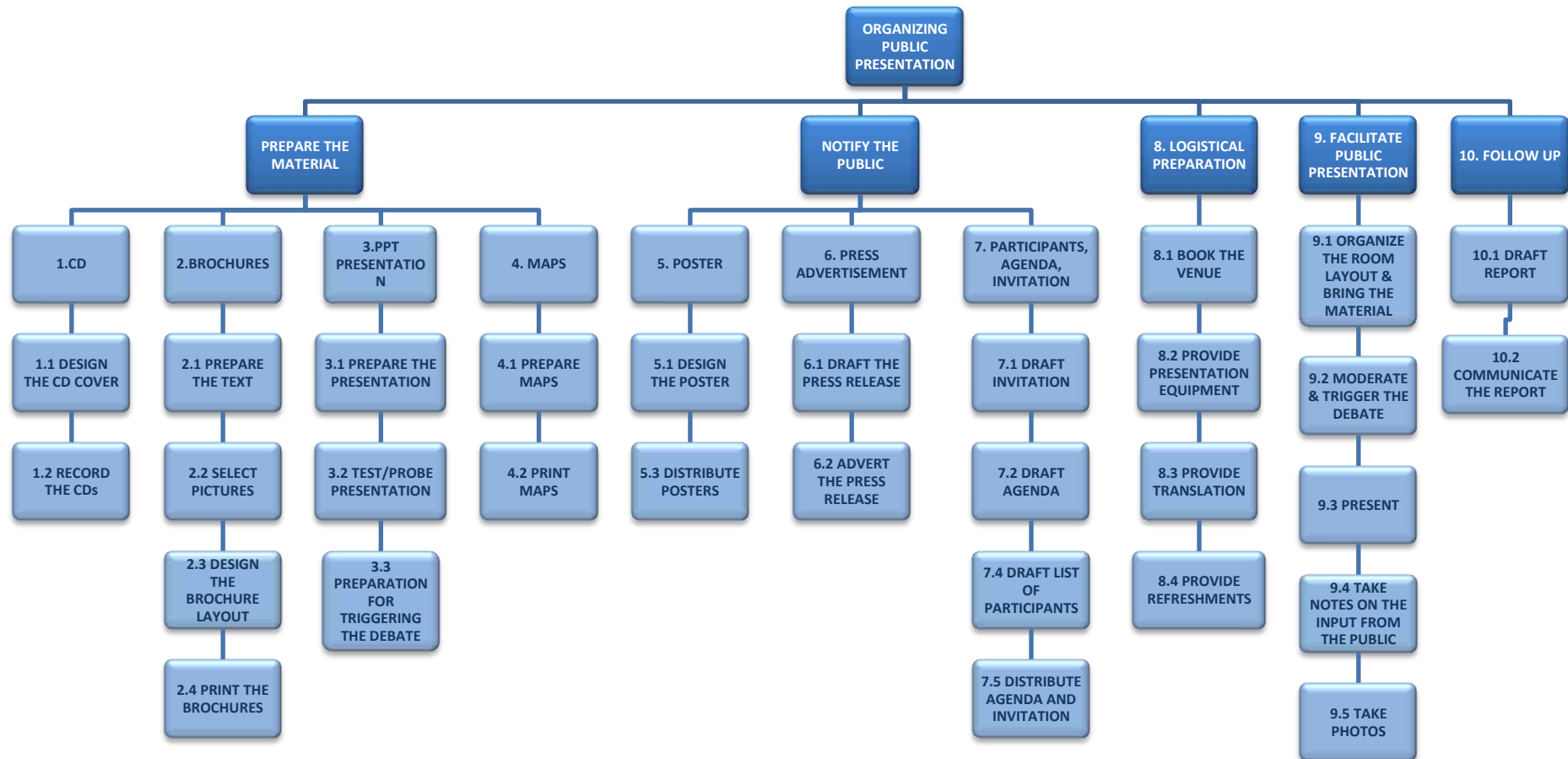
Level of participation	Concept	Occurrence in the Spatial planning Process	Forms of engagement
Acting together	<ul style="list-style-type: none"> • Collective actions result in a mix of beneficial, harmful and neutral consequences that are equally shared by all partners • Accountability is fundamental at this stage • Sharing among stakeholders with similar, equal status and towards a common goal 	<ul style="list-style-type: none"> • Spatial Planning results in a degree of risk-sharing between stakeholders but tries to mitigate risk through consensus building and analysis of development projects in terms of their financial, socio-economic and ecological impact • Establishing public-private partnerships² for service delivery, maintaining residential buildings, etc., is one of the ways to increase the efficiency and/or cost-effectiveness of local government • The citizens and other stakeholders are engaged in implementation of plans. 	<ul style="list-style-type: none"> • Information giving methods to start the process. • Methods for deciding together to create a shared vision. • Team building exercises. • Design exercises. • Business planning exercises. • Interim structures like working parties and steering groups as a focus for decision making and accountability.
Supporting local community initiatives	<ul style="list-style-type: none"> • Highest level of participatory efforts • Stakeholders take full responsibility for projects that affect them directly and are willing to learn how to conduct the process from beginning to end 	<ul style="list-style-type: none"> • Form of participation expected in Action Planning, especially for neighbourhood or community-level projects 	<ul style="list-style-type: none"> • Workshops for helping community groups create a shared vision and plan their action. • Team building exercises. • Commitment planning. • Business planning exercises. • Workshops on design, fund-raising and publicity. • Visits to similar projects. • Interim structures like working parties and steering groups as a focus for decision making and accountability. • Longer-term structures where community initiatives are fully represented.

Annex 2. Example: Spatial Plan Consultation Timeline



Annex 3. Example of: WORK BREAKDOWN STRUCTURE (WBS) FOR A PUBLIC PRESENTATION

- Brainstorm and group work activities in phases
- Appropriate structure for controlling
- Basis for agreements between the responsible managing staff member and other appointed staff members



*Make sure that all relevant output such as brochures, presentations, agendas, invitations, poster, etc., are translated in respective applicable languages!

Annex 4. Example of: ACTIVITY/RESPONSIBILITY MATRIX TEMPLATE

- List all the activities derived from the WBS
- Use the matrix as a tool to have commitment and responsibility in order to achieve proper PPP implementation

WP No.	Work Package	Responsible	Deadline	Finished/Not finished
1.1	DESIGN THE CD COVER	Z	DD/MM/YY	-
1.2	RECORD THE CDs	Y	DD/MM/YY	+
2.1	PREPARE THE TEXT	X	DD/MM/YY	-
2.3	SELECT PICTURES	X	DD/MM/YY	+
2.4	DESIGN THE BROCHURE LAYOUT	Y	DD/MM/YY	-
2.5	PRINT THE BROCHURES	X	DD/MM/YY	-
3.1	PREPARE THE PRESENTATION	Z	DD/MM/YY	-
3.2	TEST/PROBE PRESENTATION	Y	DD/MM/YY	-
3.3	PREPARATION FOR TRIGGERING THE DEBATE	X	DD/MM/YY	+

	...			

Annex 5. EXAMPLE OF EVALUATION QUESTIONNAIRE

Please give your answer in the boxes regarding evaluation using 1 as very negative to 5 as very positive in each of the set questions. If your answer is 1 or 2 please provide comment/suggestions for possible improvements.

This questionnaire is anonymous and will be used only for the purposes of the organizers.

Very negative

1	2	3	4	5
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 Very positive

Questions	1	2	3	4	5	Comments/suggestions
1. Overall, how do you evaluate the workshop?						
2. How do you evaluate the content of workshop in relation to goals achievement of the workshop?						
3. How do you evaluate the content of the presentations and presenters? Please comment on any of your preferences regarding presentations/presenters.						
4. How do you evaluate lessons learnt/recommendations derived from the workshop? Will the information gained in the workshop help you in your work?						
5. How do you evaluate the moderation?						
6. How do you evaluate the technical-logistics (food, conference hall, translation)?						

Write any additional comment that is relevant for future workshops including topics that can be treated.

