

Community-oriented City Development Plans

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Abstract

The endeavour to make cities better places to live in entails the participation of those who have a stake in the city, particularly the community at large that resides in the city. Keeping this in mind, the Jawaharlal Nehru National Urban Renewal Mission (JNNURM) envisages that City Development Plans (CDPs) should be based on a “shared and collective vision” and one that is prepared through a “continuous participatory consultative process”. This paper evaluates the extent to which CDPs have adhered to this basic premise. In the first part of the paper we conduct a comparative assessment of the extent of public participation in the preparation of CDPs for a sample of sixteen JNNURM cities. It is noted that the extent of consultation varies considerably across cities and in general needs greater emphasis. In the second part of the paper we discuss approaches, tools and techniques available to improve people’s participation in development practices. Case studies are presented to illustrate this point. The paper concludes with suggestions on how to make CDPs more “shared and collective”, given the constraints.

Keywords: City Development Plan, community participation, urban renewal

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The Jawaharlal Nehru Urban Renewal Mission is the flagship programme on urban development of the Government of India, implemented by the Ministry of Urban Development. The programme has a time span of seven years, and was launched in December 2005. It aims at improving the living conditions of the citizens of a chosen group of 63 cities through infrastructure development and capacity building of the Urban Local Bodies (i.e. the municipalities and municipal corporations) through a series of reforms at the state and city level (e.g. reaching property tax collection using GIS, levy of user charges, provision of basic services for the urban poor)

The three main elements of the Mission include preparation of City Development Plans (CDPs) and Detailed Project Reports (DPR) by the city Urban Local Body (ULB) and signing of Memorandum of Agreement (MoA) between the Centre, State, and ULB. Every city is expected to formulate a City Development Plan (CDP) indicating policies, programmes and strategies, and financing plans. The CDP would include identification of projects leading to the formulation of Detailed Project Reports (DPRs). The Urban Local Bodies (ULBs) / Parastatal agencies have to prepare DPRs for undertaking projects in the identified spheres. The projects should be planned so as to optimize the life-cycle costs. A revolving fund would be created to meet the O&M requirements of assets created, over the planning horizon. In order to seek JNNURM assistance, projects need to be developed in a manner that would ensure and demonstrate optimization of the life-cycle costs over the planning horizon of the project. On approval of the CDPs and DPRs, the State Government and ULBs including Parastatal agencies, where necessary would execute a MoA with Gol indicating commitment along with a timeline to implement identified reforms.

“A City Development Plan (CDP) is an action plan for equitable growth in a city, developed and sustained through public participation to improve the quality of life for all citizens. A City Development Plan (CDP) is both a perspective and a vision for the future development of a city. It presents the current stage of the city’s development – *where is the city now?* It sets out the directions of change – *where does the city want to go?* It identifies the thrust areas — *what does the city need to address on a priority basis?* It also suggests *alternative routes, strategies, and interventions* for bringing about the change – *what interventions should be made in order to attain the vision?* It provides a framework and vision within which projects need to be identified and implemented. It establishes a logical and consistent framework for evaluation of investment decisions.” – *JNNURM Toolkit No. 2*

In a nutshell, a CDP is an action plan for equitable growth in a city, developed and sustained through public participation to improve the quality of life for all citizens. The *continuous participatory consultative process* involves the entire gamut of stakeholders of the city, throughout its preparation. The vision and strategies presented in the CDP should therefore be one that has been arrived at with a consensus from the stakeholders – *i.e. a vision that is a shared and collective.*

CDPs appraised by NIUA

Appraisals of CDPs were carried out based on the guidelines presented in *JNNURM Toolkit Number 2*. While appraising, particular emphasis was laid on appreciating how the city's vision took off from the present scenario. i.e. *how the city wishes 'to go where it wants to go' from 'where it is'*. This in turn was related to the present '*financial health*' of the city. Attention was also paid on assessing whether the city is credit-worthy.

Caveats or qualifiers to the appraisal process

Given the restricted time available for appraisal for each CDP, the appraisal process was a desk exercise for most cities. In case of certain cities like Srinagar, however, a visit was made to the city. In all cases, city officials were consulted and NIUA's comments were conveyed to them. It was a 'friendly and interactive' process and entailed 'learning by doing'. After 31st March 2006, discussions were held with other experts in the urban sector and the Ministry of Urban Development in an attempt to formulate a standard appraisal format to help streamline the process and ensure transparency.

Stakeholder consultations

Stakeholder consultation is one of the most important aspects of a CDP. In order to ensure inclusiveness in the CDP, the major groups residing in the city like major investors, service providers, NGOs, urban poor etc. were consulted. While assessing the CDP, attempts were made to crosscheck that the stakeholders were selected from all over the city and there was socio-economic diversity among the participants involved in the consultative process (*meetings, workshops, melas etc.*). Convergence in the views presented in the CDP and that of stakeholders is also an important issue, which was addressed. In some CDPs, there was a clear consensus and in others it was partial. Another aspect that was examined was the prioritization of strategies and how far the prioritization perceived by stakeholders reflected the priorities worked out in the CDPs.

The CDPs appraised may be grouped into three groups: good, average and not up to the mark. To illustrate, below is a brief of the analysis of the extent of stakeholder consultation carried in a sample of sixteen CDPs:

The CDPs rated as very good were primarily of those cities that already had City Development Strategies (CDS) in place. This includes the CDPs of Surat, Vadodara, Rajkot, Visakhapatnam, Vijaywada, and Hyderabad. To illustrate, in Vadodara, consultations were held with six groups consisting of a total sample of 5000 residents covering different sections of society (NGOs, industrialists, builders, urban poor etc). The CDP has also taken on board the responses from a study done by an NGO (SEWA), which reflects the opinions of the urban poor with respect to the priorities, outlined in the vision. The stakeholder consultation for Vadodara also has a fairly equitable spatial spread - 1825 samples collected from all wards & zones of Vadodara. Vadodara has also been innovative – a weeklong "Vadodara festival" was organised which included an essay competition for students titled 'My Dream city Vadodara'.

In Hyderabad, a CDS was already in place before the CDP. During the course of preparation of the CDS, between September 2001 and December 2003, six meetings were held with the stakeholders phased out evenly throughout this period. Against this

backdrop, the CDP was also shared with the stakeholders after a draft CDP was in place. According to the city, there was a consensus from stakeholders on this.

Overall, in most of the cities which may be rated as good in terms of consultative or inclusive CDPs, a number of meetings were held with stakeholders – in most cases, the groups were clubbed on the basis of homogeneity – elected representatives and government officials; NGOs, urban poor and public representatives; professionals and academicians etc. For example, in Vijaywada, ten working groups were formed for consultations and a separate consultative process was adopted for periphery municipalities.

For Coimbatore and Madurai, the stakeholder consultation process may be rated as average. In these two cities though public consultations have been conducted with municipal councillors, officials and identified stakeholders, the details have not been provided in the CDPs. Raipur is the only CDP, which is not up to the mark and has been sent back to the city for major revisions.

A matrix on the assessment of sixteen CDPs is presented below:

Table 1: Appraisal of stakeholder consultations carried out during CDP preparation

City	Overall quality	Spatial Spread & Socio-economic diversity	Convergence between CDP & stakeholder consultation
Ahmedabad	Very good: The CDP has been prepared in a professional manner and gives the clear picture of where the city is today, where it wants to go, and the strategies for achieving the vision. The financial aspects have been dealt with in great detail in the CDP and give a comprehensive picture of the finances including capital investment requirements.	Series of broad-based consultations held. Stakeholders included elected representatives, professionals, NGOs and government officials etc. Details of stakeholders not provided.	The details of consultations not available in the CDP.
Surat	Very good: The CDP has been prepared comprehensively and in a professional manner. It gives a clear picture of the existing situation in the city, its vision, strategies and the capital investment plan. Each sector has been dealt with in detail giving the emerging issues in the sector. The strategies have been given clearly with the action plans/ tasks and the institutions responsible for implementation. The financial aspect has been dealt with in great detail and gives a clear picture of the city's financial position.	Details of stakeholder consultations not given. Stakeholders included officials, commercial organizations, technocrats, eminent citizens, councilors and NGOs. SMC distributed 30,000 copies of questionnaire to identified stakeholders. About 13% filled questionnaires were received and analyzed.	CDP only states that the vision for the city is based on the vision articulated by the citizens.
Vadodara	Excellent: Existing scenario well analyzed (sector-wise); Recommendations follow in a rational manner from the present status; Scenarios of proposed financial profile well presented with respect to advantages and	6 groups consulted comprising a sample of 5000 residents covering different sections of society (NGOs, industrialists, builders, urban poor etc) consulted; 1825 samples	Well correlated and explained.

City	Overall quality	Spatial Spread & Socio-economic diversity	Convergence between CDP & stakeholder consultation
	drawbacks under each;	collected from all wards & zones of Vadodara	
Rajkot	Very Good: The CDP has been prepared in a comprehensive manner covering all services and all aspects. Each sector has been dealt with in detail with SWOT analysis and performance assessment. The strategies have been given clearly with outcomes, outputs and inputs. The financial aspects have also been dealt with in detail in the CDP.	4 group meetings were held with stakeholders & RMC.	Well correlated and explained.
Visakhapatnam	Very Good: The CDP has been prepared well and gives a comprehensive picture of the city's existing status, vision, strategies and investment plans, which have been done sector-wise. The strategies contain vision outcome for each sector and sub-sector and includes the capacity building component.	Broad-based stakeholder consultations held. Stakeholders included all sections of society and economy including the poor.	Not clear.
Vijayawada	Excellent: The CDP has been prepared well and gives a comprehensive picture of the city's existing status, vision, strategies and investment plans, which have been done sector-wise. The strategies contain vision outcome for each sector and sub-sector and includes the capacity building component	10 working groups formed for consultations. A separate consultative process was adopted for periphery municipalities.	Stakeholder views and priorities are in consonance with prioritization arrived at in the CDP.
Raipur	Fair: The CDP gives a fair idea about the city; Existing situation analysis together with perspective and a vision of the city has not been adequately presented. The CDP needs revision.	Stakeholder consultations not undertaken, therefore the CDP completely misses the opinion and views of the people of the city.	Not provided
Hyderabad	Excellent: The CDP has been prepared very well. It gives a comprehensive picture of the city's existing status, vision, strategies and investment plans - all sector-wise. A separate chapter has been devoted to Basic Services to the Urban Poor. The strategies not only include projects for improving service delivery but also include the capacity building component.	Series of broad-based consultations held. Key stakeholders included officials, representatives of business and trade, public representatives, experts, NGOs/ agencies involved in service delivery etc.	The CDP indicates a convergence.

City	Overall quality	Spatial Spread & Socio-economic diversity	Convergence between CDP & stakeholder consultation
Coimbatore	Good: The CDP is well prepared. It gives a comprehensive picture of the city's existing status, strategies and investment plans - all sector-wise. A separate chapter has been devoted to Basic Services to the Urban Poor.	Public consultations have been conducted with municipal councilors, officials and identified stakeholders. Details not provided.	Not given.
Madurai	Good: The CCP has been prepared well and gives a comprehensive picture of the city's existing status, vision, strategies and investment plans, which have been done sector-wise.	Public consultations have been conducted with municipal councilors, officials and identified stakeholders. Details not provided.	Not provided
Chandigarh	Good: Initially, a number of points, especially on the financial aspects was inadequate. The same was addressed better in the revised version.	Though CDP mentions that a wide spectrum of stakeholders was consulted, the number of consultations and points discussed are not clearly spelt out. The emphasis is more on referring to government departments as stakeholders and not the common citizen. Involvement of urban poor is absent	CDP talks of formation of sector-wise working groups, but details on integration for prioritizing is absent.
Kohima	Good: Baseline survey well collated and analyzed. Financial aspects over-estimated at places without giving due consideration to the population of the city and credit-worthiness of the urban local body.	Fairly equitably spread out all over the city. Community consultation groups were divided into – primary stakeholders (community, gender groups, NGOs, CBOs) and secondary (decision makers & policy makers); 24 primary stakeholder participations carried out – group discussions (general and gender-specific), individual interviews, semi-structured interviews Sector-specific consultations – each group's views taken on board and issues identified on a macro and micro-level	Convergence well brought out and techniques used covered convergence issues quite comprehensively. However, some projects that have been added are not required for a city of this size and type.
Mysore	Fair: The first part of the CDP of Mysore contains the background of the regions, the existing situation analysis, the vision, the implementation of the vision and the financial sustainability analysis. The CDP has not fully followed Toolkit 2 and does not give much importance to the existing situation analysis. It concentrates more on the vision,	Responses of stakeholders not easy to comprehend. Number of meetings held, the number of people attending these meetings and the consolidated list of responses it generated is not given in the CDP.	CDP does not indicate if all sections of society were covered and the priorities of people with respect to services and infrastructure.

City	Overall quality	Spatial Spread & Socio-economic diversity	Convergence between CDP & stakeholder consultation
	the projects and the financial plan, which should be based on the existing situation. The CDP has not been structured well and is fragmented.		
Guwahati	Fair: The CDP has been revised. But the problems of overcoming multiplicity of agencies needs to be addressed more effectively.	Five workshops were held over a period of three months at different stages of CDP preparation. Various groups were consulted. However, there seems to be no representation of the poor. Selection of stakeholders based on spatial spread is not clear.	CDP reflects convergence in projects based on stakeholder consultations.
Ajmer - Pushkar	Good: Baseline scenario well studied. Overall a well-articulated CDP.	Three rounds of consultations held. Fairly well spread out all over the city representing all stakeholders. Representation of urban poor not clear in stakeholder consultations	Though different groups of stakeholders were consulted, their spread across the city is not clearly given in the CDP
Dehradun	Good: Baseline situation well analysed. Vision well articulated. Financial aspects need more detailing.	A number of stakeholder consultations were held and a wide range of stakeholders were consulted for the preparation of the CDP. It included the officials, elected representatives, NGOs and citizens etc.	The collective vision of stakeholders have been provided in detail and is in tune with the prioritization of projects provided in the CDP

Looking forward

Community-oriented CDPs – what does it entail?

Participation is a process, through which stakeholders influence and share control over development initiatives and the decisions and resources, which affect them. Although it is often argued that all stakeholders must work collaboratively to advance development projects, it is also important to recognize that different stakeholders have different levels of power, different interests and different resources. Therefore, arrangements are needed to level the playing field and enable different stakeholders to interact on an equitable and genuinely collaborative basis.

Who is a stakeholder?

Before moving on with consultations, it is very important to identify the stakeholders. Put in simple terms, stakeholders are those affected by the outcome – negatively or positively – or those who can affect the outcome of a proposed intervention. Once a participatory stance is taken, getting the right stakeholders becomes essential to

producing good results. Not all parties, however, can automatically be assumed relevant. In addition, for every development concern being addressed, a broad spectrum of stakeholders exists ranging from directly affected parties to individuals or institutions with indirect interests.

Achieving consensus and reconciling key stakeholders differences is not always easy. It may entail risks, such as generating or aggravating conflicts among groups with competing interests and priorities. Dealing with conflict often requires an understanding of the underlying societal interests inhibiting consensus and putting into place mechanisms for dispute resolution and negotiation.

As per toolkit # 2, which outlines the preparation of CDPs, it has been reinstated that the CDPs will have to be prepared keeping in mind the views, opinions and most importantly, needs of the stakeholders. However, there is no definite structure or outline mentioned in the toolkit about of how this may be done. There are various approaches and tools of involving the 'community' in the planning and decision making process. Each public consultation or involvement method has strengths and weaknesses and every situation is unique. Each city has its distinctive set of advantages and disadvantages and it is difficult to prescribe a formula.

The discussion below may be used as a guide while framing the most suitable approach or tool for participation of stakeholders in a particular city. It may also be pointed out here that not only is it imperative to involve the community in the process of CDP preparation but it is equally important to take the stakeholders into confidence while formulating the Detailed Project Reports or DPRS.

Participatory approaches

Three broad approaches of structuring participation may be outlined. They include the following:

- a) priority problem approach
- b) sectoral or municipal services approach
- c) stakeholder or thematic approach

Priority problem approach

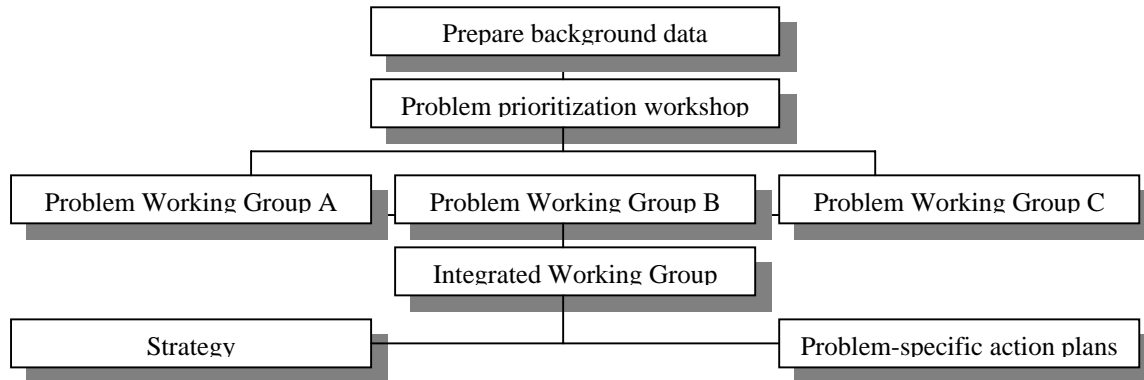
The most commonly used means of structuring public involvement at a local level (e.g. city or part of a city) is to involve stakeholders in determining priority urban problems and then structure participation around key problem areas.

The process is as follows:

- 1) background or baseline information on the city's urban environment is prepared (e.g. urban infrastructure data and a "State of the Urbanisation" report) if available
- 2) a stakeholder workshop is held to discuss the background information and prioritize urban problems
- 3) stakeholder working groups are created around the 2-6 highest priority problems
- 4) the working groups identify and prioritize options for solving the problems

- 5) a panel with representatives from each working group, along with experts, develops an integrated strategy and individual action plans for each priority problem.

Figure 1: Priority Problem Approach Flow Chart



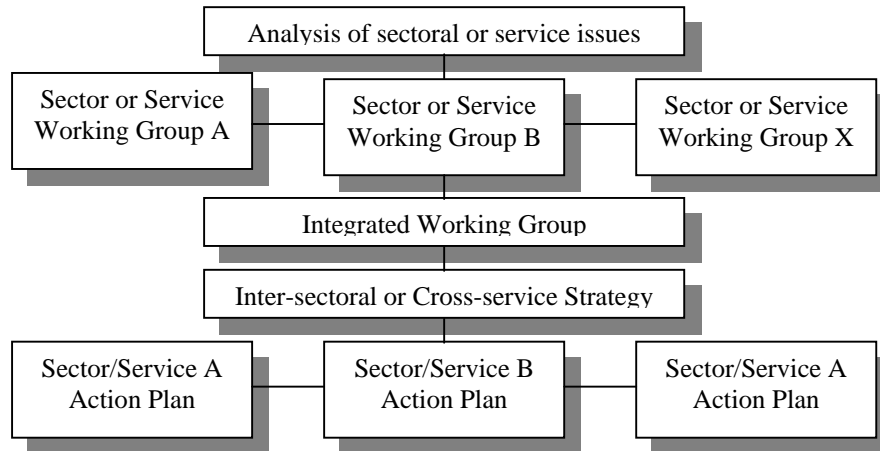
The Priority Problem approach requires: a) consensus on which problems are the most important; b) consensus within each problem area as to priority options; and c) participation of relevant stakeholders, especially decision-makers. Its advantages are that it focuses on addressing the most important issues and promotes an integrated approach to strategy development. Its disadvantages are that real-life problems may be different from identified priorities if the process takes too long and it may be difficult to achieve consensus on priority problems and options.

Sectoral or municipal service approach

This approach is based on the urban environmental dimensions of a city's existing sectors or municipal services. The process is as follows:

- 1) an analysis is made of sector-by-sector or service-by-service issues, either by experts or by a stakeholder workshop
- 2) stakeholder working groups are established for each key sector or municipal service
- 3) working groups prioritize issues, identify options and prioritize options for each sector or service
- 4) an integrated working group develops an inter-sectoral or cross-service strategy and sector- or service-specific action plans.

Figure 2: Sectoral or Municipal Service Approach Flow Chart



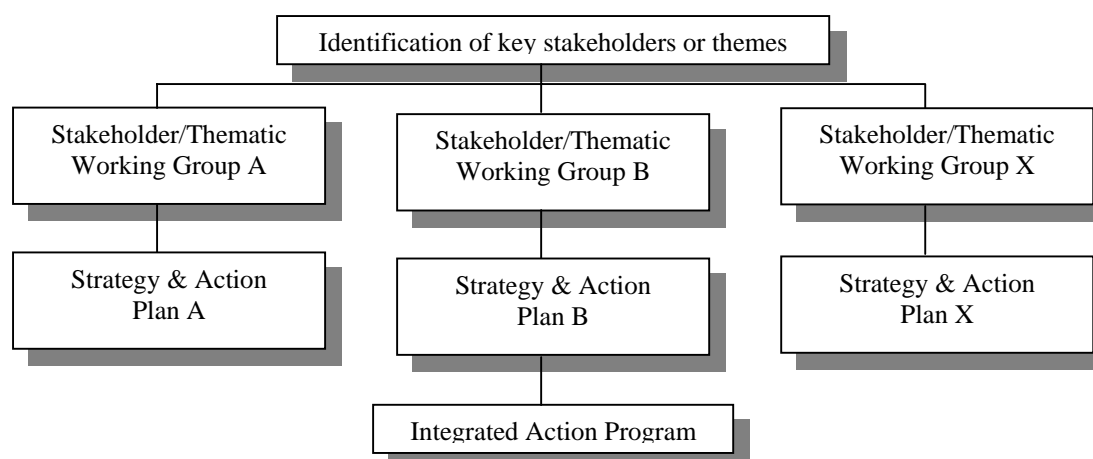
The sector- or service-specific approach requires the active participation of key sectoral actors (e.g. the water and sanitation company directors as well as representatives of their industrial, commercial and residential customers) and a willingness to evaluate real problems in each sector or service. The advantages of this approach are that it focuses on operational problems in each sector or service and that it results in practical, institution-specific recommendations. The disadvantages are that it may not identify and address the most important issues in a city and it tends to reinforce the existing sectoral structure or service delivery system.

Stakeholder or thematic approach

In this approach, public participation is organized around groups of key stakeholders or pre-identified urban themes. The process involves:

- 1) identification of relevant stakeholders or themes
- 2) establishment of stakeholder or thematic working groups
- 3) optional preparation of background documents (e.g. urban environment data and a "State of the Urbanisation" report for use by the working groups)
- 4) identification and prioritization of stakeholder- or theme-specific strategies and action plans
- 5) integration of working group outputs into a citywide action program by a stakeholder workshop or a group of experts.

Figure 3: Stakeholder or Thematic Approach Flow Chart



This approach requires the active involvement of all key stakeholders and/or consensus on central themes. The advantages are that it is easy to establish and understand, and that it can address cross-sectoral and inter-jurisdictional problems. The disadvantages are that: a) the resulting strategies and action plans may not address a city's most important problems; b) recommendations may be too general to guide action at the level of individual institutions; and c) separating stakeholders may create an "us against them" mentality that could lead to divisiveness.

Examples / Case Studies from other countries

1. Priority problem approach (Dakar, Senegal)

In 1993, a start-up workshop was held to discuss the process with 80 representatives of stakeholders and to seek their cooperation. This was followed in mid-year by a rapid assessment of the urban environment by local consultants who assembled relevant data and prepared an environmental profile. Towards the end of the year, a consultative workshop was held to discuss the profile and identify priority issues. Working groups identified general or thematic problems (natural and industrial risks, air pollution, solid waste, sanitation, and environmental education) and geographically specific ones (pollution of the Hann Bay, coastal erosion). At the final plenary, a consensus was reached to proceed with action planning on the Bay pollution and industrial risks.

Strategy development and action planning followed in 1994 with assistance from the UNCHS Sustainable Cities Programme and the UMP. Environmental profiles were prepared on the two priority themes. These profiles, prepared by local consultants, examined the nature of the problem, the relationship between the problem and urban development, and the institutional setting surrounding the problem. Towards the end of the year, a three-day consultation with over 100 stakeholders was held to discuss industrial risks, Hann Bay pollution and next steps. The results of this work were used to develop action plans that cover needed investments, technical assistance, policy reforms, and institutional development.

2. Sectoral and municipal services approach (Tilburg, the Netherlands)

In 1990, the city of Tilburg formulated a Municipal Environmental Policy Plan (MEPP). After four years, an evaluation concluded that environmental problems had not been solved and that an important policy document could not be drawn up in a top-down manner from behind a desk.

The second MEPP was developed in 1994. An overall strategy was developed based on the need for placing environmental policy in a broader view of sustainable development, the importance of using measurable policy targets and the view that implementation of environmental policy is the joint responsibility of all parties involved (the municipality, target groups and interest groups). Eight action plans (called sustainability strategies) were developed with stakeholders for municipal services (urban planning, traffic control, and the management of wastes and water) and specific high-priority sectors (industry, households, construction, and energy). The action plan for urban planning serves as a framework for the MEPP and the other plans are designed as inputs to it.

Implementation of the MEPP began in 1995. The municipality reports annually on implementation of the plan using source, effect and performance indicators. Consultation has been built into the implementation process: the construction sector, industries and environmental groups are both implementing and reviewing the process along the way.

3. Thematic approach (Bursa, Turkey)

In late 1995, the city of Bursa established a Local Agenda 21 General Secretariat. Early in 1996, the Secretariat organized an Urban Forum to discuss sustainable development and urban environmental priorities that was attended by 800 citizens representing municipal government, NGOs, professional associations, the private sector, unions, and universities. Participants identified key themes and volunteered to work on these themes. As a result, 12 working groups were formed. This has now expanded to 21 groups involving 2200 volunteer members on the following themes: Waste; Land Use; Urban Structure; Industry; Climate Change; Water; Socio-economic Life; Historical and Cultural Heritage; Art and Culture; Education; Environmental Regulations; Public Relations; Health; Sport; The Disabled; Children; Women; Young People; Scout Groups; Pensioners; and Combating Poverty.

Environmental data are being collected and a "State of the Environment" report is being prepared to assist the working groups. The working groups have come up with 33 crosscutting recommendations that are being integrated into a citywide action program

Tools and techniques of participation

A wide variety of different methods have been in use – tailored to different tasks and situations, to support participatory development. As a reference guide the following methods are discussed:

- Workshop based methods
- Community-based methods
- Methods for Stakeholder Consultation

- Methods for Social Analysis

Workshop based methods

Sometimes called 'action planning workshops', these are used to bring stakeholders together to design development projects. The purpose of such workshops is to begin and sustain stakeholder collaboration and foster a "learning by doing" atmosphere. A trained facilitator guides stakeholders, who have diverse knowledge and interests, through a series of activities to build consensus. Appreciation Influence Control (AIC), Objectives-Oriented Project Planning (OOPP), and Team Up are three such methods.

Appreciation-Influence-Control (AIC)

AIC is a workshop-based technique that encourages stakeholders to consider the social, political, and cultural factors along with technical and economic aspects that influence a given project or policy. AIC helps workshop participants identify a common purpose, encourages to recognize the range of stakeholders relevant to that purpose, and creates an enabling forum for stakeholders to pursue that purpose collaboratively. Activities focus on building appreciation through listening, influence through dialogue, and control through action.

Objectives-Oriented Project Planning (OOPP)

OOPP is a project planning technique that brings stakeholders to workshops to set priorities and plan for implementation and monitoring. The main output of OOPP workshops is a project-planning matrix. The purpose of OOPP is to undertake participatory, objectives-oriented planning that spans the life of project or policy work, while building stakeholder team commitment and capacity with a series of workshops.

Team-up

Team-up builds on OOPP but emphasizes team building. Team-UP uses a computer software package (PC/team-up) that guides stakeholders through team-oriented research, project design, planning, implementation, and evaluation. It enables teams to undertake participatory, objectives-oriented planning and action, while fostering a "learning-by-doing" atmosphere.

Strengths of workshop based methods

Encourages "social learning"

- Promotes ownership
- Produces a visual matrix of project plan
- Stakeholders establish rules of the game
- Stakeholders establish working relationships

Avoiding potential pitfalls

- Completed matrices should not be considered unchangeable.
- Workshops should be part of a plan that involves all stakeholders.
- Not all stakeholders are comfortable in workshop settings.

- Measures should be taken to give voice to less experienced public speakers.
- Choice of workshop location should be accessible to local stakeholders.

Community-based methods

In many projects, Task Managers and project staffs leave government centers and boardrooms to undertake participatory work with local communities. Task Managers work with trained facilitators to draw on local knowledge and begin collaborative decision-making. In such settings, local people are the experts, whereas outsiders are facilitators of the techniques and are there to learn. The techniques energize people, tap local knowledge, and lead to clear priorities or action plans. Two such techniques are participatory rural appraisal and SARAR (an acronym based on five attributes the approach seeks to build: self-esteem, associative strength, resourcefulness, action planning, and responsibility) use local materials and visual tools to bridge literacy, status, and cultural gaps.

Participatory rural appraisal (PRA)

PRA is a label given to a growing family of participatory approaches and methods that emphasize local knowledge and enable local people to do their own appraisal, analysis, and planning. PRA uses group animation and exercises to facilitate information sharing, analysis, and action among stakeholders. Although originally developed for use in rural areas, PRA has been employed successfully in a variety of settings. The use of PRA enables development practitioners, government officials, and local people to work together on context-appropriate programs.

SARAR

This participatory approach, geared specifically to the training of local trainers/facilitators, builds on local knowledge and strengthens local capacity to assess, prioritize, plan, create, organize, and evaluate. The five attributes promoted by SARAR are: self-esteem, associative strengths, resourcefulness, action planning, and responsibility. SARAR's purpose is to (a) provide a multisectoral, multilevel approach to team building through training, (b) encourage participants to learn from local experience rather than from external experts, and (c) empower people at the community and agency levels to initiate action.

Strengths of community-based methods

- Based on interactive, often visual tools that enable participation regardless of literacy level
- Demystifies research and planning processes by drawing on everyday experience
- Participants feel empowered by their participation and the sense that their contributions are valued.

Avoiding potential pitfalls

- PRA or training alone does not provide local communities with decision-making authority or input into project management. These features must be built into the project.

- These techniques generate positive energy, which will quickly subside if it is not channeled into actual tasks and programs.
- Trained facilitators are necessary to guide and synthesize these exercises.

Methods for stakeholder consultation

Beneficiary assessment (BA) and systematic client consultation (SCC) are techniques that focus on listening and consultation among a range of stakeholder groups. BA has been used throughout World Bank regions, in both projects and participatory poverty assessments (PPAs). SCC, which is used primarily by the Bank's Africa Region, is a set of related techniques intended to obtain client feedback and to make development interventions more responsive to demand. Both methods intend to serve clients better by making donors and service providers aware of client priorities, preferences, and feedback.

Beneficiary assessment (BA)

BA is a systematic investigation of the perceptions of beneficiaries and other stakeholders to ensure that their concerns are heard and incorporated into project and policy formulation. BA's general purposes are to (a) undertake systematic listening to "give voice" to poor and other hard-to-reach beneficiaries, thereby highlighting constraints to beneficiary participation and (b) obtain feedback on development interventions.

Systematic client consultation (SCC)

SCC refers to a group of methods used to improve communication, direct and indirect beneficiaries and stakeholders' projects, government agencies, and service providers so projects and policies are more demand-driven. SCC intends to (a) undertake systematic listening to clients' attitudes and preferences, (b) devise a process for continuous communication, and (c) act on the findings by incorporating client feedback into project design and procedures.

Strengths of stakeholder consultation methods

- Systematic listening and consultation requires lengthier, repeated, and more meaningful interactions among stakeholders.
- BA and SCC are field-based, requiring project or program managers or their representatives to travel to communities and to become more aware of the realities of the field.

Avoiding Potential Pitfalls

- Listening and consultation alone do not lead to increased capacity or facilitation of client participation in decision-making or action.
- The effectiveness of these techniques often rests with the ability of the managers and their representatives to "translate" client needs and demands into operationally meaningful terms and activities.

Methods for social analysis

Social factors and social impacts, including gender issues, should be a central part of all development planning and action, rather than "add-ons" that fit awkwardly with the universe of data to be considered. Social Assessment (SA) and Gender Analysis (GA) are methods that incorporate participation and social analysis into the project design process. These methods are also carried out in a region's economic and sector work to establish a broad framework for participation and identify priority areas for social analysis. Such methods evolved to meet the need to pay systematic attention to certain issues that traditionally had been overlooked by development planners.

Social assessment (SA)

SA is the systematic investigation of the social processes and factors that affect development impacts and results. Objectives of SA are to (a) identify key stakeholders and establish the appropriate framework for their participation, (b) ensure that project objectives and incentives for change are appropriate and acceptable to beneficiaries, (c) assess social impacts and risks, and (d) minimize or mitigate adverse impacts.

Gender analysis (GA)

GA focuses on understanding and documenting the differences in gender roles, activities, needs, and opportunities in a given context. GA involves the disaggregation of quantitative data by gender. It highlights the different roles and learned behavior of men and women based on gender attributes, which vary across culture, class, ethnicity, income, education, and time; thus, GA does not treat women as a homogenous group nor gender attributes as immutable.

Strengths of social analysis methods

- These methods provide a process for building information into plans and plans into action.
- Systematic social analysis identifies what communities think they need and sets up ways to communicate this back to implementing agencies.
- Flexible framework of GA and SA allows design to be consistent with project or policy components and goals.

Avoiding potential pitfalls

- Data collection and analysis must be focused on priority issues, rather than being general data collection exercises that are not necessarily tied to project or policy concerns.
- Involving experienced local consultants from a variety of disciplines builds in-country capacity for actionable social analysis.

Involving the poor

The poor are generally less educated and less organized than other more powerful stakeholders, because they are more difficult to reach. The institutions that serve

them are often weak interventions targeting the poor must often be small, context-specific, and resource-intensive.

Stakeholder workshops and other planning methods, such as Objectives-Oriented Project Planning (OOPP) and Appreciation-Influence-Control (AIC) tend to work well when the objective is to gain ownership and commitment on the part of stakeholders such as government officials. These examples also demonstrate that workshops can be structured to include the views of the poor, but requires conscious and careful planning. When the primary objective is to learn from and collaborate with the poor, a different kind of dynamic is involved that calls for a different approach to facilitating participation. These methods should engage poor people and build their confidence, knowledge base, and capability for action. Visual methods that are carried out in the local setting, using local materials and calling on local knowledge and expertise as inputs into project design are often used to good effect.

Getting the participation of the poor involves a lot more than finding the right technique. It requires strengthening the organizational and financial capacities of the poor so that they can act for themselves. In searching for ways to build local capacity, we found it useful to think in terms of a continuum along which the poor are progressively empowered. On one end of this continuum, the poor are viewed as beneficiaries - recipients of services, resources, and development interventions. In this context, community organizing, training, and one-way flows of resources through grant mechanisms are often appropriate. Although substantial work has been done in this mode, the provision of benefits delivered to people in this way may not be sustainable in the long term and may not improve the ability of people to act for themselves.

As the capacity of poor people is strengthened and their voices begin to be heard, they become “clients” who are capable of demanding and paying for goods and services from government and private sector agencies. Under these changed circumstances, the mechanisms to satisfy their needs will change as well. In this context, it becomes necessary to move away from welfare-oriented approaches and focus rather on such things as building sustainable, market-based financial systems; decentralizing authority and resources; and strengthening local institutions. We reach the far end of the continuum when these clients ultimately become the owners and managers of their assets and activities. This stage ranks highest in terms of the intensity of participation involved. A question that arises is, how can we support and prepare poor people to own and manage assets and activities in a sustainable manner? Researches have revealed that the more poor people are involved upstream in the planning and decision-making process, the more likely they are to own a development intervention, contribute to it, and sustain it; this alone, however, is not sufficient.

Constraints exist at the policy level that impinge on the rights of people to organize, access information, engage in contracts, own and manage assets, and participate fully as members of civil society. Efforts are needed, therefore, to create an enabling policy environment that allows all stakeholders—especially poor and disadvantaged ones to be enabled to influence and share control over development initiatives and the decisions and resources that affect them.

Checklist of steps in designing detailed project reports (DPRs) with community involvement

- Clarify and prioritize objectives. Link objectives to outputs.
- Identify the key stakeholders at the community and agency levels. Assess their capacity and interests.
- Assess (do not assume) demand, bearing in mind that demand is influenced by the confidence people have in the service provider.
- Establish eligibility criteria for community groups, so that communities can select themselves for projects, rather than projects selecting communities.
- Learn by doing, adjusting plans annually on the basis of experience.
- Invest in strengthening social organization to increase local participation in decision-making.
- Put in place mechanisms for participatory monitoring as part of the project including evaluation with feedback loops.

Innovative combination of techniques – an example of “Good Practice”

Though there may be broadly similar conditions in each state, each city is unique in terms of its geography, people and governing authority. So, it is not possible to point out any particular method that may be used. A substantial amount of innovativeness is therefore required by each city to decide upon a particular method or a certain combination of methods.

An example of an innovative combination of public involvement techniques is the "Deliberative Poll," developed by Professor James Fishkin. The process combines survey research, public deliberation, and civic journalism. First, a survey is conducted with a representative sample of citizens in the area that could be affected by the decision. The results show what the uninformed public thinks on the issue. Then, those who were interviewed in the random survey are invited to meet in one place for a few days to engage in dialogue. Past "Deliberative Polls" indicate that about one-third accept.

Delegates who accept the invitation to participate are mailed information about what will be discussed. They meet together for a few days of intensive examination of the issues. They learn about the issues from experts and advocates with different viewpoints opposing views, they ask questions, and they may request more information. They break into small groups for discussion.

At least some of the proceedings are broadcast on television and covered in the print media so virtually all citizens have the opportunity to observe. After the deliberations, the original survey is repeated among the delegates. Their opinions are not "top-of-mind" opinions anymore, but are based on days of deliberations about the issues. They are better informed. The results are made public and form the basis of information for making the decisions.

This method was used by Central Power and Light Company (CPL) in Corpus Christi, Texas, under the leadership of the company's president, Bruce Evans. CPL was the first private electricity company in the world to assemble a statistically representative group of citizens from their service area at one location to discuss a policy issue that in the past had always been decided by experts at the electricity company.

At least two factors contributed to their taking their decision-making public: first, Texas law requires that an electric utility wishing to build additional capacity must file an Integrated Resource Plan. A part of this plan is a requirement to involve the public in the decision-making.

The second factor is the deregulation of the electric utility industry. This is leading to dramatic changes, including mergers, staff cuts, and renewed attention to customer loyalty. CPL needed to supply an additional 200-400 megawatts of electric power to the Rio Grande Valley before the turn of the century. There were several ways to accomplish that goal, including increasing efficiency measures, buying the power (from another U.S. source or from Mexico) and transporting it across the electricity grid, building a new power plant (coal, natural gas), or building renewable energy facilities (solar, wind). Each option had advantages and disadvantages.

Two hundred and sixty-six representatives of South Texas met in Corpus Christi between May 31-June 2, 1996. While the outcome of this public deliberation was not binding on the electric utility, they made a commitment to implement the delegates' recommendations to the best of their ability.

All in all, Fishkin's method for deliberating appears to offer a way to bring single-issue elites to the table, face-to-face, in front of the most representative "citizen jury" currently devised. Fishkin's method is one way of bridging the gap between single-issue elites and the public, without ignoring expert opinion.

The key advantages of his eclectic method are that it involves and engages a representative group of citizens, it can be accomplished over a few days, and the cost is reasonable given the magnitude of the decisions. Such a combination of techniques of constructive public involvement may be useful for fostering sustainable energy systems, including a mix of traditional energy sources as well as new technologies.

Community mobilization for sanitation in Kenya

The village of Maina is an informal settlement within the boundaries of Nyahururu town in Kenya, where the Danish International Aid Agency executed a sewerage house connection project between 1988 and 1991. In the first year of the project, the residents constructed a trunk sewer and a few lateral sewers without any participation. The consequences were predictable: villagers did not understand the project motives and resisted collaborating with project teams when the plans indicated that the layout of some plots would be altered to make room for roads, storm drains, and toilet units. Villager apprehensions were based on a valid concern that engineering plans would result in large-scale alterations to existing houses and structures. A review mission by the Danish International Aid Agency in 1989 recommended that, before any further investments were made, the physical plan be revised with community participation. A site committee was formed, involving residents in the process of determining what the project components would be. Extension workers with government ministries and staff from a leading Kenyan NGO were selected as facilitators. The results were striking. Communities began mobilizing labor and materials for construction and also began participating in O&M of constructed facilities. By the time the project came to an end, the community groups with support from the NGO had charted a completely different course for the project and were able to engage the municipal council in a productive dialogue on where and when other infrastructural facilities such as roads, a police station, and a post office should be located within the village.

Conclusion: Suggested approaches in the context of future CDPs

What has been the practice so far?

The most common approach used in the CDPs appraised at NIUA was the stakeholder approach. The sectoral approach was used in case of Vijaywada, where ten working groups were formed for consultations and a separate consultative process was adopted for periphery municipalities. In case of Kohima, it was a combination of priority problem approach and sectoral approach.

In cities where CDS has already been in place, a certain amount of public consultations would already have been carried out. That means, in these cities the citizens are fairly aware about the concept of city development plans and strategies. In such cases, the priority problem approach may be suitable. If prioritizations of strategies have already been carried out, it may be followed up with a sectoral approach. This would be useful in case of big cities, especially those that are multi-municipal.

In cities where there is absence of any background exercise like CDS which involves a consultative process in its preparation, the present situations with respect to the problems have to be studied first by experts. After this is done, it may be followed by a stakeholder approach. This will be particularly useful in finding solutions for cross - sectoral and inter-jurisdictional problems.

What are the possibilities, given the constraints?

The first two groups of methods, i.e. workshop-based methods and community-based methods are suitable in the context of preparation of CDPs.

Among the workshop-based methods, AIC (appreciation-influence-control) is suitable in designing and implementation detailed project reports of particular sectors (e.g. sewerage or solid waste management) OOPP and Team-Up are suitable for the CDP process. In such cases, teams or working groups may be formed based on the interests of the stakeholders. The sub-groups that are formed may be further consulted when DPRs are prepared so that there is ownership among the people.

Among the community-based methods, PRA is suitable for involving the people in understanding the intricacies and ground realities and in dealing with area-specific problems (e.g. improving old city areas). To a certain extent, PRA has been used in the preparation of the CDP of Kohima. (E.g. in marking the sites of waste disposal, clogged drains, location of community taps in slums etc.)

Based on the feedback received from various sources and our understanding of the situation we realize the following issues need to be addressed:

- (a) The time taken to comprehensively carry out participatory exercises to formulate a CDP is not clearly stated anywhere. Most of the cities seem to be in a tearing hurry to catch the bandwagon to access funds from JNNURM. On an average, the CDPs have been prepared within a period of ten to twelve weeks. So, it has been a 'touch-and-go' exercise especially in situations where no CDS is in place. The time limit may be increased to at least 4 months or 16 weeks for each CDP.

(b) A technically or logically developed consultative process also requires resources, especially financial. In most cities there has been a tendency to cut down funds for this purpose.

Before proceeding further the it may be kept in mind that (1) it is not feasible to change the rules of the game altogether and (2) only some amount of calibrations and adjustments may be made to streamline the process

Thus, it may be concluded that workshop is a good method, transparent but time consuming. People need to be carefully oriented and same set of people should participate throughout, which is difficult to ensure. It needs substantial expenditure, political will, patience and perseverance.

Keeping the above-mentioned concerns in mind, the following method may be suggested which may be fine-tuned based on the individuality of a particular city.

The workshop method may be followed in 4 steps:

Step 1: Identify the stakeholders

This may be classified to include the following: - *Primary* (i.e. city residents), (b) *Secondary* (Service providers – ULB, water authorities, PWD etc and (c) *tertiary* (policy providers - politicians and bureaucrats).

Step 2: Conduct a stakeholders' workshop

Sensitize the political (secondary and tertiary) stakeholders – starting from the ministers, MPs, MLAs, municipal councilors and Govt. officers. Hold workshop no. 1 with them, describing JNNURM, admissibles and in-admissibles and focus on consultative process resulting in ULBs taking up ownership of the entire CDP. This can have its inherent strengths and weaknesses. The weaknesses include noisy deliberations, with the chairperson having a tough time controlling everyone and saying it is not a grievance workshop. But its strength lies in the fact that the elected representatives do give directive indications in intervention strategy. Whatever may be the process, but most cities agree that the city's problems are heard loud and clear.

Step 3: Conduct a second workshop – a visioning workshop

This may be an open house with a prudently prepared list of invitees – ordinary citizens, prominent citizens, slum dwellers, *bazaar samities*, hotel associations, industry associations, NGOs, university professors but no politicians. All concerned government departments should also be invited. The first half must be oriented in obtaining “visions and priorities of development” in writing in a crisp pre-designed format to ensure uniformity. It can be a 15 minutes-exam-hall-like atmosphere, followed by open house discussions. The group may be limited to a manageable 80 to 100 participants (not counting consultants). If the city is a mega-city or metro city there may be two or more of such groups. At the end a vision statement is prepared and read out (also presented on-screen), from which a general consensus should follow. After this exercise, volunteers may be invited.

Step 4: Working group workshop

A number of sub-groups may be formed. For example on each of the chosen sectors like, (1) Water & Sanitation, (2) Solid waste Management (3) Roads & Transportation, (4) Urban Poor (Read Slum), (5) Urban Planning & Land Management and (6) Governance & Finance (7) Environment. Each sub-group may have at least one technical expert working on the CDP, representative from relevant govt. department (executive engineers of the particular sector like water, roads, environment etc.), a finance expert, ULB representative, representative from the parastatal agency (wherever applicable), Community worker (CDS), informed representative from the general public (a volunteer from the previous workshop) and selected others as deemed fit based on the specific sectoral / city needs. In this workshop, the interventions would be discussed, projects identified, priorities chosen and a broad consensus on implementation reached.

Step 5: Final workshop

After the projects have been put together by the concerned body entrusted for preparing the CDP, the final version should be discussed once again with the stakeholders for a consensus. In such a case, consensus may be difficult to reach and chances are that more conflict may result. However, if this step is not taken up, the entire purpose of having an inclusive CDP will be defeated.

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