MODULE 4

CIVIC PARTICIPATION IN URBAN PLANNING AND MANAGEMENT

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FOR A BETTER URBAN FUTURE
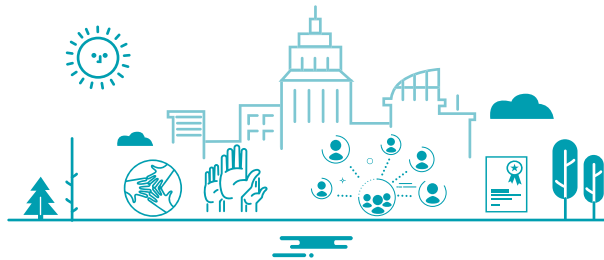
CIVIC PARTICIPATION

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TARGET 11.3: *By 2030, enhance inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management in all countries.*

Indicator 11.3.2: *Proportion of cities with a direct participation structure of civil society in urban planning and management that operate regularly and democratically.*

1. INTRODUCTION

1.1 Background

Public participation fosters a positive relationship between a government and the public by communicating effectively and solving conflicts in a cooperative manner. In many cases when urban planning decisions are made without consultation, the desired results are not achieved and there is a negative impact on society, which breeds unrest. Ensuring that wide varieties of opinions are considered helps the decision makers in better understanding the interlinkages and nature of problems facing the city.

Urban planning is a reflection of ideology and national institutions. Public participation means consensus is built and this greatly enhances political interaction between citizens and government and enhances the legitimacy of the planning process and the plan itself. A plan is more effective if a broad coalition supports it and works together to deliver it.

Public participation also shows respect to participants' opinion, boosts their enthusiasm for citizenship and politics, and strengthens their influence in urban planning and public life. When conflicting claims and views are considered, there is a much higher possibility that public trust and buy-in increases the outcome. This has broader implications for building an active civil society.

The development of sustainable human settlements calls for the active engagement of civil society organizations, as well as broad-based people's participation. Therefore, city governments should strive to:

a) Facilitate and protect people's participation and civic engagement through independent community based organizations (CBOs), non-governmental organizations (NGOs) that can be local, national, or international;
b) Promote civic and human rights education and training programmes to make city residents aware of their rights and the changing roles of women and men in the city;
c) Remove the barriers that block participation of socially marginalized groups and promote non-discrimination and the full and equal participation of women, youth and vulnerable and disadvantaged groups.

Top-down approaches give people little or no chance of involvement in decision-making in development matters and in addressing needs in their settlements, and further causes a lot of inefficiency. This indicator aims to measure the progress and willingness of city managers and planners to open opportunities for citizen participation at various levels of decision-making.

Local Authorities and Governments, along with the international community, have long recognized the value of residents' participation in strengthening the planning processes. This people-centred approach is used in planning and implementation of community projects and remains one of the key methodologies being developed to address priority development issues at citywide or at more local levels such as the civic ward.

In a survey carried out in Kenya to measure public participation in urban planning and management, it was found that most Kenyans don't participate in county affairs (the County governments in Kenya are the local authorities).

For the ones who did, the overall opinion was that they were not satisfied with the extent of public participation in the operations of county governments.
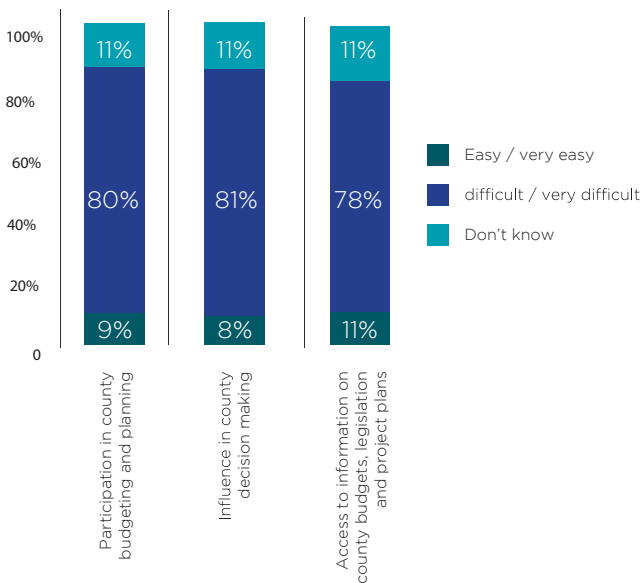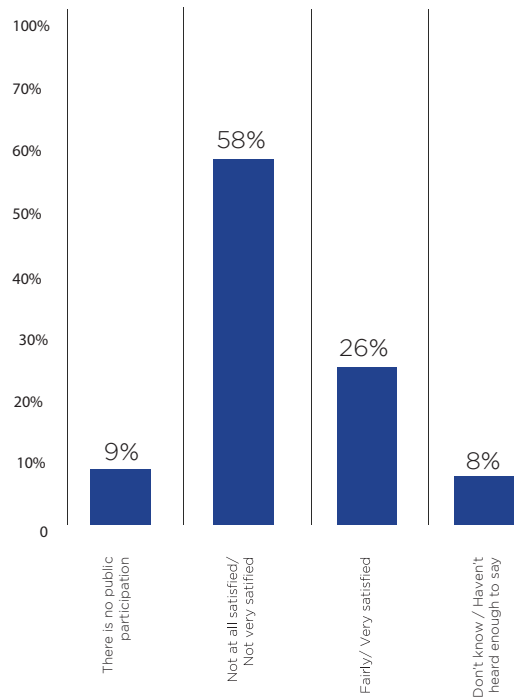
Figure 1: Kenyans not participating in county affairs

Legend:
- Easy / very easy
- difficult / very difficult
- Don't know

Respondents were asked:

Thinking about public participation as enshrined in the new constitution, how easy or difficult would you say it is: To participate in county budgeting and planning? To influence county decision making? To access information on county budgets, legislation, and project plans

Figure 2: Dissatisfactation with partcipation in county activities

Respondents were asked:

Overall, how satisfied are you with the extent of public participation in the operations of your county governemt?

2. MONITORING PROCESS

In general, monitoring promotes higher accountability, better performance assessment and strong coordination between central governments and the regional and local governments. It enables cities to collect accurate, timely, disaggregated data and information, adopting a systemic approach to the city, with clear policy implications that are based on evidence. This way, countries and cities can make appropriate decisions on the best actions to adopt, whilst systematically documenting their performance at the outcome and impact levels.

The purpose of monitoring progress against the SDG 11 Target 11.3 (Indicator 11.3.2) is to provide necessary and timely information to decision makers and stakeholders in order to make informed decision to accelerate progress towards enhancing inclusive and sustainable urbanization and capacity for participatory, integrated and sustainable human settlement planning and management. Regular monitoring and reporting will be done in intervals of 3-5 years.

DATA COLLECTION

Scorecards from different evaluators: i.e. Academia, Urban Planning Experts, City Leaders and officials from Local Government Authorities will be used as data sources

CAPACITY DEVELOPMENT

UN-Habitat will lead the global responsibility of capacity building of National governments and statistical agencies for reporting purposes.

National governments / national statistics agencies have the primary responsibility of reporting at national level with the support of UN-Habitat to densure uniform standards in analysis and reporting

DATA RELEASE

Regular monitoring and reporting will be done every 3-5 years.

2.1 Concepts and Definitions

Structures: Any formal body or platform that allows for participation of civil society. This can include, but is not limited to: national or local legislation, policy, town council meetings, council committees, websites, elections, suggestion boxes, appeals processes, notice period for planning proposals, online surveys, mediation processes, etc.

Civil Society: The combination of non-governmental organizations, community groups, community-based organizations, regional representative groups, unions, research institutes, think tanks, professional bodies, non-profit sports and cultural groups, and any other groups that represent the interests and will of their members and wider community.

Democratic participation: Structures allow and encourage participation of civil society representing a cross-section of society that allows for equal representation of all members of the community.

Direct participation: Structures allow and encourage civil society accessing and actively engaging in decision-making at every stage of the urban planning and management process. Engagement must be with key decision-makers or staff, not third parties or other stakeholders.

Regular participation: Structures allow and encourage civil society participation at every stage of the urban planning and management process, and at least every six to nine months.

Marginalized groups: Groups of people that are not traditionally given equal voice in governance processes. These include, but are not limited to, women, young men and women, children, low-income communities, ethnic minorities, religious minorities, people with disabilities, the elderly, sexual and gender identity minorities and migrants.

Urban Management: The officials, including elected officials and public/civil servants, that are responsible for city-management, across all sectors, such as roads, water, sanitation, energy, public space, land management, urban planning, etc.

Urban Budget decision making: The process by which funds are allocated to various sectors of urban management, including planning, roads, roads, water, sanitation, energy, public space, land title, recreation, etc.

Urban Planning, including Design and Agreements: The technical and political process that concerns the development and use of land, how the natural environment is used, etc. Design includes over-arching and specific design of public space, as well as zoning and land use definitions. Agreements refer to specific contract/arrangements made with various groups concerning their land, e.g. indigenous groups, protected natural environments, etc.

3. HOW TO COMPUTE THE INDICATOR?

DATA SOURCES

To measure participatory planning, a scorecard approach representing the level of public participation in in urban planning and management process is administered to experts from the government, private sector and academia.

Compilation at the National Statistical Office(NSO): As data is collected from different countries, the NSO will do the compilation and analysis.

Capacity Development: UN-Habitat will assist in the training of NSOs on the data collection and analysis methods.

METHOD OF COMPUTATION

A questionnaire with 4-point Likert scale (Strongly Disagree, Disagree, Agree, and Strongly Agree) will be used to measure and test the level of participation in urban governance and management using the following criteria:

- Existence of structures for civil society participation in urban planning, including design and agreements, that are direct, regular and democratic;
- Existence of structures for civil society participation in local urban budget decision-making, that are direct, regular and democratic;

- Existence of structures for civil society evaluation and feedback on the performance of urban management, that are direct, regular and democratic. Whether these structures are direct, democratic, regular and inclusive.
- Do these structures promote the participation of women, young men and women, and/or other marginalized groups?
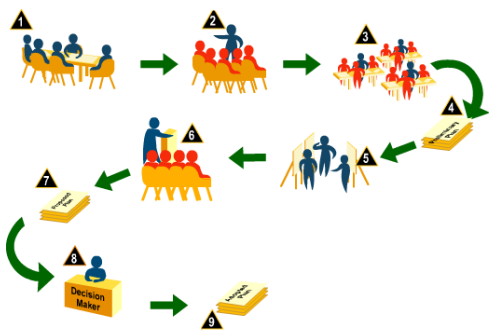

Figure 3: Public Participation in the Community Planning Process

To note, the selection of cities in which the evaluation will be conducted may be determined using the National Sample of Cities approach. The approach will help draw a sample of cities using sound statistical and scientific methodologies based on several relevant city-specific criteria/ characteristics that capture the specific contexts of countries, ensuring that the sample is representative of a given country's territory, geography, size, history, etc.

For each city, the evaluators will score each of the questions on the Likert scale as follows:

	Strongly Disagree 1	Disagree 2	Agree 3	Strongly Agree 4
Urban planning				
1. a) Are there structures for civil society participation in urban planning, including design and agreements, that are direct?				
1. b) Are there structures for civil society participation in urban planning, including design and agreements, that are regular?				
1. c) Are there structures for civil society participation in urban planning, including design and agreements that are democratic?				
Urban budget decision making				
2. a) Are there structures for civil society participation in urban budget decision making, that are direct?				
2. b) Are there structures for civil society participation in urban budget decision making, that are regular?				
2. c) Are there structures for civil society participation in urban budget decision making, that are democratic?				
Evaluation and feedback on the performance of urban management				
3. a) Are there structures for civil society evaluation and feedback on the performance of urban management, that are direct?				
3. b) Are there structures for civil society evaluation and feedback on the performance of urban management, that are regular?				

	Strongly Disagree 1	Disagree 2	Agree 3	Strongly Agree 4
3. c) Are there structures for civil society evaluation and feedback on the performance of urban management that are democratic?				
Participation of marginalized groups				
4. a) Do the structures allow and promote the participation of a diverse group of women?				
4. b) Do the structures allow and promote the participation of young men and women, aged between 15 and 24?				
4. c) Do the structures allow and promote the participation of elderly men and women?				
4. d) Do the structures allow and promote the participation of groups of low income women and men?				
4. e) Do the structures allow and promote the participation of women and men with disabilities?				
4. f) Do the structures allow and promote the participation of children under 15 years of age?				
4. g) Do the structures allow and promote the participation of other marginalized groups? Including but not limited to: ethnic, religious, racial, sexual and gender identity minorities.				

Once each of the 4 categories is evaluated as shown in the table above, the following averaged value gives a final value of the indicator based on independent scores from evaluators.

Question 1: **Urban Planning**

	Evaluator (1)	Evaluator (2)	Evaluator (3)	Evaluator (4)	Evaluator (5)	Average respondent score
1. a) Are there structures for civil society participation in urban planning, including design and agreements, that are direct?	X_1	X_2	X_3	X_4	X_5	$Q_{X1} = (X_1 + ... + X_5)/5$
1. b) Are there structures for civil society participation in urban planning, including design and agreements, that are regular?	Y_1	Y_2	Y_3	Y_4	Y_5	$Q_{Y1} = (Y_1 + ... + Y_5)/5$
1. c) Are there structures for civil society participation in urban planning, including design and agreements that are democratic?	Z_1	Z_2	Z_3	Z_4	$Z5$	$Q_{Z1} = (Z_1 + ... + Z_5)/5$

For Question 1, the final value of the assessment is calculated as:

$$B1 = (Q_{X1} + Q_{Y1} + Q_{Z1})/3$$

Question 2: **Urban budget decision making**

	Evaluator (1)	Evaluator (2)	Evaluator (3)	Evaluator (4)	Evaluator (5)	Average respondent score
2. a) Are there structures for civil society participation in urban budget decision making, that are direct?	X_1	X_2	X_3	X_4	X_5	$Q_{X2} = (X1 + ... + X5)/5$
2. b) Are there structures for civil society participation in urban budget decision making, that are regular?	Y_1	Y_2	Y_3	$Y4$	Y_5	$Q_{Y2} = (Y1 + ... + Y5)/5$
2. c) Are there structures for civil society participation in urban budget decision making, that are democratic?	Z_1	Z_2	Z_3	Z_4	Z_5	$Q_{Z2} = (Z1 + ... + Z5)/5$

For Question 2, the final value of the assessment is calculated as:

$B2=(Q_{X2}+Q_{Y2}+Q_{Z2})/3.$

Question 3: **Evaluation and feedback on the performance of urban management**

	Evaluator (1)	Evaluator (2)	Evaluator (3)	Evaluator (4)	Evaluator (5)	Average respondent score
3. a) Are there structures for civil society evaluation and feedback on the performance of urban management, that are direct?	X_1	X_2	X_3	X_4	X_5	$Q_{X3}=(X1+...+X5)/5$
3. b) Are there structures for civil society evaluation and feedback on the performance of urban management, that are regular?	Y_1	Y_2	Y_3	Y_4	Y_5	$Q_{Y3}=(Y1+...+Y5)/5$
3. c) Are there structures for civil society evaluation and feedback on the performance of urban management, that are democratic?	Z_1	Z_2	Z_3	Z_4	Z_5	$Q_{Z3}=(Z1+...+Z5)/5$

For Question 3, the final value of the assessment is calculated as:

$B3=(Q_{X3}+Q_{Y3}+Q_{Z3})/3$

Question 4: **Participation of marginalized groups**

	Evaluator (1)	Evaluator (2)	Evaluator (3)	Evaluator (4)	Evaluator (5)	Average respondent score
4. a) Do the structures allow and promote the participation of a diverse group of women?	X_1	X_2	X_3	X4	X5	$Q_{X4}=(X1+...+X5)/5$
4. b) Do the structures allow and promote the participation of young men and women, aged between 15 and 24?	Y_1	Y_2	Y_3	Y_4	Y_5	$Q_{Y4}=(Y1+...+Y5)/5$

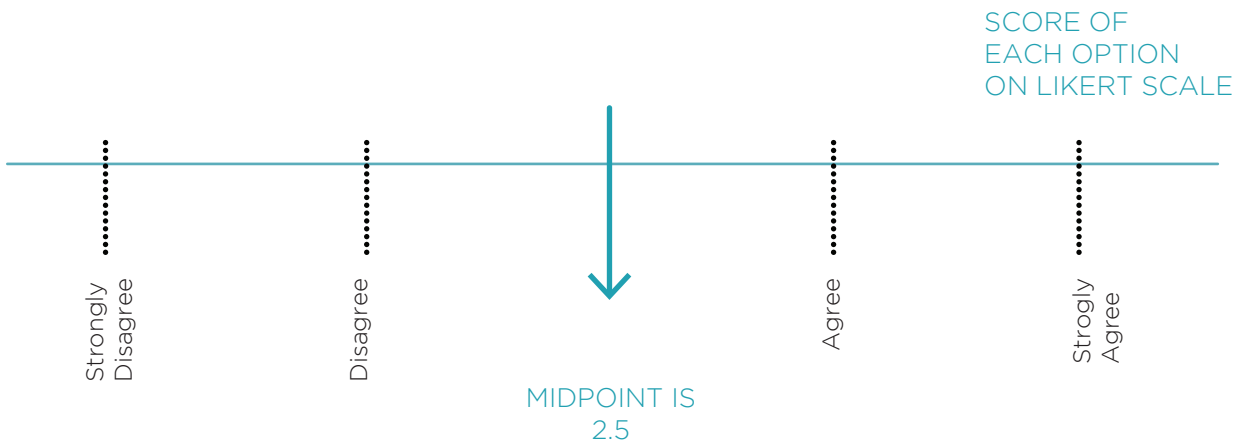|	Evaluator (1)	Evaluator (2)	Evaluator (3)	Evaluator (4)	Evaluator (5)	Average respondent score
4. c) Do the structures allow and promote the participation of elderly men and women?	Z_1	Z_2	Z_3	Z_4	Z_5	$Q_{Z2}=(Z1+...+Z5)/5$
4. d) Do the structures allow and promote the participation of groups of low income women and men?	U_1	U_2	U_3	U_4	U_5	$Q_{U4} = (U1+...+ U5)/5$
4. e) Do the structures allow and promote the participation of women and men with disabilities?	V_1	V_2	V_3	V_4	V_5	$Q_{V4}= (V1+...+V5)/5$
4. f) Do the structures allow and promote the participation of children under 15 years of age?	W_1	W_2	W_3	W_4	W_5	$Q_{W4}=(W1+...+W5)/5$
4. g) Do the structures allow and promote the participation of other marginalized groups? Including but not limited to: ethnic, religious, racial, sexual and gender identity minorities.	T_1	T_2	T_3	T_4	T_5	$Q_{T4} = (T1+...+ T5)/5$

For Question 4, the final value of the assessment is calculated as:

$$B4=(Q_{X4}+ Q_{Y4}+ Q_{Z4}+ Q_{U4} + Q_{V4} + Q_{W4} + Q_{T4})/7,$$

Once the values for B(i) are calculated for the 5 questions, the overall final value of the assessment is derived as follows:

$$B =(B1 + B2 + B3 + B4)/4$$

To determine the proportion of cities with a direct participation structure of civil society in urban planning and management that operates regularly and democratically, a midpoint on the Likert scale of 2.5 will be used. The value of the indicator is the proportion of cities with overall score that is greater than the mid-point.

SCORE OF EACH OPTION ON LIKERT SCALE

Strongly Disagree

Disagree

MIDPOINT IS 2.5

Agree

Strogly Agree

As a result, if we have N cities selected for the evaluation in a given country, and n is the number of cities with scores that are higher than the mid-point, the value of the indicator will be calculated as:

Value of Indicator=n/N

Where;

n= Number of cities with scores higher than the mid-point

N= Total number of cities selected for the evaluation in the country

Example of Computation and Interpretation

Let us consider a country X with 3 cities (A, B and C) selected for the evaluation.

For Question 1, the scores are calculated for Cities A, B and C as below:

	Evaluator (1)	Evaluator (2)	Evaluator (3)	Evaluator (4)	Evaluator (5)	Average respondent score
1. a) Are there structures for civil society participation in urban planning, including design and agreements, that are direct?	3	2	3	2	2	**12/5=2.4**

	Evaluator (1)	Evaluator (2)	Evaluator (3)	Evaluator (4)	Evaluator (5)	Average respondent score
1. b) Are there structures for civil society participation in urban planning, including design and agreements, that are regular?	1	3	2	2	2	**10/5=2**
1. c) Are there structures for civil society participation in urban planning, including design and agreements that are democratic?	3	2	3	2	1	**11/5=2.2**

The value of the assessment is

$$B1= (Q_{X1} + Q_{Y1} + Q_{Z1})/3$$
$$B1= (2.4 + 2 + 2.2)/3$$
$$B1= 6.6/3$$
$$B1= 2.2$$

The above table computation is applied to obtain final scores for Questions 2 to 4 for each city; and using the formula below, the final overall score is derived for each city:

B =(B1 + B2 + B3 + B4)/4

The table below shows the final scores for all the questions (1 to 4) and final overall scores for each city in Country X.

Questions	City A	City B	City C
B1	2.2	3.5	4
B2	3	4	2
B3	2	3	2.5
B4	1.5	2	3.5
Overall Score	**2.2**	**3.1**	**3.0**

In this example, only two out of the three cities are above the midpoint (2.5) i.e. City B and City C. Therefore, the proportion of cities in Country X with a direct participation structure of civil society in urban planning and management that operates regularly and democratically is derived as follows:

2/3=0.67 or 67%

In conclusion, 67% of cities in country X have a direct participation structure of civil society in urban planning and management that operates regularly and democratically

GENERAL LIMITATIONS

i.   The indicator measures the level of participation based on the perception of informed representatives from cities and might not be comparable across all cities. Cultural expectations, biases or lack of information may influence perceptions by these informed representatives.

ii. The wording of the indicator is also a challenge as some of the concepts such as 'regularly' and 'democratically' is open to subjective definition. There is a need to have a concrete definition of the indicator to avoid ambiguity.

iii. Different countries have different perceptions of civil society participation in urban planning and management. This leads to lack of uniformity globally in the data collection and process.

iv. Citizens are not normally involved in the process of urban planning and management and thus their inclusion is not guaranteed in the entire process.

v.   The level and diversity of cooperation in city planning/budgeting and procurements is too broad hence should be broken down to specific components or be changed.

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FREQUENTLY ASKED QUESTIONS

1. **What are the benefits of the Participatory Budget (PB) for the city and its citizens?**

    Answer: Most scholars and participants of PB agree that one of their most important benefits is the deepening of the exercise of democracy, through the dialogue of public authorities with their citizenry. Another benefit is that PBs make the state accountable to its citizens and contribute to the modernization of public management. PB also improves the buy-in of city residents, which improves use and maintenance of public areas and infrastructure.

2. **What are the benefits of direct participation?**

    Answer: Public involvement is means to ensure that citizens have a direct voice in public decisions, which improves the outcomes of urban planning for the residents, and improves efficient use of funds for governments.

3. **What is the role of civil society in urban development?**

    Answer: Civil society's commitment and involvement in urban development projects is a prerequisite to their success. Recognize the leading role of national governments, as appropriate, in the definition and implementation of inclusive and effective urban policies and legislation for sustainable urban development, and the equally important contributions of subnational and local governments, as well as civil society and other relevant stakeholders, in a transparent and accountable manner.

    Effective participation and collaboration should be encouraged among all relevant stakeholders, including civil society, women, organizations representing youth, as well as those representing persons with disabilities in order to identify opportunities for urban economic development, identify, and address existing and emerging challenges.

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