Strategic Urban Development Planning in Lake Victoria Region: Lessons of Experience
Contents

Preface ................................................................................................................................. 1

1.0 INTRODUCTION ......................................................................................................... 3

1.1 Preamble ....................................................................................................................... 3

1.2 Background to Strategic Urban Development Planning in Lake Victoria Region .... 4

1.2.1 Urban Challenges in Developing Countries .................................................................. 4

1.2.2 Urbanization Challenges in Lake Victoria Region ....................................................... 6

1.3 Rationale for the Urban Planning initiative in the Lake Victoria Region .......... 7

1.3.1 Strategic Importance of the Region ............................................................................. 7

1.3.2 Conceptual Weaknesses ......................................................................................... 8

1.3.3 Need for effective Urban Planning in Lake Victoria Region ..................................... 11

1.3.4 Lessons of Experience from UN-HABITAT's fact finding mission on urban planning needs in the Lake Victoria Region .................................................................................. 11

1.3.5 Capacity Constraints to prepare and implement Urban Plans .................................. 12

1.3.6 Poor Governance ..................................................................................................... 12

1.4 Development Interventions in the Lake Victoria Region ........................................ 12

1.4.1 The Lake Victoria Water and Sanitation Initiative (LVWATSAN) ............................... 13

1.4.2 The City Development Strategies (CDS) Initiative .................................................. 15

1.4.3 The Sustainable Urban Mobility Initiative ............................................................... 15

1.4.4 Cities without Slums Initiative .................................................................................. 16

1.4.5 The Regional Urban Sector Profile Initiative ............................................................ 16

1.4.6 The Lake Victoria Local Economic Development Initiative (LV-LED) ..................... 17

1.4.7 Pilot Banana Drinks Preservation and Packing Facilities Initiative ......................... 17

1.4.8 Development of Toolkits and Training Initiative ..................................................... 18

1.4.9 Jinja Municipality Housing Programme Initiative ................................................... 19

1.6 Organization of the Publication ................................................................................. 19

2.0 PLANNING CONTEXT/CONCEPTUAL FRAMEWORK ....................................... 21

2.1 Introduction ............................................................................................................... 21

2.2 Concept of Sustainable Development ...................................................................... 21
2.2 Global Human settlement Goals ................................................................. 23
2.3 Millennium Development Goals ............................................................... 25
2.4 National Development Goals and Policies .................................................. 25
2.5 Regional/Local Aspirations and Development Challenges ............................. 25
2.6 Limitations of Traditional Approaches to Urban Planning ............................. 25
2.7 A new Urban Planning Paradigm ................................................................. 26

3.0 THE PROCESS OF STRATEGIC URBAN DEVELOPMENT PLANNING ............ 28

3.1 Planning Approach ....................................................................................... 28
3.1 Participatory Attitudes .................................................................................. 28
3.2 Principles .................................................................................................... 30
3.3 The Phases of the Urban Development Planning Process ............................. 32
3.3.1 Development of Base, Thematic and Issues Maps of the Existing Situation ..... 33
3.3.2 Development of Town Profiles ................................................................. 33
3.3.3 Consultation Workshops to Develop Shared Vision ................................. 45
3.4 Development of Plan Proposals .................................................................. 58
3.5 Approval of the Plans .................................................................................. 58
3.6 Monitoring and Review ................................................................................ 58

4.0 LESSONS OF EXPERIENCE ....................................................................... 59

4.1 Introduction ................................................................................................. 59
4.2 Institutional Framework ............................................................................... 59
4.3 Organizational Capacities .......................................................................... 59
4.4 Citizen experience in Participatory Planning .............................................. 60
4.5 Participation and Transparency .................................................................. 60
4.6 Garnering and sustaining political good will .............................................. 61
4.7 Profiling ..................................................................................................... 61
4.8 Planning Data ........................................................................................................................................... 62
4.9 Consultative Workshops ......................................................................................................................... 63
4.10 Conclusion ............................................................................................................................................... 64
Select References .......................................................................................................................................... 65
Strategic Urban Development Planning in Lake Victoria Region: Lessons of Experience

Preface


Spatial planning in both urban and rural areas is a key instrument for working towards sustainable development at the local level. More specifically, urban planning is a potent tool both for reducing the overall impact of settlements on the regional environment and for improving conditions within settlements.

Strategic Urban Development Planning in Lake Victoria which is an initiative of the UN-HABITAT should be seen against the background of the need to provide a basis for coordinating and targeting development efforts and interventions by the various local and international agencies that have running programmes in the said towns and Lake Victoria Region in general. Experience has shown that lack of spatial frameworks in the form of up-to-date urban development plans clearly indicating recommended land use, land ownership, land tenure, and the planned urban expansion for the towns in which interventions are taking place, can lead to unsustainable location of facilities and services. This in itself not only diminishes the impact of the interventions but also results in wasteful application of resources.
The UN-HABITAT approach in the production of Urban Plans for secondary towns in the Lake Victoria region is to use participatory processes at all levels so as to promote ownership of the plans by their key stakeholders, and build capacities of the respective national and local institutions responsible for the preparation and implementation of such plans. The approach is also seen to contribute to pro-poor governance in the delivery of essential basic services at the local authorities’ level, and to attract investment.

This UN-HABITAT approach on urban planning builds on many years of UN-HABITAT experience with the sustainable cities programme (SCP) using the environmental planning and management (EPM) as a tool for more effective urban planning. The approach also draws from more recent UN-HABITAT experience with City Development Strategies (CDS).

Cities need to be more consciously planned if they are to address sustainability appropriately. Urban planning practices also need to be changed to reflect a new awareness and to integrate environmental, health, economic and social concerns of the 21st century.

Lessons of experience in Strategic Urban Development Planning in the Lake Victoria Region should form a reference frame for planning actions to be carried out in similar environments. Finally, urban development is a very dynamic aspect of societal change. It is therefore vital that the Strategic Urban Development Planning process be equally responsive through frequent review and improvement.

Secretary General

UN-HABITAT
1.0 INTRODUCTION

1.1 Preamble

This publication documents experiences in strategic Urban Development planning in the Lake Victoria Region. The experiences were based on six towns; namely Bukoba, Masaka, Kyotera, Kisii, Homa Bay and Kagabiro. The documentation of these experiences will permit for lessons to be drawn to inform future planning interventions. It will also provide a reference frame for planning actions to be carried out in similar environments. Further, it will form a basis for decision-making in development initiatives and interventions in the Lake Victoria Region.

Urban planning (the process by which the use of land in cities is regulated in the public interest) has a critical role to play in improving people’s wellbeing and the quality of life. International conferences on sustainable development have highlighted this message, from the United Nations Conference on Environment and Development in Rio de Janeiro in 1992 to the United Nations Conference on Human Settlements (Habitat II, the City Summit) in Istanbul in 1996.

Spatial planning in both urban and rural areas is a key instrument for working towards sustainable development at the local level. More specifically, urban planning is a potent tool both for reducing the overall impact of settlements on the regional environment and for improving conditions within settlements.

Strategic Urban Development Planning in Lake Victoria which is an initiative of the UN-HABITAT should be seen against the background of the need to provide a basis for coordinating and targeting development efforts and interventions by the various local and international agencies that have running programmes in the said towns and Lake Victoria Region in general. Experience has shown that lack of spatial frameworks in the form of up-to-date urban development plans clearly indicating recommended land use, land ownership, land tenure, and the planned urban expansion for the towns in which interventions are taking place, can lead to unsustainable location of facilities and
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1.2 Background to Strategic Urban Development Planning in Lake Victoria Region

1.2.1 Urban Challenges in Developing Countries
Most countries have urbanized significantly since the 1950s and are projected to continue this process through the middle of the 21st century – the percentage of the world’s population living in urban areas has, in fact, just passed the 50 per cent mark. In developing countries, this increasing share of total population living in cities is similar to the historic patterns of Europe and North America, with increasing urbanization accompanying rising levels of GDP. The key differences lie in the faster pace of urban growth in developing countries in this period and the higher absolute levels of urban population. The latter is reflected both in the concentration of people living in mega-
cities (urban agglomerations over 10 million residents) and the increasing numbers of medium-sized cities up to three million.

A 2005 estimate, which took into account the existing global slum population (which is a rough indicator of global shelter need) and the projected two billion or so additional urban population, placed the number of people in need of housing, basic infrastructure and urban services by 2030 at 2.825 billion. Close to three billion people, or about 40 per cent of the world’s population will need new housing as well as basic urban infrastructure and services by 2030.

The ability of cities to respond to these demands with adequate financial investment will be constrained by the fact that the changes described above will take place within the overall context of increasing urban poverty in many developing countries. While there are no specific global estimates of urban poverty at this stage, it is generally clear that the locus of poverty is rapidly shifting from rural to urban areas, a process that is now characterized as the ‘urbanization of poverty’. The absolute numbers of poor and undernourished in urban areas are increasing, as is the share of urban areas in overall poverty. Some of the major urban challenges in developing countries include:

- how to address the urbanization of poverty and increasing inequality
- how to deliver urban land at scale in order to meet increasing demand for housing (especially in Africa and Asia), linked to networks of public infrastructure and recognizing the need to mitigate the impacts of and adapt to climate change;
- how to address the phenomenon of urban informality, in terms of land delivery, housing and livelihoods;
- how to address rapid and chaotic peri-urbanization and the emerging phenomenon of extended urban corridors;
- how to meet the needs of the youth, who constitute the majority of the urban population; and
- How to address the shortage of skills in the human settlements or built environment sector.
1.2.2 Urbanization Challenges in Lake Victoria Region

Like so many urban centres in Africa, the Lake Victoria towns reveal all of the worst features of unplanned and haphazard development as a result of the absence of effective urban planning systems.

Urbanization is placing an enormous burden on most secondary towns in the Lake Victoria Region, which will become even more onerous as we move towards the MDG target year of 2015. Urban areas are growing at rates of four to five percent annually. These rates are projected to increase the urban population of the Region by 50 per cent by the year 2015. The vast majority of the new urban citizens are the poor, newly arrived rural migrants. They pay higher prices for their water, use unsafe water, as well as endure unsanitary conditions.

Although urbanization drives economic growth, it brings with it serious challenges. Without policy, physical planning and institutional reform, there is a real risk of urban services becoming unsustainable, leading to environmental degradation and serious health problems. These outcomes ultimately undermine the competitiveness of towns and cities, making them less livable.

In response to this scenario, UN-HABITAT is assisting the towns in preparing urban plans to guide their future development and to facilitate the design of the infrastructure works being carried out. In this regard, urban plans have already been completed for five of the seven pilot towns through a participatory process linked to training and capacity building. These plans are to be coupled with priority Action Plans and Investment Plans, thereby linking them with budgeting processes of the respective local authorities and of relevant central government ministries.
Phase (I) of the urban planning initiative in the Lake Victoria region is being carried out in Homa Bay and Kisii in Kenya, Masaka and Kyotera in Uganda, and Bukoba and Muleba in Tanzania and the border town of Mutukula.

1.3 Rationale for the Urban Planning initiative in the Lake Victoria Region

1.3.1 Strategic Importance of the Region

Lake Victoria is the second largest fresh water lake in the world with over 200 fish species. It is a source of livelihood and development for an estimated 35 million people who live in rural and urban settlements within its catchment area. In recognition of this fact and to support this population in their efforts to achieve the Millennium Development Goals (MDGs), the United Nations Human Settlements Programme (UN-HABITAT), other agencies, regional bodies, and national governments of the riparian countries of Lake Victoria are supporting various initiatives in the Lake Victoria region in a bid to promote environmental sustainability and reduce poverty. Most of these initiatives are focused on the urban centres around Lake Victoria which have been experiencing rapid urbanization rates of 3-7 percent per annum eventually exacerbating the problems of environmental pollution, poverty, poor governance, and lack of access to basic services amongst others, all of which impact negatively on the ecological conditions of Lake Victoria.

UN-HABITAT on its part is involved in a number of initiatives whose physical development components are mostly not guided by physical development plans in the towns. These initiatives include: The Lake Victoria Water and Sanitation initiative (LVWATSAN), The City Development Strategies (CDS) Initiative, The Sustainable Urban Mobility Initiative, Cities without Slums Initiative, The Regional Urban Sector Profile Initiative, The Lake Victoria Local Economic Development Initiative (LV-LED), Pilot Banana Drinks Preservation and Packing Facilities
Initiative, Development of Toolkits and Training Initiative and Jinja Municipality Housing Programme Initiative.

It is worth-noting that many of the interventions taking place in the Lake Victoria region are spatially-oriented. However due to lack of spatial frameworks in the form of up-to-date urban development plans, the results have been the unsustainable location of facilities and services. For instance some towns have had no urban plans at all, while others have plans which are out-of-date, stifled capacity to prepare and implement plans, conceptual weaknesses on how plans are conceived and implemented and the question of good governance.

In response to the above scenario, the UN-HABITAT acknowledged the need to produce city profiles and agreed future visions for the town of Kisii in Kenya as the first step in the preparation of Strategic Urban Development Plans for the town.

1.3.2 Conceptual Weaknesses

The urban planning paradigm in Uganda, Kenya, and to some extent Tanzania has followed the master plan/structure plan approach which provides for a two-tier system of land use plans. Master plans or structure plans are long term plans intended to provide long range development guidelines. They have to take into account broad policy issues and the economic development of the urban area. Local plans are short term plans prepared within the framework provided by the master plans or structure plans. They are more detailed and they provide a basis for exercising development control.

Master plans and structure plans as well as the more detailed local plans are notoriously inflexible to unforeseen changes at the plan generation stage, and they are not intended to seek the participation and ownership of key stakeholders including the private sector in the implementation process. Although master plans and structure plans are expected to provide a framework for the development of the town/city, their strong influence by
engineering and architectural disciplines, has made them too technical to adequately address environmental, social and community issues. More importantly, the plans are not related to resource allocation in the annual budgets of the respective urban councils and the ministries responsible for urban development.

This lack of combining planning with budgeting process has led to ineffective planning as evidenced by widening gap between planning and implementation. The Masaka Interim Structure Plan for example, which has now expired, has largely been abused in its implementation because it was not based on a shared vision for the development of the town by its key stakeholders. As such it remained a statement of intent and purposes without real commitments to its implementation. In the towns of Kisii, Homa Bay, and Mumias in Kenya, the highly technocratic and rigid urban planning process has made plans difficult to implement. Furthermore, because on their non-participatory nature, urban planning has only been done on public land leaving big chunks of land in the town which is private land, unplanned. Their respective landowners are consciously subdividing these private lands for informal settlements.

Tanzania has applied the Environmental Planning and Management (EPM) approach in a number of towns after it proved to be successful in Dar es Salaam the pioneer city, in making urban planning more effective. But this approach has neither been applied in Bukoba nor Muleba, the towns visited. In fact Bukoba does not have a long term plan. What has been in place is disjointed instrumentalism, where development has been guided by incremental layout plans. These incremental layout plans and the subsequent cadastral surveys have not been able to keep pace with the demand for surveyed plots and this has led to a mushrooming of unplanned settlements in various parts of the town. Furthermore, this has led to uncoordinated development, with conflicting land uses next to one another, and areas prone to flooding have also been inhabited. The beach area around the Lake has not been spared either as it has been encroached with various activities.
In Muleba, where an Interim Land Use Plan was finalized in 2006, the plan has not been linked to resource allocation of the District Council in its annual budgets. Although the plan was prepared with the participation of the town’s stakeholders, it has followed the master plan/structure plan approach and its ability to provide guidance in the management of environmental, social, and economic issues is very much limited. A clear shared vision for the town coupled with policies, strategies, and Action plans on how to deliver that vision is what would have been required. In other words, a strategic Urban Development Plan for the town, with a clear spatial (land use) component.

Traditional Master Plans are basically land use proposals and have been criticized because of their long term horizon; their emphasis on product rather than process; their strong physical component with emphasis on regulation of land use and spatial zoning; the lack of interaction with users; and their non-strategic quality.

The process of preparing Master plans is time consuming, costly and extremely rigid, with plans becoming outdated even before they are implemented. Besides, master plans assume a relatively slow pace of urban growth, which is not the case in many developing countries where urban growth rates exceed 4 percent. The master approach has also been criticized for its failure to engage with political processes, in that plans are prepared in a top-down manner with limited scope for effective public consultation or participation of stakeholders. In addition, the economic and social dimensions of the various physical proposals and civic designs contained in master plans are rarely given adequate consideration. Similarly, inadequate attention is paid to the financial implications of master plans, as actual costs and sources of funding are hardly linked to the programmes and projects recommended in the plan.

A key failure of the Master Plans has been their inability to deal with the phenomenon of informal development. Traditional planning takes place within the realm of the formal sector, but various aspects of informal urban development such as informal housing
(squatter settlements), housing construction, allocation of land, commercial activities take place outside the formal processes of planning and development.

1.3.3 Need for effective Urban Planning in Lake Victoria Region

Many of the interventions taking place in the Lake Victoria Region have as noted in the relevant sections above, a spatial dimension in the sense that they have to be located somewhere. In the case of Lake Victoria Water and Sanitation Initiative (LVWATSAN), the immediate interventions which are being implemented in various secondary towns such as construction of boreholes, water kiosks, pit latrines, sewerage works, laying of water pipes, and opening of new waste disposal sites need to be guided by physical urban development plans. Experience has shown that lack of spatial frameworks in the form of up-to-date urban development plans clearly indicating the pattern of land use, land ownership, land tenure, and the planned urban expansion for the towns in which interventions are taking place, can lead to unsustainable location of facilities and services. In the towns of Kyotera and Mutukula for example, lack of physical development plans has led to a haphazard location of boreholes which is not consistent with the land use patterns. Demands for water are different for various land uses for example, industrial, institutional, commercial, and residential – low and high income categories. In the town of Kisii, water kiosks have been constructed by a local developer without due regard to the town’s expansion and the intended future land use pattern.

1.3.4 Lessons of Experience from UN-HABITAT’s fact finding mission on urban planning needs in the Lake Victoria Region

A fact finding mission on urban planning needs in the Lake Victoria Region that was carried out by UN-HABITAT in a sample of secondary towns revealed that some towns had no urban plans at all, while others have plans which are out of date. The mission also noted as detailed below, serious constraints in the towns in relation to capacity to prepare and implement plans, as well as conceptual weakness on how plans are
conceived and implemented. Furthermore, it became apparent that issues of good governance for the local authorities responsible for the towns needed to be addressed.

1.3.5 Capacity Constraints to prepare and implement Urban Plans
In the towns of Masaka and Kyotera (Uganda), Bukoba and Muleba (Tanzania), Homa Bay, Kisii, and Mumias (Kenya) where there are resident urban planners, these planners have no functional urban planning offices. Constraints are in the form of human resources (staff in terms of numbers, staff mix, and necessary skills), and office space and equipment. The urban planners, most of whom are fresh graduates from college have no experience in dealing with complex urban planning issues such as those brought about by rapid urbanization in the Lake Victoria Region.

1.3.6 Poor Governance
In the local authorities for the towns visited, it was clear that good governance need to be stepped up in terms of more transparency, accountability, and responsiveness, if effective urban planning is to be put in place. The tools which have been developed by the UN-HABITAT and other agencies such as the World Bank to improve the integrity of local authorities could be deployed here in an attempt to improve governance.

1.4 Development Interventions in the Lake Victoria Region
There are a number of development initiatives by various agencies, both local and international, aimed at improving the livelihoods of the people in the Lake Victoria Region. All these interventions have a spatial dimension and require a spatial framework to guide their implementation for more effective impact. These are briefly outlined below.
1.4.1 The Lake Victoria Water and Sanitation Initiative (LVWATSAN)

The Lake Victoria Water and Sanitation Initiative (LVWATSAN) was launched in March 2004 by UN-HABITAT in association with the Governments of Kenya, Tanzania, and Uganda. The initiative aims to address the water and sanitation needs of the people, particularly the poor, in the secondary towns around Lake Victoria. The Initiative has a clear pro-poor focus, and is intended to generate desirable outcomes that would have a lasting effect on the poor. These outcomes include improved access to water and sanitation services in the project areas, functional and gender focused arrangements for sustainability managing and monitoring the rehabilitated systems, institutionalized capacity building programmes to regularly update the capacity of stakeholders, and a contribution to the reduction in pollutant loads entering Lake Victoria. It is envisaged that these outcomes, within a reformed environment, would lead to improved health status and productivity of the population in the secondary towns participating in the programme. It presents a real opportunity to improve the situation on the ground by combining physical investments in infrastructure provision, with targeted capacity building, while at the same time protecting the Lake environment on which the region depends for survival. The spirit of regional cooperation is underpinned by the programme and opportunities for region-wide capacity building will further enrich the region’s ability to manage itself.

The development objective of the project is to support secondary urban centres in the Lake Victoria Region to enable them to achieve the water and sanitation related MDGs and, generally, to contribute to an equitable and sustainable development in the economic, social and environmental sectors of the Lake Victoria Region, to the benefit of the people living in the area.

The specific objectives of the LVWSI project are to:

- Support pro-poor water and sanitation investments in the secondary urban centers in the Lake Victoria Region;
• Build institutional and human resource capacities at local and regional levels for the sustainability of improved water and sanitation services;

• Facilitate the benefits of upstream water sector reforms to reach the local level in the participating urban centres;

• Reduce the environmental impact of urbanization in the Lake Victoria Basin.

The first phase of the initiative focused on Rapid Assessment of the key problems and issues that constrain improved access to water and sanitation by the population bordering Lake Victoria. The second phase of the initiative focused on the development of investment plans based on the interventions identified in the Rapid Assessment. The third phase which is now ongoing is meant to implement the physical and capacity building interventions identified through the Rapid assessment and for which investments plans have been prepared.

Physical interventions in the case of water include rehabilitation of existing water distribution networks with modest expansions in some cases, provision of additional raw water pumping capacity, rehabilitation and expansion of water treatment works and significant expansion of distribution through customer connections, metering, and in many cases communal water points. With regard to sanitation the implementation phase includes minor improvements to treatment works and provision of communal latrines in low income areas. The capacity building component includes measures for operational management in order to ensure sustainability of the interventions.

One identified need in the implementation of physical works in the case of water and sanitation is the lack of physical development plans for the respective towns, showing proposed town expansion, areas reserved for utility services, and the land ownership.
1.4.2 The City Development Strategies (CDS) Initiative

UN-HABITAT with support from SIDA, has implemented the first and second phase of the project “The Lake Victoria Region City Development Strategies (CDS) Programme/Slum Up-grading for improved Urban Environment and Poverty Reduction” aimed at mobilizing city authorities along Lake Victoria, and other stakeholders to develop a regional framework for laying out City Development Strategies. These strategies uphold popular, private and public participation in decision-making and focus on building consensus on key environmental and poverty issues. This project has been an effort to address the absence of effective planning in cities and to complement the master planning approach, which emphasizes physical and spatial planning and is non-inclusive. The initiative is currently in its third phase with eight municipalities participating. These include Kisumu and Homa Bay (Kenya), Entebbe, Kampala and Jinja (Uganda), Bukoba, Musoma and Mwanza (Tanzania). However, although the CDS challenges the master planning approach, it does not itself produce a spatial framework for the towns, and this is where the urban planning initiative will complement this programme.

1.4.3 The Sustainable Urban Mobility Initiative

The Sustainable Urban Mobility Initiative is being implemented in Kisumu under the UN-HABITAT/UNEP sustainable Cities Programme. The partners in this project include UN-HABITAT/UNEP, ITDG, IHE, the Kisumu Municipal Council, other local actors. The initiative aims to strengthen the ability of the Kisumu Municipal Council and its local partners in applying the Environmental Planning and Management (EPM) approach to address urban mobility issues in a participatory manner, targeting especially marginalized groups. This initiative requires a spatial development strategy in the form of physical urban development plans for its success.
1.4.4 Cities without Slums Initiative

The Cities without slums (CWS) initiative is being implemented in Kisumu under the Cities without Slums Sub-Regional Programme for Eastern and Southern Africa. UN-HABITAT is supporting this initiative following the responsibility that it has been given to assist United Nations member states in monitoring and eventually attaining the global Cities without Slums target of improving the lives of at least 100 million slum dwellers by the year 2020. The government of Kenya, recognizing the existence of slums and other informal settlements, and the plight of the poor who live in these settlements, has entered into a memorandum of understanding with the UN-HABITAT for collaboration in the national slum upgrading programme, and has established the Kenya Slum Upgrading Programme (KENSUP) to spearhead this initiative. In Kisumu the main objective of the CWS initiative is to improve the livelihoods of people living and working in informal settlements by promoting and facilitating the provision of security of tenure, housing improvement, income generation and physical and social infrastructure, including addressing the problems and impacts of HIV/AIDS. To be able to know the best locations for physical and social infrastructure services, a physical upgrading plan of the slum areas is required.

1.4.5 The Regional Urban Sector Profile Initiative

The Regional Urban Sector Profile Study (RUSPS) in the Lake Victoria region is being implemented in Kisumu as a medium sized town in Kenya. RUSPS is meant to improve efforts that contribute towards policy development for urban poverty reduction. In each country, a rapid profile is developed based on an analysis of the capital city, a medium sized town, and a small town. Areas of focus include: Shelter and Slums, Urban Governance, Gender and HIV/AIDS, the Environment and Training and Capacity Building needs. RUSPS aims at making interventions at several levels. At the local level, the study identifies capacity building needs and priorities and explores the use of local resources and partnerships to resolve these issues through integrating stakeholder
interventions. At national level, the study aims at integrating national and local efforts for improving urban policy and resources mobilization by integrating concerns drawn from National Government Ministries, National level agencies, NGOs, and Donors and Development agencies to develop the strategic recommendations to improve the urban sector. At regional level, the study contributes to a better understanding of urban management issues to facilitate city to city and country-to-country sharing of lessons and experiences. The shelter and slum upgrading component of this initiative requires to be guided by a physical urban development plan of the respective town.

1.4.6 The Lake Victoria Local Economic Development Initiative (LV-LED)
LV-LED is an interagency programme of action – led by UN-HABITAT – to enhance rural-urban development linkages in the Lake Victoria regions of Kenya, Tanzania and Uganda. Its major developmental goals are:

a) to promote balanced territorial development in the region through enhanced urban-rural linkages,

b) to alleviate poverty though the promotion of employment and other income-generating activities, notably through joint pilot projects,

c) to reduce the rate of rural-to-urban migration in the region, and

d) to improve basic urban infrastructure, including in secondary towns, also as a means to contribute to the achievement of MDGs. LV-LED is being implemented in close coordination with LV-WATSAN and UEB’s Rural-Urban Linkages Support Programme (RULSUP). A physical urban development plan for the respective towns showing the delineation of the various land uses, and the proposed rural-urban linkages would be useful for this initiative.

1.4.7 Pilot Banana Drinks Preservation and Packing Facilities Initiative
The first concrete joint project to be implemented under LV-LED is a Pilot Banana Drinks Preservation and Packing Facilities in Uganda and Tanzania. The main objective of this project – to be jointly implemented by UN-HABITAT, FAO, UNIDO and the Common Fund for Commodities – is to add value to banana drinks produced by small-scale banana farmers for urban markets. The overall goal of the project is to alleviate poverty of coffee and banana farmers in the Lake Victoria region through commercialization of banana drinks in urban areas and thus contribute to reducing the rate of rural-to-urban migration in the region. A physical land use plan covering not only the respective towns where the factories for preservation and packaging of the banana drinks are to be located, but also the catchment rural areas for supplies of the raw materials (the bananas) is useful for sustainability of this initiative.

1.4.8 Development of Toolkits and Training Initiative

The Training and Capacity Building Branch has produced a number of toolkits and training packages that have the potential to be applied and tested in the Lake Victoria Region.

1. The Local Elected Leadership Series – Key Competencies for Improving Local Governance, UN-HABITAT and Local Government and Public Service Reform Initiative

2. Tools to Support Transparency in Local Governance, UN-HABITAT, Transparency International


1.4.9 Jinja Municipality Housing Programme Initiative

The main objective of this programme which is being implemented by the Gender Unit is to empower urban women entrepreneurs and improve their living standards through increasing their access to and ownership of land and housing, upgrading and/or constructing better homes, employment creation, increasing women’s income earning capacity, and awareness to women’s human rights, in particular housing rights. It further aims to link to ongoing initiatives of UN-HABITAT, especially the Global Land Tool Network in support of the Global Campaign on urban governance and secure tenure and identify the limiting factors to women’s access to security of tenure, including obstacles to owning land and houses in the urban context; ensure women’s participation as equal partners in policy formulation; have equal rights for widows and widowers in property ownership and inheritance, and promote public debate on women’s equal human right to adequate shelter. The programme also aims to train women entrepreneurs in enterprise development and business management in order to empower them to be able to engage in a range of economic activities including those related to housing and neighborhood improvement. The Programme is being carried out in Uganda, in collaboration with the Jinja Municipal council.

1.6 Organization of the Publication

This publication is essentially in five parts:

Part one is the introduction which provides a background to the Strategic Urban Development initiative in the Lake Victoria Region. This involves an appreciation of the global and local urban development challenges; presentation of a rationale for SUDP and a recognition of the current development initiatives by the various agencies in the Region.
Part two is a contextual framework for the Strategic Urban Development Process. This is through recognition of the global human settlement goals, the MDGs and the concept of sustainable urban planning.

Part three outlines the process of Strategic Urban Development Planning in Lake Victoria Region by giving a brief account of the various stages of the process.

Part four indicates the challenges and lessons drawn from the Strategic Urban Development Planning experiences in Lake Victoria Region. It also provides a conclusion.
2.0 Planning Context/Conceptual Framework

2.1 Introduction

Urban Development Planning should take cognizance of the concept of sustainable development; current international, national and local policies; legislation, needs, conditions and aspirations. Pertinent international human settlement goals such as: shelter for all and sustainable human settlements; universal MDGs; national policies, legislative frameworks and development decision making systems, among others, provide the context of urban development planning. The paradigm shift in urban planning approaches needs to inform current planning initiatives. These are appreciated in the following lines.

2.2 Concept of Sustainable Development

A germane principle in the current planning and development paradigm is sustainability.

- Sustainable development requires the negotiation of a balance among the three distinct, everyday development processes: economic development, community development, and ecological development. The importance of maintaining a balance among these three processes is evident in cities, towns and regions throughout the world.

- Balancing the diverse interests of business, the environment, and community development requires partnerships. This is especially true in today's
environment of rapid urbanization and globalization. The pressures facing local communities today make it increasingly difficult for any one institution to single-handedly develop, supply, and maintain an essential service.

Basic principles of sustainable approach to planning:

1. Integration: the effective integration of environmental, social and economic considerations in decision making.
2. Community involvement: recognition that sustainability cannot be achieved, nor significant progress made toward it, without the support and involvement of the whole community.

3. Precautionary behaviour: where there are threats of serious or irreversible environmental damage, lack of full scientific certainty should not be used as a reason for postponing measures to prevent environmental degradation.

4. Equity within and between generations: fairness and equal access to opportunities both in our lifetimes, as well as for future generations.

5. Continual improvement: the declining environmental situation means there is an imperative to take immediate action to become more sustainable and to make continual improvement.

6. Ecological integrity: to protect biological diversity and maintain essential ecological processes and life-support systems.

2.2 Global Human settlement Goals

The main global goals for human settlement are: adequate shelter for all and sustainable human settlement development in an urbanizing world. The constituent principles of these goals are:

**Equality**

Planning should promote human settlements where all people, especially women, children and the youth have equal access to: basic housing, infrastructure, health care, green and open spaces; equal opportunity for education, for productive and freely chosen livelihood and for personal, spiritual, cultural and social development; equal rights and obligations with regard to the conservation and use of natural and cultural resources; equal opportunity to participate in public decision-making.
**Eradication of Poverty**
Planning should aim at meeting the basic needs of the low-income groups within human settlements and provide for full productive and freely chosen employment.

**Sustainable development**
Sustainable human settlements planning should guarantee economic development, employment opportunities and social progress will take place with least possible detrimental impact on the environment; carrying capacity of the eco-system should not be exceeded and opportunities for future generations should not be inhibited.; replenishment of the stock of resources while drawing on them and maintenance of biodiversity and cultural diversity; and promotion of human health as well as air, water and soil qualities.

**Livability**
Physical conditions and spatial characteristics of towns, villages and cities have to be taken into account. In addition, city layout and district land-use patterns, population and building densities and ease of access to adequate public amenities have to be accounted for.

**Civil Engagement and Government responsibility**
The planning process should generate a sense of citizenship and identity, spirit of volunteerism and civic engagement. People should be encouraged and have opportunity to participate in decision-making and development. It should take into account that governments have responsibility to protect their citizens’ health, safety and general welfare and to ensure all rights are protected under law.

Partnerships should be fostered between and among all actors from public, private and community organization and individuals. There is need for broad based participation to
ensure: formation of alliances, pooling of resources, sharing of knowledge, contribution of skills and capitalization on comparative advantages leading to collective action.

2.3 Millennium Development Goals

- Eradicate extreme poverty and hunger
- Achieve universal primary education
- Promote gender equality and empower women
- Reduce child mortality
- Improve maternal health
- Combat HIV/AIDS, malaria and other diseases
- Ensure environmental sustainability
- Develop a global partnership for development

2.4 National Development Goals and Policies

These are expressed through the various policy, legislative and sectoral programme documents e.g. Vision 2030; human settlement strategy; various RDA Acts; Local Government Act and Urban Development Programmes among others.

2.5 Regional/Local Aspirations and Development Challenges

These are normally captured in the stakeholder consultative meetings and expressed as negotiated vision and objectives.

2.6 Limitations of Traditional Approaches to Urban Planning

As argued in the earlier sections of the publication, master planning has been a fundamental tool of urban development and management but in recent years it has been found to be less effective. The main shortcomings being that it is too complex, static and elitist. Many of its policies can become outdated, rendering the process irrelevant.
It has also been criticized for not promoting public participation. Community group, target beneficiaries and nongovernmental organizations are usually excluded from the process. In addition, urban planning tends to be divorced from the sectoral processes responsible both for urban finance and providing urban infrastructure and services.

In the present day, there is a new emphasis on decentralization, transparency and accountability.

### 2.7 A new Urban Planning Paradigm

Cities need to be more consciously planned if they are to address sustainability appropriately. Urban planning practices also need to be changed to reflect a new awareness and to integrate environmental, health, economic and social concerns of the 21st century.

The new approach to make urban planning more effective should have the following components:

- Community participation to set clearer objectives for planning interventions; to encourage a feeling of ownership; to promote public awareness; to strengthen urban management instruments; and to encourage community involvement

- Involvement of all stakeholders in the city; everyone whose interests are affected by urban planning processes, from the initial stages of the planning process to implementation and maintenance

- Coordination between national and policy guidance and local information and interests

- Interaction of urban and economic planning to ensure clearer links between the various planning processes for cities, especially in addressing local community employment and the development needs of small business
• Sustainability; by taking into consideration the thrust of Agenda 21, urban planning will provide approaches that address longer-term concerns for sustainable urban development

• Financial feasibility: urban plans should be prepared with full awareness of the financial implications of proposals

• Subsidiarity: taking decisions on planning at the lowest level compatible with achieving desired objectives can help to maximize participation in and the effectiveness of planning process

Further, the inter-related nature of urban development challenges requires an integrated approach that promotes actions at various levels simultaneously. In essence, therefore, policy needs to be integrated at the highest levels, moving away from sectoral approaches and working for inter-sectoral action directed towards sustainability.

In addition, environmental and urban planning are inter-twined aspects of sustainable development and need of necessity to be integrated. Environmental and urban planning can be integrated through either developing integrated environmental plans or by preparing land-use plans that have been subjected to environmental assessment.

In summary, general requirements for urban planning to make progress towards sustainability include:

• Including short- and long-term objectives in the strategic plan or vision of the future

• Ensuring good understanding of the local context before preparing plans

• Assessing the social, economic and environmental impact of draft plans (carrying out sustainability assessment)

• Using indicators to facilitate decision-making

• Promoting strong community involvement and participation
• Ensuring life cycle sustainability

### 3.0 The Process of Strategic Urban Development Planning

#### 3.1 Planning Approach

Working within the context of the established broad goals and values, the process had four main in-built components.

- **A consultative process** - it had meaningful involvement of a wide range of different stakeholders in the various stages of the analysis and decision making process.

- **A strategic process** - it was focused in approach and systematic in the search for the most appropriate and effective solutions, keeping in mind given resources, and overall policy guidelines and principles. Consideration was given to five principal areas: (a) prioritizing on crucial issues rather than dwelling on small issues; (b) focused analysis instead of collecting enormous amounts of data that may never be used; (c) addressing root causes of problems, instead of only symptoms; (d) taking given resources and relevant context into account; (e) identifying and analyzing alternative strategic options instead of going for preconceived solutions.

- **Implementation-oriented** – it was specific in terms of proposals, responsibilities, location, time and costs to make sure delivery takes place.

#### 3.1 Participatory Attitudes

In the LV SUDP, for the process to realize the five basic tenets, the following four attitudes were observed;
**Every idea and everybody’s view counts**

This is a simple fact although neglected by many persons. It is to recognize that different individuals and groups have (according to their respective backgrounds) different perceptions and thus assess situations differently, which then leads them to different actions. This applied to each and every person, including facilitators and organizers of the processes. The LV SUDP acknowledged that everyone’s view is heavy with interpretation, bias and prejudice, which imply that there are multiple descriptions and interpretations of real world phenomena, events and actions. By accepting this, it led to the understanding which is a necessary basis for all participatory processes: everyone is different and can offer important contributions to a process, as their views can complement those others, although they may look worthless or provocative at first sight.

**The learning attitude**

Facilitators and promoters as well as any other person involved in the LV SUDP adopted a learning attitude, through which they learnt from the persons/groups they are working with, rather than a teaching or preaching attitude. This “learning attitude” was enhanced by acknowledging persons/groups’ experiences in and knowledge of their own context and living conditions, by considering them as experts in dealing with their own situation and problems. Thus the role of a facilitator(s) was to enhance the involvement of all concerned persons or groups by supporting processes (such as investigation, analysis and evaluation of problems, constraints and opportunities, and taking informed and timely decisions).

**Transparency**

Participatory decision-making requires readiness to reach a "win-win" compromise from all sides. An atmosphere of mutual trust is the basis for compromise and constructive co-operation and transparency by all stakeholders is a basic requirement.
In this realization, the LV SUDP process noted that transparency would help to avoid hidden agendas and suspicion amongst different parties and thus to prevent situations in which all parties try to protect their own interests rather than finding the most suitable compromise for all parties involved.

**Flexibility**

Being open to other persons’ ideas and opinions is often the most difficult aspect of participatory processes. Often, their views may be difficult to understand and contradictory or incompatible with one’s own ideas and beliefs. Accepting this reality requires a high degree of flexibility, as well as courage to set aside for a moment one’s own perception and neutrally follow the process, being ready to rethink and re-plan at any stage, if necessary.

### 3.2 Principles

Further the LV SUDP process was guided by the following key principles in the application of participatory methods and tools;

**Leading to action and debate about change**

This was in recognition that participatory processes lead to debates about desired changes in existing conditions and hence changes in the perceptions of the actors and their readiness to contemplate action. The process of joint analysis and dialogue in the LV SUDP process helped to define desired changes and visions and sought to motivate people to implement them. This action included local institution-building and strengthening, thus increasing the capacity of people to initiate collective self-help action aimed at improving their own futures in their respective towns.

**Iterative Action and Stepwise Analysis**

Participation is an iterative process which should continue throughout the project cycle. A provision is given in this process that decisions or agreements should be revisited
periodically and checked for validity, and adjusted to changes that may have occurred in
the conditions/situations/needs in the meantime. This implies that analytical processes
should follow a stepwise procedure meaning that attention must be given on general
information gathering in the beginning, then on specific topics, and finally enter into a
detailed (in-depth) analysis of local problems, needs and potentials. Additionally, the
facilitation team constantly reviewed their findings in order to determine which
direction to proceed.

Multiple perspectives or triangulation
Once the different points of view were taken into consideration, the output of the
analysis and discussion provided a more complete and accurate picture of the situation
under review. Therefore, when trying to facilitate a participatory process, the facilitators
sought to mix team composition, tools and techniques, as well as sources of
information/interest groups. According to LV SUDP process, team composition meant
that there was multidisciplinary, gender, different backgrounds and skills, insiders and
outsiders (see item 4.2), tools and techniques - interviewing, mapping, diagramming,
ranking, observing, discussing, using secondary data and sources of information or
interest groups - women and men, elders and youth, different socioeconomic groups,
different professions.

Flexibility in applying instruments and choosing degree of precision
There is no a recipe nor blueprint on how to facilitate participatory processes. Methods
and tools should not be used mechanically but should be context specific and
appropriate to address the question or topic under discussion. The selection of a
particular tool should also be determined by the specific characteristics of the
society/community/group the participation team is working with.
For example, the aim of participatory problem analysis is not to achieve absolute
accuracy (one does not have to know/discuss everything), but an appropriate or
adequate degree of precision. In order to determine what is “adequate”, facilitators
should ask themselves “What kind of information is required, for what purpose, and how much information will people need for their analysis?”

**Visual Sharing**
Through visualization within a participatory process, participants have the opportunity to follow a discussion easier, especially illiterate people and people who join a session later than others. The process ensured that maps, diagrams, rankings and other forms of visualization tools were used to promote consensual decision-making since everybody is able to directly express their opinion on a chart or on the ground.

**Group Learning**
The LV SUDP ensured that the workshops are best facilitated by the use of interdisciplinary teams. This was after realizing that the complexity of most situations would only be revealed through group analysis and interaction, thus allowing for different experts to contribute.

**Self-critical Awareness**
UN-Habitat and the respective Consultants were careful to constantly analyze their own biases. This was meant to constantly reflect upon the phenomena they felt they had perceived, actually heard and observed and which they had already judged or interpreted.

3.3 The Phases of the Urban Development Planning Process

The process of preparing Strategic Urban Development Plans in the Lake Victoria region has four distinct stages as follows:

**Stage 1:** Development of digitized up-to-date Base, Thematic and Issue maps for the towns, as well as their socio-economic, environmental and structural profiles.
Stage 2: Organization of consultative workshops of key stakeholders for the towns to develop shared visions for the towns’ future

Stage 3: Development of Strategic Urban Development Plans for the towns, based on the agreed future visions for the towns.

Stage 4: Approval of the Plans by the respective authorities

3.3.1 Development of Base, Thematic and Issues Maps of the Existing Situation

This entailed use of mostly GIS to capture, store and prepare thematic and issue data to provide base spatial information for planning.

3.3.2 Development of Town Profiles

This was as a scan process for compiling information on general aspects of the towns. It consists of rapid appraisals for enabling the Planning Team to familiarize themselves with and appreciate challenges and opportunities of the town and general region (hinterland). It addressed among others:

- Brief history of the planning area
- Population characteristics
- Administrative units.
- Linkages with other towns
- Major towns and their functions
- Climate
- Main economic activities
• Key resources
• Area covered by the town
• Transportation structure
• Major physiographic features.
• Major development issues.
• Main environmental concerns
• Preparation of the base map.

b) Transect Survey
This involved undertaking a reconnaissance survey of the planning area. It enabled the Planning Team to:

• Identify and appreciate major planning issues (challenges and opportunities) within the town and its environs
• Delineate the planning area
• Consolidate the base map
• Prepare the inception report

c) Project Design
At this stage the project design was fine tuned in terms of the scope and timeframe. It also confirmed preliminary work plan detailing the various activities to be undertaken.

d) Awareness Creation and Sensitization of the Stakeholders
At this stage, the consultants in collaboration with the Local Authorities officials caused the publication in the media of the intention to prepare the profiles for the towns, outlining the area to be covered, the objectives and the anticipated outputs. It also entailed sensitizing the chief officers within the municipal councils and the political leaders and other stakeholders through meetings, and letters.
e) Stakeholder analysis and identification

The Planning Team examined the stakeholder profile, analysis and selection to ensure as wide and inclusive representation as possible. Typically the team would be looking at the local NGOs, FBOs, CBOs, political and community leaders, investors, industrialists, businessmen, provincial administration, district based professionals etc.

f) Stakeholder Consultation

The Planning Team held consultations with stakeholders to develop consensus and sensitized on the preparation of the profiles. The issues considered are:

- Orientation of stakeholders
- Definition of scope of the planning area
- Identification of the major planning issues, including developing a problem tree (and verification of issues identified during the transect survey and profiling)
- Definition of the planning units
- Conducting detailed dialogue among community groups and between the community and the technical experts and the planning team
- Identification of other stakeholders and partners
- Developing of vision for the municipality

g) Visioning and Objective Setting

This was the start of the substantive part of the planning process equivalent to the traditional goal and objective setting stage. The description that follows should be read in reference to the concept guide (figure 2.3 page 16). Incidentally the strategic structure plan process covers seven steps;

- Preliminary vision development and diagnosis
- Critical analysis of the planning and institutional process
- Critical analysis of existing spatial structure
- Detailed examination and analysis of the spatial structure
- Development of proposals
- Review and confirmation of visions and concepts and
- Formulation of intended spatial structure

**Visioning**

The Vision acted as a guide in the formulation of the possible development scenarios whereby the perspective of the desired economic, socio-cultural and environmental development structure of the local authority area is crystallized. Formulation of the vision was based on the actual possibilities of the area as well as the aspirations of the citizens derived from profiling of the planning area, as well as identified, analyzed and prioritized issues.

The vision provided statements about the functional role of the area. Visioning was done together with the stakeholders, allowing them to identify and prioritize the issues of importance to them. The stakeholders were encouraged to develop a picture of the future they want for themselves and their children.

**Objectives**

These were specific statements aimed at addressing the planning issues identified. They provided the means to achieving or realizing the vision. The objectives should be formulated in consultation with all stakeholders.

**h) Data collection**

At this stage the team will collect data required for detailed analysis of the identified issues.

**Data Sources**
Data was collected from both secondary and primary sources.

- **Secondary Sources**
  Gathered data was from documents based on publications, topo-cadastral maps and land-use plans, giving an insight into the planning area. The information helped identify critical issues and areas that require more time and special attention which should save time and cost of having to make unnecessary visits to gather extra data or verify information on the ground.

- **Primary Sources**
  This involved the actual field survey as a source for primary data, which portrayed the practical development realities of the municipality. This provided an opportunity to confirm the actual situation on the ground and also to interact and seek the views of the local people in order to get additional information and verify information collected from secondary sources.

**i) Data Collection Techniques**

The consultants applied a variety of data collection techniques including:

- Observation
- Photography
- Questionnaire administration
- Oral interviews
- Focused Group discussions
- Consultative workshops
- Stakeholder forum
- Geographic Information System (GIS) and mapping

**j) Data Analysis at Thematic Levels**

Data analysis was focused on the following broad thematic areas:
- Physiographic and Natural Resource Base
- Economic Base
- Human settlement sector
- Infrastructure sector
- Institutions sector
- Social and cultural sector
- Demographic Dynamics
- Environmental Management

**k) Data Consolidation**

At this stage the results from the data based analysis (the profile and the detailed field surveys) were reconciled with the results of community and stakeholder issue analysis (participatory analysis) to ensure that the strategies to be formulated in the next stage will:

- Address people’s priority needs and incorporate people’s own initiatives
- Respond to causes rather than symptoms
- Deal with the issues in context
- Consider potentials, opportunities and initiatives for resolving priority issues

**l) Data Interpretation and outputs**

Data interpretation entailed a critical look at the analyzed data to derive relationships, make projections and determine shortfalls. It involved subjecting the information to the recommended standards and/or parameters (indicators) against the set objectives in order to give the following outputs:
• An assessment of the existing level of development
• Priority issues or problems
• Information on context, causes, dynamics of priority issues

At this stage findings and conclusions were modeled and presented in a spatial context and desired development scenarios outlined.

• Summary of planning issues and potentials
• Development of broad strategies
• Formulation of agreed vision
• Projected development

m) Profile Reports Preparation

At this stage written statements were prepared in addition to the graphical presentation of the town profiles.
Figure 2.1: Major Steps in the Process of Profiling
Table 2.1: Summary of the Process of Municipal Profile Preparation

<table>
<thead>
<tr>
<th><strong>Phase I: Preparatory</strong></th>
<th>Purpose</th>
<th>Key Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Identify planning issues</td>
<td>- review of policy documents and existing information on the town and its environs</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- transect survey</td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Base map preparation</td>
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<td></td>
<td></td>
<td>- stakeholder analysis</td>
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<tr>
<td></td>
<td></td>
<td>- sensitization of stakeholder and awareness creation (interactive seminars and workshops – local institutions and officials and representatives of various interest groups)</td>
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<tr>
<td></td>
<td></td>
<td>- Mobilization</td>
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<td></td>
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<td>- environmental profile preparation.</td>
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<td></td>
<td></td>
<td>- notification of intention to plan</td>
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<td></td>
<td></td>
<td>- develop preliminary visioning</td>
</tr>
<tr>
<td></td>
<td>Outputs</td>
<td>1. <strong>Mobilization and awareness report</strong> (realization of consensus for the planning exercise);</td>
</tr>
<tr>
<td></td>
<td></td>
<td>2. <strong>Preliminary project proposal (report)</strong></td>
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<tr>
<td></td>
<td></td>
<td>2. Base-map for the planning area;</td>
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<tr>
<td></td>
<td></td>
<td>3. Preliminary planning issues summary;</td>
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<tr>
<td></td>
<td></td>
<td>4. Defined planning concepts and framework</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5. Environmental Profile of the town</td>
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<td></td>
<td></td>
<td>6. Spatial sketches of the town</td>
</tr>
</tbody>
</table>
### Phase II: Data Collection and Consolidation

<table>
<thead>
<tr>
<th>Purpose</th>
<th>To provide detailed thematic information for problem and opportunity identification and clarification to form a basis for realistic and implementable development strategies formulation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Key Activities</td>
<td>Detailed thematic field surveys and studies</td>
</tr>
<tr>
<td>1. Geographical Structure</td>
<td>location and setting of the town within the national and regional context; relief and drainage; climate; geology and soils; land tenure, land ownership</td>
</tr>
<tr>
<td>2. Population dynamics</td>
<td>composition; structure; migration patterns and other socio-cultural attributes</td>
</tr>
<tr>
<td>3. Structure of economic activities</td>
<td>– industry, trade and commerce; agriculture</td>
</tr>
<tr>
<td>4. Settlement structure</td>
<td>housing, urbanization trends; hinterland linkages</td>
</tr>
<tr>
<td>5. Structure of services and infrastructure</td>
<td>– education; health; water and sanitation; telecommunication; energy; public utilities; recreation</td>
</tr>
<tr>
<td>6. Transportation structure</td>
<td>roads, railway, water and air transport; non-motorized transport</td>
</tr>
<tr>
<td>7. Environment</td>
<td></td>
</tr>
<tr>
<td>8. Institutional framework</td>
<td></td>
</tr>
<tr>
<td>9. Identification of special subject area design studies</td>
<td>: CBD and informal settlements</td>
</tr>
<tr>
<td>Outputs</td>
<td>• Detailed up-to-date thematic data sets</td>
</tr>
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<td></td>
<td>• Feasibility Studies Report</td>
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</tbody>
</table>
## Phase III: Analysis

| **Purpose** | To ensure that decisions will be based on:  
peoples priority needs and problems  
Knowledge on available and accessible resources.  
Proper information and on a profound understanding of the dynamics influencing the development in the municipality. |
|---|---|
| **Key Activities** | 1. Data-based analysis of service standards/gaps  
*(including sector-specific data)*  
2. Participatory problem analysis/ issues prioritization (cross sectoral)  
3. In-depth analysis related to identified priority issues (dynamics, causal factors, resources etc.) |
| **Outputs** | • Assessment of the existing level of development  
• Priority issues/problem statements  
• Understanding of the nature/dynamics/causes of these issues.  
• Knowledge of available resources and potentials (including a tentative overall financial frame).  
**Preliminary Data Analysis report** |
## Phase V: Broad Strategies and Visioning

<table>
<thead>
<tr>
<th>Purpose</th>
<th>To ensure that there will be a broad inter sectoral debate on the most appropriate ways and means of tracking priority issues, under consideration of the policy guidelines and principals, available resources, inter linkages, competing requirements and an agreed vision. The strategy debate shall help avoid the usual short cut from identified needs to sectoral projects. It shall help find more appropriate, innovative and cost effective solutions under due consideration of various options. It is the phase making.</th>
</tr>
</thead>
</table>
| Key Activities | Inter-sectoral workshops process as a forum for open discussions on ways and means of dealing with the priority issues/problems. Workshops (as a rule) with all affected local municipalities and representatives from relevant provincial and national agencies and corporate service providers in order to ensure:  
- well informed and well facilitated strategies debates  
- that cross-boundary issues and inter-government/sector alignment issues are taken care of. |
| Outputs | Broad strategies for the town and its environs  
With the following components:  
  - Vision (for the municipality)  
  - Objectives (for each priority issue)  
  - Strategic options and choice of strategy (for each issue)  
  - 1st Draft Profile Report. |
3.3.3 Consultation Workshops to Develop Shared Vision
The process involved seven steps which are presented and discussed below:

- **Objective Setting**
- **Stakeholder Analysis and Selection**
- **Select and Secure the Venue**
- **Publishing the Meeting and communication to stakeholders**
- **Preparation of Workshop materials and Agenda setting**
- **Stakeholder Meeting**
- **visioning**

**a) Objective Setting**

This step involved identification of very clear objectives for engaging the stakeholders. These included the filling of information gaps; verification of development issues; obtaining an in-depth understanding of issues and visioning.
b) Stakeholder Analysis

The study defined a stakeholder as: Any individual, group, or institution who had a vested interest in the planning area and/or who potentially will be affected by plan activities and have something to gain or lose if conditions change or stay the same. Stakeholders were also seen as all those who need to be considered in achieving plan goals and whose participation and support are crucial to its success. The Stakeholder analysis identified all primary and secondary stakeholders who have a vested interest in the issues that the plan will consider. The goal of stakeholder analysis was to develop a strategic view of the human and institutional landscape, and the relationships between the different stakeholders and the issues they care about most.

Why Stakeholder Analysis was Important

Given that the planning process depended on selecting stakeholders with whom the planning team can jointly work towards goals that will reduce or reverse the threats to the key planning targets.

The stakeholder analysis helped the planning team to identify:
• The interests of all stakeholders who may affect or be affected by the plan;
• Potential conflicts or risks that could jeopardize the process;
• Opportunities and relationships that can be built on during implementation;
• Groups that should be encouraged to participate in different stages of the planning process;
• Appropriate strategies and approaches for stakeholder engagement; and
• Ways to reduce negative impacts on vulnerable and disadvantaged groups.

The full participation of stakeholders in both plan design and implementation is a key to success. Stakeholder participation was considered to have the benefits of:
• Giving people some say over how plans or policies may affect their lives;
• Being essential for sustainability;
• Generating a sense of ownership when initiated early in the development process;
• Providing opportunities for learning for both the planning team and stakeholders themselves; and
• Building capacity and enhancing responsibility.

Stakeholder analysis is also an appropriate time to explore whether or not gender will be a factor in the elaboration and implementation of future efforts. It is well documented that discrimination by gender is likely to diminish the impact and effectiveness of projects and policies. Furthermore, the inclusion of women as stakeholders has the potential to achieve both better management of the resource base and improved community welfare. Gender analysis involves the assessment of:
• The distribution of tasks, activities, and rewards associated with the division of labour at a particular locality or across a region;
• The relative positions of women and men in terms of representation and influence; and
• The benefits and disincentives associated with the allocation of tasks to women and men.

**Development and Use of Stakeholder Analysis**

The planning team developed key questions to ask at each of the steps in the process of stakeholder analysis:

1. **Identification of the key stakeholders and their interests (positive or negative) in the plan**

Any given threat or opportunity factor has one or more stakeholder groups associated with it. To analyze stakeholder groups, the planning team started with an analysis of the stakeholders and then linked them to specific threat and opportunity factors. Some of the key questions asked at this step included:
• How are the threatened plan targets being used? By whom? Who is threatening the
plan target?
  • Who is most dependent on the planning aspect at stake? Is this a matter of livelihood or economic advantage?
  • Who possesses claims – including legal jurisdiction and customary use – over the resources at stake? Are several government sectors and ministry departments involved? Are there national and/or international bodies involved because of specific laws or treaties?
  • Who are the people or groups most knowledgeable about, and capable of dealing with, the resources at stake? Who is managing these resources? With what results?
  • Are the stakeholders and their interests geographically and seasonally stable, or are there migration patterns?
  • Are there major events or trends currently affecting the stakeholders (e.g., development initiatives, land reforms, migration, population growth)?
  • Has there been a similar initiative in the region? If so, to what extent did it succeed? Who was in charge and how did local stakeholders respond?

This step begun by brainstorming all possible stakeholders using the above questions as a guide.

A research on the human environment was then done through talking to various stakeholders, and asking them who they would see as potential stakeholders for the planning process.

A list was made of the stakeholders in relation to the above list of questions. The stakeholders were numbered for easy reference. The stake or mandate of each stakeholder was described in the second column. The mandate refers to the nature and limits of each stakeholder’s stake in the resource (e.g. livelihoods, profit, lifestyles, cultural values, spiritual values, etc.), and the basis of that stake (e.g. customary rights, ownership, administrative or legal responsibilities, intellectual rights, social obligation, etc.).
Table 1: Stakeholder Analysis Matrix

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Stake/Mandate</th>
<th>Potential Role in planning process</th>
<th>Marginalized</th>
<th>Key</th>
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For each stakeholder, their potential role in the project was described in column 3. Then noted in column 4 if the stakeholder is marginalized, e.g. women, indigenous peoples, ethnic minorities, youth, or other impoverished or disenfranchised groups. Marginalized stakeholders lack the recognition or capacity to participate in collaboration efforts on an equal basis, and particular effort must be made to ensure and enable their participation. In the last column a decision was made on who the key stakeholders were, i.e., those who – because of claims over or direct dependence on the plan aspect, or their power, authority, or responsibility – are central to the initiative at hand. Their participation was seen to be critical.

2. Assessing the influence and importance of each stakeholder as well as the potential impact of the plan upon each stakeholder

Key questions for this second step in a stakeholder analysis included:

- Who is directly responsible for decisions on issues important to the plan?
- Who holds positions of responsibility in interested organizations?
- Who is influential in the planning area (both thematic and geographic areas)?
- Who will be affected by the plan?
- Who will promote/support the plan, provided that they are involved?
- Who will obstruct/hinder the plan if they are not involved?
- Who has been involved in the area (thematic or geographic) in the past?
- Who has not been involved up to now but should have been?

To continue with the second step of the stakeholder analysis – assessing the influence, importance, and level of impact upon each stakeholder – a simple grid shown in Figure 1
was useful for thinking through how different types of stakeholders might be engaged. It organized stakeholders according to their likely influence over decisions to be made, and the likely impact of plan decisions upon them. This analysis was done using pieces of paper or cards on a table top or wall with the matrix written up on flipchart, as follows:

1. Identify stakeholders and write them on cards (one per card).
2. Organize and agree placement of cards on the matrix.
3. Consider relationships (e.g. responsibilities, rights, levels of conflict) within and between stakeholders in each area of the matrix.
4. Consider potential strategies (approaches, methods) for engaging different stakeholders in each area. The approaches indicate common (but definitely not exclusive) approaches of engagement.

The following questions proved useful when considering where stakeholders sit on the Influence/Impact analysis quadrant):

• Are they likely to influence the success or failure of the planning process?
• What is their relationship with the planning process?
• Where are they now versus where we think they should be on the Influence/Impact quadrant?

3. Identifying how best to engage stakeholders

Finally, the third step involved determining how to involve the different stakeholders. Different types of stakeholders will be engaged in different ways in the various stages of the project, from gathering and giving information, to consultation, dialogue, working together, and partnership.
This third step in the stakeholder analysis focused on partnerships. Determining who needs or wants to be involved, and when and how that involvement can be achieved provides the basis for developing collaborations. Once stakeholder views are understood, a decision can be made on whether to pursue collaboration.

The importance of the process in planning and conducting successful collaborations cannot be overemphasized. Good-faith efforts are often derailed because the parties are not skilled in the collaboration process, and because insufficient attention is given to designing and managing it. Using an inclusive, transparent approach during project development and implementation will help build ownership and commitment. If it is not possible or realistic to have all key stakeholders involved from the outset, then a process for gradual involvement may be needed.
Merits of Stakeholder Participation

- **Ownership of the plan**
  Stakeholder participation will ensure ownership of the process from inception to implementation stage. The local community must therefore be effectively engaged and involved in order that they can own both the process and the plan.

- **Decline in land use conflicts**
  Conflict resolution is a major achievement in stakeholder participation. Civic engagement and constant consultation reduces tensions through consensus building.

- **Empowerment to local community**
  Empowerment in plan preparation is usually achieved through ownership and the ability to make decisions guided by their own aspirations and vision. This also enables them to have control on the planning and resource allocation processes.

- **Resource Mobilization**
  Stakeholder participation provides avenues upon which resources from different agencies can be channeled for plan preparation. These resources include funds, technical expertise etc.

- **Protection of the commons**
  The involvement of stakeholders in plan preparation enables them to understand their rights and obligations, which include safeguarding of the commons.

c) **Visioning**

The Vision acted as a guide in the formulation of the possible development models whereby the perspective of the desired economic, socio-cultural and environmental
development structure of the local authority area was crystallized. Formulation of the vision was based on the actual possibilities of the area as well as the aspirations of the citizens derived from profiling of the planning area, as well as identified, analyzed and prioritized issues.

The vision provided statements about the functional role of the area. Visioning was done together with the stakeholders, allowing them to identify and prioritize the issues of importance to them. The stakeholders were encouraged to develop a picture of the future they want for themselves and their children.

To ensure that the process was transparent and accessible to all sectors required the use of several interactive, semi-interactive and non-interactive methods of communication. In general, interactive methods, such as focus groups, resulted in greater transparency and participation than semi-interactive methods such as questionnaires. Creativity and flexibility were needed to reach out to those who are under-represented.

**d) Context of Sustainable Development Planning**

In the context of sustainable Development Planning Processes, the following guiding principles which were applied in the profiling and planning processes proved to be valuable.

Established for collective responsibility, decision-making and planning results in numerous benefits. A community stakeholder group can be especially helpful in guiding, facilitating, promoting and building support for the process within the community. Partnership groups that are established to participate in the entire planning process, as well as those established to address very specific and limited issues, can both be very effective.

Overall stakeholder groups in which subcommittees and working groups address particular issues can be especially productive. Partnerships can be brought into the process at different stages, though strong partnership groups established at the outset may be most effective. In all circumstances, however, the effectiveness of the group
depends upon a clear understanding of their role and the objectives of the process, as well as adequate financial resources and decision-making authority.

Recommendations:

- Engage a wide variety of partnerships/stakeholders including women, youth, poor, etc. in partnership groups
- Provide a secured budget and staff for partnership groups
- Obtain explicit support from the mayor and councilors, and their engagement in the partnership group
- Ensure clear terms of reference for their group’s mandate
- Establish an explicit structure for the partnership, as well as clear procedures for decision-making and conflict resolution
- Create a communication and information sharing strategy
- Garner clear commitment from partnership group members

Participation and Transparency

Ensuring that the process is transparent and accessible to all sectors requires the use of several interactive, semi-interactive and non-interactive methods of communication. In general interactive methods, such as focus groups, result in greater transparency and participation than semi-interactive methods such as questionnaire. Creativity and flexibility are needed to reach out to those who are under-represented. Community education is essential to effective participation in the process, and education programmes should also be directed to municipal councilors and staff.

Recommendations:
Institute public education programs at the outset of a planning process.

Provide training programs for municipal staff and councilors as well.

Be creative and employ diverse methods to reach out to and secure participation from different sectors within the community.

**Systemic Approach**

In order to facilitate a systemic approach to planning, in which whole systems are addressed, linkages between the planning process and the statutory process may be effective. In the initial stages of the planning process, inter-departmental linkages can build the foundation for longer-term integration of concern for sustainable development into programs and budgets. Issue and environmental assessments, and the involvement of diverse sectors of the public can also facilitate a broader integration of social, economic, ecological and health benefits into the planning process.

**Recommendations**

- Link the planning process to the statutory process
- Institute inter-departmental committees and working groups to address all aspects of the planning process within the municipality
- Incorporate knowledge from diverse public sectors in the environmental assessment process

**Concern for the Future**

Addressing short-term and long term solutions in the planning process in response to concern for the future is particularly difficult. Visioning is one of the methods that can bring the need to focus on long-term solutions into focus. Visioning can take a number of forms and serve a variety of purposes. Trends analysis can also be an effective method of incorporating concern for the future into the planning process. Community-based...
data collection can be extremely useful in obtaining inaccessible and valuable information.

**Recommendations**

- Initiate a visioning process for the entire community
- Assess environmental trends with community input

**Accountability**

Accountability for the process is almost likely to be realized where the planning processes are instituted concurrent with changes at the national/central government level. At the local level, council leadership and participation are typically important elements in driving the planning process forward. However, if the process is tightly controlled by the council, residents may find it difficult and intimidating to influence the agenda and express their views freely. Since official plans are legal and binding, linking the sustainable development planning process to the strategic plan is another effective method of incorporating municipal accountability into the process. At the community level, accountability for the process can be achieved through public engagement in defining priorities, creating plans, and monitoring indicators.

- Garner political will for the process
- Facilitate involvement and decision making on the part of the community
- Link the planning process to the official planning process
- Engage the public in priority setting, planning and monitoring

**Equity and Justice**

In order to ensure that the sustainable development planning process provides for equity and justice, participants also directly involved their communities in issue
identification and issue/environmental assessment processes. Special efforts were made in most cases to engage the poor, women and youth in the planning process.

Recommendations

- Involve all sectors of the community in issue identification and environmental assessment processes
- Be creative in reaching out to various sectors of the community to ensure their participation in the process

**Ecological Limits**

Planning process should address ecological limits; participating cities typically instituted some form of public education to raise awareness of the issue. Creative methods were employed to engage people in discussing and learning about sustainable development. In turn, involvement of all sectors within a community proved to be an effective way to incorporate local knowledge into municipal and scientific studies on sustainability.

Recommendations

- Educate the public, municipal staff and councilors to raise awareness regarding ecological limits
- Incorporate community knowledge of local ecosystems into studies on local sustainability
- Undertake one of several institutional mechanisms to ensure the long-term environmental performance of municipalities activities
- Establish and monitor performance indicators and involve the public in the process
3.4 Development of Plan Proposals
Informed by the spatial and attribute data and the involvement of the stakeholders, the planning teams developed plan proposals to guide the future development of the various towns. These plan proposals were represented in form of maps and written statements.

3.5 Approval of the Plans
The plans were then processed by approval within the legal framework of the various countries.

3.6 Monitoring and Review
Monitoring and reviewing of the plans is an essential aspect of the planning process. This will enable time corrective measures to be taken in ensuring the implementation of the plans and establishment of their relevance in providing an appropriate framework for development interventions in Lake Victoria Region. This will require development of appropriate monitoring tools and framework.
4.0 Lessons of Experience

4.1 Introduction

A number of lessons were drawn from the experience in the Strategic Urban Development Planning process in the Lake Victoria region. These include limitations in institutional framework; planning capacity; citizen experience in participatory planning; lack of basic planning databases; and general urbanization trends. These are briefly discussed in this chapter.

4.2 Institutional Framework

The type of planning system varies with each country’s legal system and institutional framework and this defines the relative role of the different actors in the development process. The situation that appertains to the Lake Victoria region countries of Kenya, Uganda and Tanzania is such that there is lack of appropriate policy and legal framework to support Strategic Urban Development Planning. The existing framework is so centralized that it does not provide for adequate citizen participation in the planning process. The second aspect of institutional inadequacy relates to the land tenure system. This is especially with respect to the freehold and “mailo” land tenure systems in Kenya and Uganda. This type of tenure which provides for unconditional use of land by the land owners makes it difficult to enforce development control in these areas. The result has been mushrooming of informal and sub-standard housing which has inadequate services and facilities. Any planning interventions should therefore start by addressing the macro level institutional aspects that will create viable environment for citizen and private sector participation; adequate devolution of decision making to local levels, especially local authorities; land tenure systems that will enable development control and implementation of plan proposals.

4.3 Organizational Capacities
Most of the agencies (local authorities and central government offices) have serious capacity limitations. This is in terms of the requisite planning personnel (both in numbers and competence) and equipment. In some instances, the situation is so dire that even office space for staff is lacking. The municipal councils do not have planning departments or units. This situation is compounded by inadequate budgetary central government allocation for planning and plan implementation. Generally, there is poor local governance as it relates to the planning and implementation of urban plans. The inadequacy in the planning capacity is best manifested in mushrooming of informal settlements with more than 50 percent of urban population living in slum conditions. Need to apply tools to predict the extent of slum formation as part of the strategic urban planning process.

4.4 Citizen experience in Participatory Planning

Meaningful participation in planning processes requires concerted awareness creation, sensitization and education of the citizenry. Experiences in the Lake Victoria Region revealed that most of the local people have not had previous experience in participatory planning and therefore have not grasped the benefit of this participation. Instances abound where the stakeholders felt that they needed to be compensated financially for participation and whenever this was not forthcoming the turnout for the meetings would be poor. The language of communication was also a major challenge and the local language seemed to be the preferred.

4.5 Participation and Transparency

Ensuring that the process is transparent and accessible to all sectors requires the use of several interactive, semi-interactive and non-interactive methods of communication. In general interactive methods, such as focus groups, result in greater transparency and participation than semi-interactive methods such as questionnaire. Creativity and
flexibility are needed to reach out to those who are under-represented. Community education is essential to effective participation in the process, and education programmes should also be directed to municipal councilors and staff.

- Institute public education programs at the outset of a planning process.
- Provide training programs for municipal staff and councilors as well
- Be creative and employ diverse methods to reach out to and secure participation from different sectors within the community

4.6 Garnering and sustaining political good will

Planning processes are more successful where the planning team has secured political good will through a delicate balance of all the interest actors in the process namely:

- Politicians – interested in quick fixes/quick wins; short term to medium term perspective to development.
- Planners – long term and transformational perspective to development; provide a link between the national goals and local level realities.
- Local communities – realistic proposals that are responsive to their needs.
- Local authorities – incremental and medium perspective to development

4.7 Profiling

The following help achieve effective profiling:

- Profiling should be integrated, so individual, short-term decisions are consistent with broader, strategic goals.
• Analysis should be comprehensive, reflecting all significant perspectives, impacts and objectives.

• Planners should be objective, fair and respectful.

• Ensure adequate public involvement. Stakeholders should be kept informed and have opportunities for involvement.

• The profiling process should be understood by all stakeholders, with a clearly defined vision or problem statement, goals, objectives, evaluation criteria and performance indicators.

• Consider a wide range of possible solutions, including some that may initially seem unrealistic but could be appropriate as part of an integrated program. Support innovation: try new strategies recognizing that some may fail since even unsuccessful experiments provide useful information.

• Identify resources, constraints, and conflicts. Draw attention to potential problems.

• Convey analysis results in ways that are comprehensible by the intended audience using suitable language and visual information (graphs, maps, images, etc.). Highlight differences between options.

• Identify and avoid token solutions which fail to really address a problem. Modest actions may be appropriate if it is the beginning but not the end of more substantial solutions.

• Be prepared for setbacks. A planning process will sometimes initially fail, but succeed if repeated due to changing circumstances or more stakeholder understanding and commitment.

4.8 Planning Data

The adequacy and currency of planning data and in the format appropriate for analysis and decision making were a major challenge in the process of preparing the municipal
profiles. In most cases, data were inadequate or outdated, making it difficult to undertake appropriate time series analysis to provide clear indication of the trends in issues or development phenomena. Data capture, storage, up-dating and retrieval is a major short-coming in most of the municipalities. This will have to be addressed by design during the plan preparation stage and as an output of the process data bases for planning and development control should be established. In addition, data management capacity, both in terms of technical know-how and the facilities has to be established or where they exist should be enhanced.

4.9 Consultative Workshops

The increasing scope and ambition of many planning processes require a commitment to dialogue and collaboration with a diverse range of stakeholders. Dialogue that is open and transparent is critical to long-term success. The planning team learned a number of lessons in stakeholder engagement, namely that:

The goals of any collaboration venture must be clarified before engaging stakeholders. Goals help identify and target those interests that need to be represented in collaboration processes, and those that can be left out.

- It is fundamental that enough time be budgeted to explore stakeholder views, values and perspectives so that an understanding of the human and institutional landscape can be established.
- deciding who is “inside” or “outside” a collaboration process will always be relevant to plan outcomes and to their sustainability.
- It is important that stakeholder participation not be exclusive, or controlled or dominated by any one group.
- All stakeholders will come to the process with their own biases.
- Stakeholder collaboration is a process that requires the opportunity and space for participants to listen to and learn from one another. It is important to create spaces for stakeholders to come together to develop and share their visions and agendas.
4.10 Conclusion

Strategic Urban Development Planning presents an opportune paradigm shift in urban planning that can lead to sustainable urban development. However, for the process to be successful there is need for a proper policy framework; adequate manpower with requisite planning skills and facilities; sufficient financial resources and a well structured citizen participation framework. In addition, adequate time should be availed for proper stakeholder engagement.
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