

# Tools to Support Participatory Urban Decision Making



United Nations Centre for Human Settlements (Habitat)



---

The publication of the Toolkit was made possible through the financial support of the Dutch Government and the Local Leadership and Management Programme of United Nations Centre for Human Settlements - UNCHS (Habitat)

---

Copyright: The United Nations Centre for Human Settlements (UNCHS Habitat)  
UNCHS: P.O. Box 30030, Nairobi, Kenya

Urban Governance Toolkit Series

HS/628/01E  
ISBN 92-1-131616-2

The opinions expressed in this document are those of the authors and not necessarily those of the United Nations

Nairobi, July 2001

## Foreword

---

Over many years, experience has shown that cities find it useful to involve a broad range of stakeholders including the often marginalised groups in urban decision-making. Such participatory processes have yielded far reaching results in alleviating poverty and improving the living conditions in the urban environment. A wide range of participatory decision support tools have as a result been developed and practised. The United Nations Centre for Human Settlements (Habitat), through its various regional and international programmes working with cities, has been part of this experience, participating in the development, refining and application of these tools.



This toolkit to support participatory urban decision-making has been prepared as one of the flagship products of the Global Campaign on Urban Governance, a campaign led by UNCHS in collaboration with a whole range of partners. As a strategic entry point for the effective implementation of the Habitat Agenda, the development goal of this Campaign is to contribute to the eradication of poverty through improved urban governance. To this effect the campaign aims to increase the capacity of local governments and other stakeholders to practise good urban governance. The Campaign theme is *inclusiveness* which reflects both its vision and strategy. The vision is to help realise the “Inclusive City” - a place where everyone, regardless of wealth, gender, age, race or religion, is enabled to participate productively and positively in the opportunities that cities have to offer.

Participatory decision-making processes are an essential means to achieve the “Inclusive City”. This toolkit, has been designed to enhance knowledge and capacities of municipalities and those working in the field of urban governance, especially, by improving and helping to institutionalise such participatory approaches. It is, therefore aimed at contributing to the realisation of “Inclusive City”.

The element of partnership has been an integral factor to the whole Urban Governance Campaign approach. In developing the Campaign strategy, vision and a number of campaign products, a number of international and regional partners have been included. The current toolkit, while highlighting the various tools developed and applied by UNCHS over the years, has also included participatory tools developed by these Partners and benefited from their comments and suggestions.

This toolkit will contribute to the wider dialogue, advocacy and capacity-building efforts towards good urban governance. The tools contained herein will form part of an electronic database of tools encompassing various principles promoted by the Urban Governance Campaign and would be subject to regular update.

Anna Kajumulo Tibaijuka,

A handwritten signature in black ink, reading "Anna Kajumulo Tibaijuka".

Executive Director  
UNCHS (Habitat)

# Table of Contents

	<i>Page</i>
Foreward.....	i
Acronyms and Abbreviations .....	iii
Acknowledgement .....	iv
<b>SECTION 1: INTRODUCTION .....</b>	<b>1</b>
1.0 INTRODUCTION .....	2
1.1 CONTEXT AND FRAMEWORK .....	2
1.2 THE PARTICIPATORY URBAN DECISION MAKING PROCESS .....	4
PHASE I: PREPARATORY AND STAKEHOLDER MOBILISATION .....	6
PHASE II: ISSUE PRIORITISATION AND STAKEHOLDER COMMITMENT .....	7
PHASE III: STRATEGY FORMULATION AND IMPLEMENTATION .....	8
PHASE IV: FOLLOW-UP AND CONSOLIDATION .....	9
1.3 THIS TOOLKIT .....	11
1.4 LOCAL APPLICATION OF THE GENERAL TOOLS .....	14
<b>SECTION 2: TOOLS TO SUPPORT PARTICIPATORY URBAN DECISION MAKING PROCESS 17</b>	
2.0 TOOLS TO SUPPORT PARTICIPATORY URBAN DECISION MAKING PROCESS .....	18
2.1 MUNICIPAL CHECKLIST .....	18
2.2 STAKEHOLDER ANALYSIS .....	22
2.3 PROFILE .....	28
2.4 VULNERABILITY ASSESSMENT .....	35
2.5 PROPOSITION PAPER .....	37
2.6 GENDER RESPONSIVE TOOLS .....	41
2.7 FACILITATION .....	45
2.8 CITY CONSULTATION .....	49
2.9 URBAN PACT .....	58
2.10 STAKEHOLDER WORKING GROUP .....	62
2.11 ACTION PLANNING .....	67
2.12 OPERATIONAL PROGRAMME FORMULATION .....	72
2.13 DEMONSTRATION PROJECT .....	77
2.14 ENVIRONMENTAL MANAGEMENT INFORMATION SYSTEMS .....	81
2.15 CONFLICT RESOLUTION .....	87
2.16 MONITORING .....	91
2.17 GUIDELINES FOR PROGRAMME EVALUATION .....	95
2.18 INSTITUTIONALISATION .....	98
<b>SECTION 3: GLOSSARY .....</b>	<b>103</b>
3.0 GLOSSARY .....	104
<b>SECTION 4: DETAILED REFERENCES - THE "YELLOW PAGES" .....</b>	<b>111</b>
4.0 DETAILED REFERENCES - THE "YELLOW PAGES" .....	112
4.1 ALPHABETICAL LISTING OF TOOLS .....	113
4.2 TOOLS LISTED BY PHASE (OF THE PARTICIPATORY URBAN DECISION-MAKING PROCESS) .....	114
4.3 DESCRIPTIVE LISTING BY ORGANISATIONS .....	115
4.3.1 United Nations Centre For Human Settlements (UNCHS - Habitat) .....	115
4.3.2 The World Bank .....	136
4.3.3 The United Nations Development Programme (UNDP) .....	139
4.3.4 International Council for local Environmental Initiatives (ICLEI) .....	140
4.3.5 German Technical Cooperation (GTZ) .....	141
4.3.6 Federation of Canadian Municipalities (FCM) .....	142
4.3.7 Institute for Security Studies .....	144
4.3.8 International Centre for the Prevention of Crime .....	145
4.3.9 National Committee for International Cooperation and Sustainable Development .....	147
4.3.10 International Co-operation Agency of the Association of Netherlands Municipalities (VNG) .....	148
4.3.11 Tools Developed/Used by Different Partners .....	149

## Acronyms and Abbreviations

---

CC	City Consultation
CBO	Community Based Organisations
CDS	City Development Strategy
CEMIS	Community Environmental Management Information Systems
DMP	Disaster Management Programme
EMIS	Environmental Management Information Systems
FCM	Federation of Canadian Municipalities
GIS	Geographic Information Systems
GTZ	German Technical Cooperation
ICLEI	International Council for Local Environmental Initiatives
IT	Information Technology
LA21	Localizing Agenda 21
NGOs	Non Governmental Organisations
NCDO	National Committee for International Cooperation, and Sustainable Development
SCP	Sustainable Cities Programme
UG	Urban Governance
UGC	Urban Governance Campaign
UMIS	Urban Management Information Systems
UMP	Urban Management Programme
UNCHS	United Nations Centre For Human Settlements (Habitat)
UNDP	United Nations Development Programme
UNEP	United Nations Environment Programme
VNG	International Co-operation Agency of the Association of Netherlands Municipalities (Verenigeng Van Nederlandse Gemeenten)
WB	World Bank
ZOPP	Objective-Oriented Project Planning [ <i>Ziel-Orientierte Project Planung</i> ]

# Acknowledgement

---

## **Direction**

Paul Taylor

## **Coordination**

Gulelat Kebede  
Chris Radford

## **Writing**

Jean-Christophe  
Adrian  
Bernd Decker  
Jorge Gavidia  
Chris Hutton  
Gulelat Kebede  
Cecilia Kinuthia-  
Njenga  
Dinesh Mehta  
Bridget Oballa  
Chris Radford  
Soraya Smaoun  
Raf Tuts

## **Editing**

Douglas McCallum

## **Photography**

Bernd Decker

## **Design and Layout**

Anne Audrey Ringler

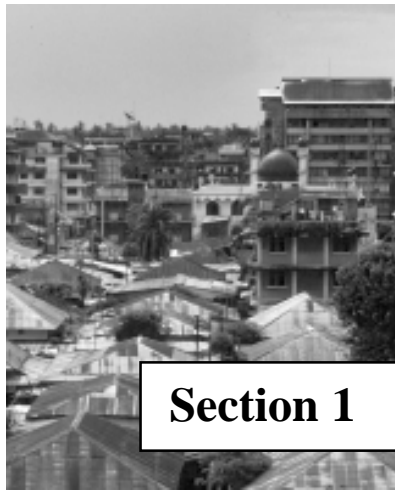
The Toolkit on Tools to Support Participatory Urban Decision-Making is the first in a planned series of toolkits designed to promote and support the urban governance campaign. It is the result of a concerted effort of a small group of UNCHS (Habitat) professionals who worked as a Flex Team over a course of one year. The Flex Team included Jean-Christophe Adrian, Liz Case, Andre Dzikus, Chris Hutton, Gulelat Kebede, Cecilia Kinuthia-Njenga, Dinesh Mehta, Chris Radford, Soraya Smaoun, Raf Tuts, Franz Vandershueren and Sara Wakeham. As members of the Flex team they brain-stormed on and ensured the design and structure of this toolkit, prepared discussion notes and met over a dozen times to discuss, enrich and strengthen the concept and tools contained in the Toolkit. Moreover they represented and shared the operational city experiences of their respective programmes - the Disaster Management Programme, Localising Agenda 21 Programme, Safer Cities Programme, Sustainable Cities Programme and the Urban Management Programme - in applying and adapting the various tools covered in this publication. The Flex Team was supported by Bridget Oballa, a national Consultant who assisted in liaising with the Flex Team members and contributed to the coordination, systematic integration of the discussion notes, writing and editing of the Toolkit.

Coordination of the exercise included initial thinking on the structure of the Toolkit and the process of its production, and also involved a great deal of reviewing drafts, writing and rewriting, to fill gaps and to ensure conceptual clarity and consistency.

Acknowledgment goes to Mohamed El Sioufi, Kibe Muigai and Nick You who took time to read and comment on the draft. Special thanks is accorded to Jorge Gavidia whose critique and suggestions helped to improve clarity on the overall context and structure of the Toolkit.

Sincere gratitude also goes to Yves Cabannes and Felicity Rose of UMP (the Latin America and Caribbean Regional Office), Kerstin Castenfors of Local Authorities Confronting Disasters and Emergencies, Sarath Fernando, Deputy Commissioner of Dehiwala Mt. Lavinia Municipal Council, Greater Colombo (Sri Lanka) and Carole Rakodi of Cardiff University for their comments and contributions.

Gulelat Kebede  
Focal Point, Toolkit,  
Urban Governance Campaign  
UNCHS (Habitat)  
Nairobi



## Section 1



## 1.0 INTRODUCTION

### 1.1 CONTEXT AND FRAMEWORK

**Urban Governance** is a dynamic process where competencies and responsibilities are continuously transformed, or added to the tasks of local authorities and their partners in urban management. There is also constant pressure on city managers to provide more efficient and effective responses to the needs of their cities and citizens.

New “management tools” to support processes of improved urban governance are therefore in constant demand. To meet it, a stream of guidelines and tools have been developed by local authorities, their national associations, research and capacity building groups, international organizations, and other external support institutions. The United Nations Centre for Human Settlements (Habitat), like other international organizations, has also made its contribution in this regard, especially as the focal point for implementation of the Habitat Agenda<sup>1</sup>. This has been primarily through its global and inter-regional support activities such as the Urban Management Programme (UMP), Disaster Management Programme (DMP); Sustainable Cities Programme (SCP); Community Development Programme (CDP); and Training on Local Leadership Programme.

As a result, there is a wealth of readily available tools to strengthen various aspects of urban governance. Despite their diverse origins, a large proportion of these tools are not only compatible but complementary: diverse user demands cannot be met by a single approach but judicious application of different tools, singly or in combination, will allow everyone to find what they need. Many of these useful tools remain unknown to potential users, however, because of the absence of any widely accepted and easily accessible referral system that can link users to tools and support tool use by a technical advisory/case study reference system.

The global Urban Governance Campaign<sup>2</sup> has therefore committed itself to overcome

预览已结束，完整报告链接和二维码如下：

[https://www.yunbaogao.cn/report/index/report?reportId=5\\_19399](https://www.yunbaogao.cn/report/index/report?reportId=5_19399)

