

The essential shift is from planning for people to planning with people, which engages their understanding, ideas, commitment and energy in planning and implementation.

4

The Planning Process

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The planning framework
The sustainable and integrated planning process
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Planning for sustainable communities requires a holistic approach that involves all stakeholders in an integrated process. This intermediate level is the first larger scale level at which real and meaningful community participation in planning is possible. Co-operation between municipal departments, government departments and with community and other stakeholders should be comprehensive and sustained during planning, implementing and review processes.

The planning process develops a shared vision among stakeholders, based on appropriate development and urban design principles and an agreed process and method. It is integrated with other institutional processes and involves community stakeholders to understand their needs, views and aspirations and to mobilise participation and support.

Participation enables communities to play an active part in developing their areas, to address their own needs and problems, and to build local capacity. Community involvement in the planning process requires:

- awareness of the opportunity to influence development and decision-making
- enhanced communication to inform people
- capacity building and community education processes
- involving political leaders and other representatives
- engaging or forming community structures for sustained participation

The essential shift is from planning for people to planning with people, which engages their understanding, ideas, commitment and energy in both planning and implementation.

The planning framework

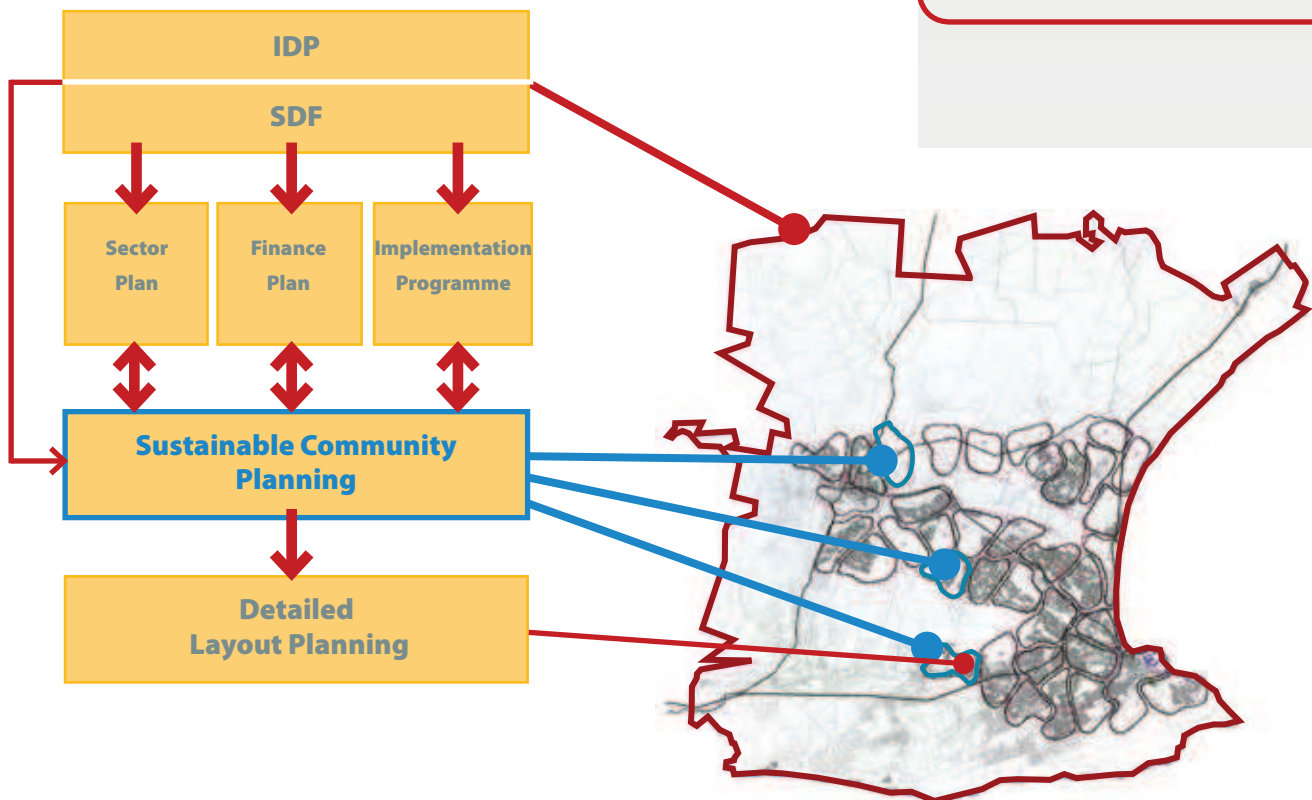
Spatial planning at the intermediate level is a component within the planning framework of the municipality. It is closely related to the principles of the Integrated Development Planning (IDP) approach and the linkage to the Spatial Development Framework (SDF) is emphasised. Furthermore, the role of the sustainable community unit planning is to provide a basis for the detailed planning and sector planning initiatives. In this way the different levels of spatial planning will be appropriately inter-linked and also connected to the financial and budgetary planning as well as to the implementation programmes.

Planning framework levels

Spatial planning at Sustainable Community Unit level links and fills the gap between municipal level IDP and SDF planning and more detailed layout planning.

- Integrated Development Plan, IDP
- Spatial Development Framework, SDF
 - Sector plans
 - Financial plans
 - Implementation Programme
- Sustainable Community Unit plans
- Detailed development plans

Application of the planning framework

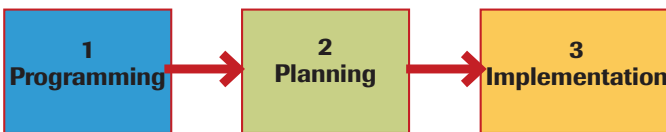


The sustainable and integrated planning process

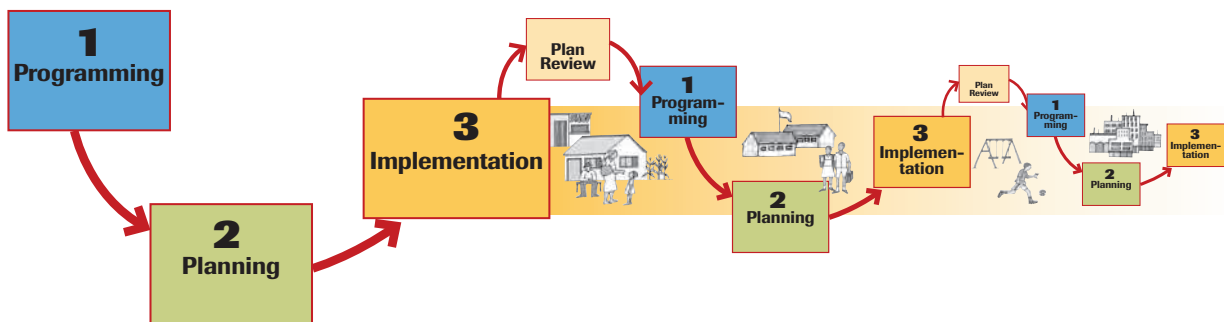
Planning and implementation are sequential and interconnected. Both involve parallel activities by a network of actors, and it is essential to establish project structures and clarify roles, participation, and communication processes. Intermediate level planning includes spatial and non-spatial aspects, and requires co-ordination of planning, implementation and co-operation among all stakeholders.

The Planning Process

The planning process has three main phases linked to each other.



Although different phases in the planning and implementation process are sequential, they may overlap. The Plan Review may also result in renewed planning activity and a new planning process will start. This process may continue over a long period of time.

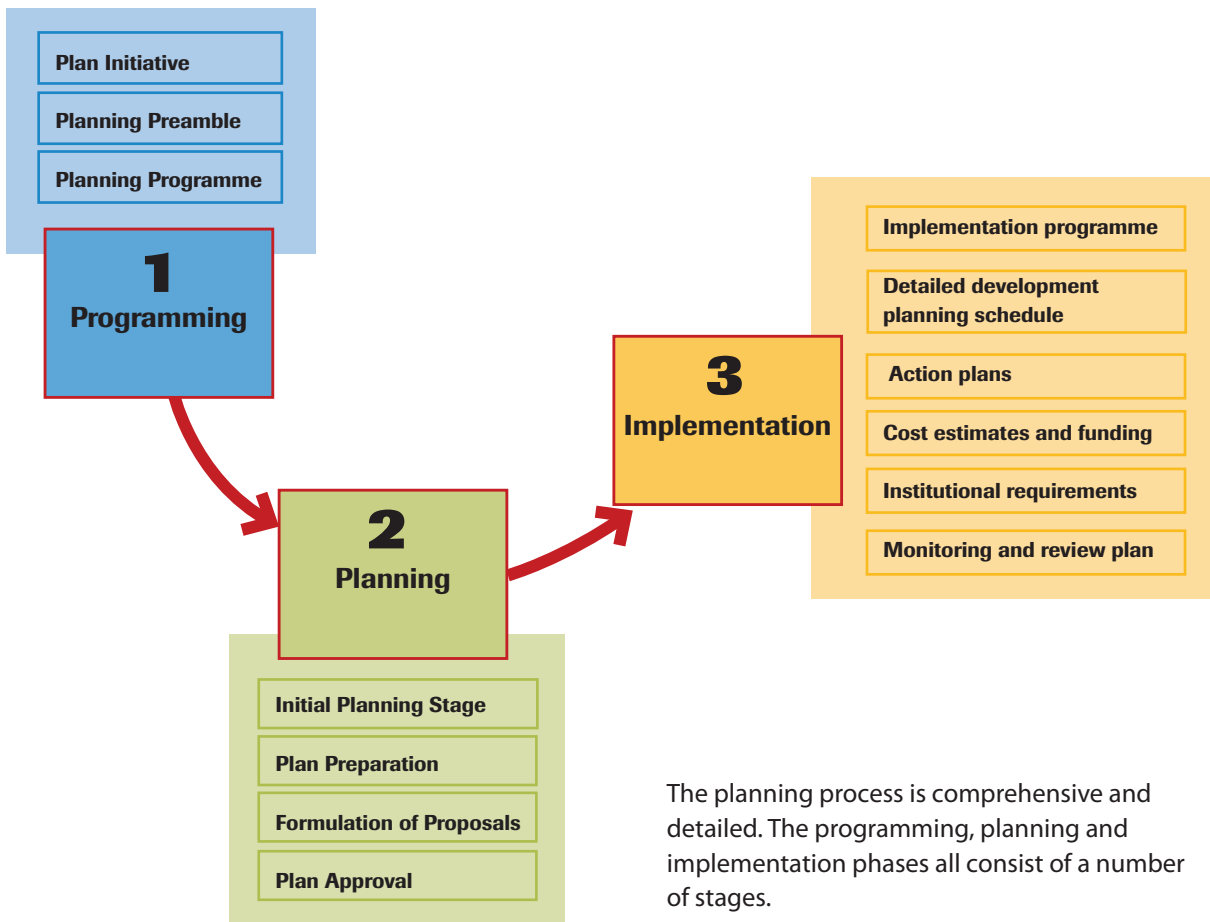


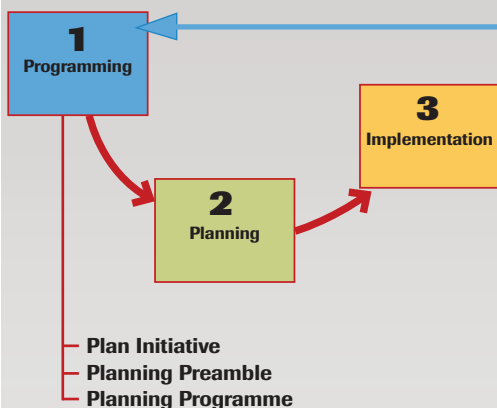
GLOSSARY

programming

preparatory planning

Stages of the Planning Process





Preamble Content

Planning background

- SDF
- Policies
- Sector plans
- Land use zoning

Proposed and approved projects

- infrastructure projects
- private sector projects
- provincial and national initiatives

Planning area delineation

- boundaries, review of SDF
- surrounding units and linkages

Existing conditions

- Physical conditions
- Service levels / standards
- Existing infrastructure services
- Existing social and community services
- Socio-economic
- Environmental

4.1 The Programming Phase

The Programming Phase involves the groundwork for the Planning Phase and consists of the:

- Plan Initiative
- Planning Preamble
- Planning Programme

In this phase the overall programme for the planning process is developed and approved, including the project background, needs, scope, goals, schedule of work and resources. This requires political commitment to planning the project and commitment of the necessary financial resources.

The Plan Initiative

When a municipality decides to prepare a community area spatial plan (in the context of IDP and SDF plans for long-term spatial development), the plan initiative:

- describes the project purpose
- re-states SDF recommendations
- outlines the vision for development of the area
- states the general principles to be applied

The municipal department leading the planning process presents the plan initiative as an initial proposal and motivation to politicians for discussion and approval, after which a cross-functional task team and steering committee should be established for the project. Already at this stage the involvement of the community representatives should be prepared and information should be provided to the community.

The Planning Preamble

Approval of the Plan Initiative leads to a preamble which outlines the existing situation, background, restrictions, uncertainties, proposed projects and expected results in greater detail.

Planning background

The background includes a review of existing plans and policies that affect the area and that may influence the plan. Sources can include:

- the IDP and SDF
- structure and sector plans for transport, infrastructure, open space, etc
- the IDP Implementation Programme
- the IDP Financial Plan
- policy documents concerning the area
- the Environmental Management Policy and Framework

Previously proposed projects

Actual and proposed development projects in the area that impact on spatial development are identified and assessed. These include housing, infrastructure, transport, service, environmental, local economic development, community assistance, and social development and private sector projects. Information on projects is facilitated by early stakeholder participation.

GLOSSARY

topography

the form of the landscape

demography

population profile/data

plan initiative

initial outline proposal

planning preamble

a comprehensive background description

Planning area delineation

The Sustainable Community Unit is delineated according to agreed criteria. Delineation depends on size, population, topography and existing urban features, road networks, public transport systems and planned development of existing, adjacent or new areas and is further more based on 2 km walking distance radius. Ideally this would be determined as part of the SDE, which would provide for the tentative delineation.

Current land use and regulations

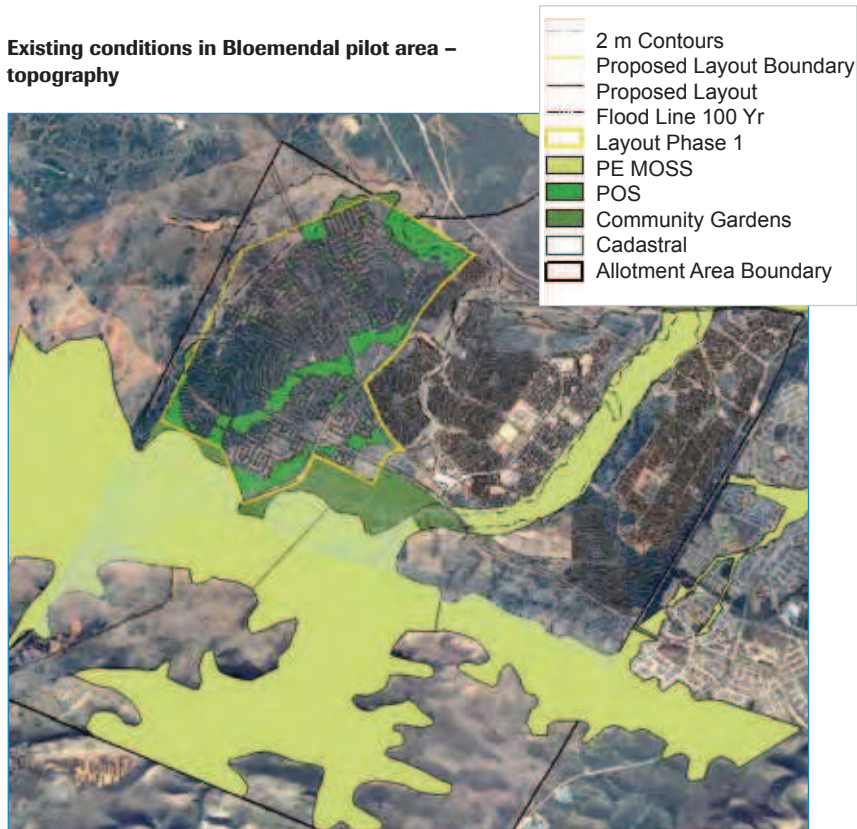
Current land use in the area is mapped using aerial photographs and field studies. The land use is compared to the land use regulations, using layout and zoning plans, records of re-zoning, subdivisions and changes of use. It may also be relevant to consider adjacent areas.

Existing conditions

The natural and built environment and features, opportunities and limitations for development must be described. The natural environment is mapped in terms of land, soil, vegetation, fauna, protected or sensitive areas, and current and potential negative environmental impacts must be specified.

Existing infrastructure, community facilities, and their capacity and condition are assessed, as development creates additional demands, and opportunities for upgrading. Information collected at this stage focuses on available data, but a baseline survey may be necessary, if information is limited. More detailed assessments and analysis are carried out in the Planning Phase.

Existing conditions in Bloemendal pilot area – topography



Issues to be included in the baseline study

Physical

- Topography
- Geology and Soils
- Vegetation
- Built-up areas
- Land-uses
- Housing
- Existing Infrastructure
- Services and facilities
- Servitudes

Environmental

- Natural resources
- Protected areas
- Sensitive environments
- Pollution
- Floodline

Socio-economic

- Community vision and perceptions
- Demography
- Economy
- Employment and income
- Unemployment
- Skills audit
- HIV/AIDS
- Participation and democracy

The baseline study will analyse the existing situation, assess the backlogs and constraints and identify the implications.

A baseline study can be carried out during the programming phase or as part of the planning investigations.

GLOSSARY

delineation

definition of boundaries

zoning

defines the purposes for which land may be legally used

fauna

types of animals

baseline survey

survey providing initial data against which future development is measured

servitude

right of access on property e.g. for a pipe line or an access road

Baseline Quality of Life Surveys

OBJECTIVE quality of life indicators

Demographic: mortality rate; fertility rate/ births; divorce/separation rate; female-headed households; orphans; household structure

Socio-economic: monthly household income; unemployment; registered new business; businesses getting assistance at business support centres.

Housing: Housing type categories, size; dwellings in private ownership; tenure, distribution of alternatives; occupancy rate

Services: Water for domestic use/service levels; electricity; sanitary services; roads, type of surface and drainage; public transport; availability of land-line telephones; playgrounds and green areas in housing clusters; municipal and community services.

Health: Infant mortality rate; child mortality rate; adult mortality rate; availability of street addresses; type of health service accessible

Education: Highest school qualification; tertiary level qualifications.

Democracy & participation: Registered voters; participation rate in elections; involvement in Community Based Organisations/NGOs.

SUBJECTIVE quality of life indicators

Level of satisfaction with accessibility in or near the neighbourhood of: health care services; primary health care services; playground and green areas; communal meeting place/ community centre; schools within convenient walking distance; shops for the purchase of daily groceries; public transport (bus stop); a taxi rank or taxi pick-up point; postal services; banking services (e.g. ATM); a pension pay-out points; a public library; public phones.

Quality of: health care at primary health care services; quality of roads; illumination at night; safety of persons and their possessions; police protection; pollution of the neighbourhood by domestic and other forms of solid or liquid waste; levels of air pollution; the draining of storm water after rain; recreational facilities.

Evaluation of the neighbourhood as a whole; Past–present comparison regarding the improvement of living conditions in the neighbourhood.

Information can be obtained through a baseline study at this stage or as part of the later planning investigations. The study can be carried out using a participatory approach. This will enhance the possibility to achieve closer co-operation with the community and to gain knowledge not only about existing conditions but also issues, expectations and priorities of communities.

The Planning Programme

The completion of the Programming Phase will include the Planning Programme, which describes the plan preparation process and recommends that council authorise it. The Planning Programme includes the proposed:

- timing and planning schedule
- resources required to undertake the planning
- institutional arrangements for planning
- arrangements for public participation and consultation
- communication strategy

The work plan for plan preparation

The work plan outlines activities, timing and distribution of responsibilities based on agreement and consultation with stakeholders, including provincial and national departments and contracted consultants and NGOs. The timing specifies benchmarks in the plan preparation process for decisions or presentation of results. Meetings of the steering committee and major stakeholders, reporting to political committees and progress reports are scheduled, together with proposed plan completion and approval dates.

The decision on planning programme

Council or a mandated sub-committee is responsible for the planning go-ahead decision. Documents required for this decision are the Plan Initiative and the Planning Preamble.

It is appropriate to involve community and stakeholder representatives at this stage, so they can contribute to goal setting and verification. Principles and mechanisms for participation should already be established.

Working with consultants

Much planning work is done for municipalities by consultants and it is important to employ only reputable and appropriately qualified professionals with proven experience. For SCU projects, it is essential that consultants understand the sustainable communities vision, principles and approach, and that they work closely with municipal officials who are responsible for projects.

In working with consultants, it is essential to formulate clear Terms of Reference which specify in precise terms:

- the purpose, nature and scope of the project and their contribution
- project phasing, project deliverables and time frames
- the budget and phasing of expenditure
- arrangements and conditions for payments
- clear roles, guidelines and processes for co-operation
- communication, reporting and monitoring procedures
- stakeholders to be involved, including community participation
- collaboration required with officials, stakeholders and organisations

In this approach, consultants are partners in the planning process, or some aspect of it, and it is essential that they understand the whole project and the SCUs approach.

4.2 The Planning Phase

This is the heart of the planning process, where creative design work determines the nature and quality of the development. It includes:

- The Initial Planning Stage
- Plan Preparation
- Formulation of Proposals
- Plan Approval

In the past, Plan Preparation focused on technical and environmental aspects, but a sustainable communities approach also emphasise:

- qualitative, non-spatial, economic and social aspects
- thorough preparation
- links between planning and implementation
- stakeholder consultation and participation
- co-ordination and co-operation between sectors, departments and spheres of government

Initial Planning Stage

The Initial Planning Stage establishes the framework and basis for Plan Preparation in terms of data and information, logistical and institutional arrangements, and a common understanding of goals, objectives and issues. Further and complementary investigations, field checks, analysis and discussion with stakeholders via meeting and workshops are now needed.

Start-up meeting

The start-up meeting or workshop which launches the plan preparation process includes:

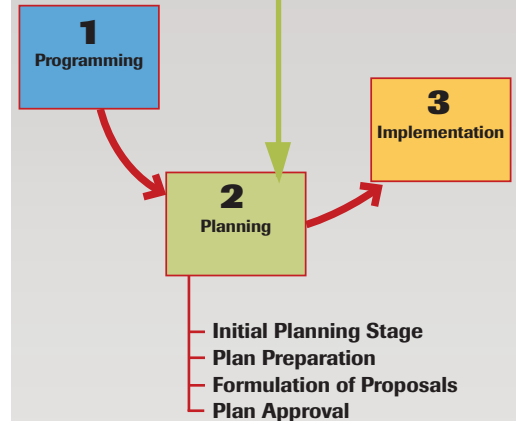
- a structured analysis of needs, problems and issues
- presentation of goals and objectives
- outline of the planning process activities and resources
- community involvement and stakeholder participation
- proposed mechanisms for communication, co-operation and management
- acknowledgement of risks and assumptions
- space for questions, discussion, feedback and input from participants

It is essential that all stakeholders attend the start-up meeting. Planners on the planning team, task team and steering committee (see section 5) lead the workshop, which should take place in the community unit.

Planning investigations

The need for planning investigations depends on the scope of the plan and gaps in available information. Methods include:

- baseline or complementary studies
- desktop studies
- mapping and updating of maps
- sample surveys and interviews
- field checks
- workshops and group discussions



Co-operation between planners, engineers and other professions

It is imperative that planners, engineers, land surveyors, architects, urban designers and quantity surveyors co-operate with each other to develop integrated and sustainable human settlements. The various disciplines should be engaged as early as possible in the plan initiative phase to facilitate joint understanding of the SCU approach and the nature, scope and deliverables of the project.

Designing service infrastructure for sustainable communities requires close co-operation between engineers, planners and professionals representing specific sectors, based on a shared SCU vision and design criteria. Layouts and service infrastructure need to be designed with social, human and aesthetic considerations in mind. Engineers need to understand the social intentions of planners and sector professionals, who in turn need to understand the practical engineering technologies, possibilities and constraints, and their related costs. This multi-disciplinary cooperation should result in a creative balance of practical realism and social idealism.

GLOSSARY

benchmarks

points in the process when specific things must be achieved

stakeholders

all groups involved, or with a direct interest in a project or organisation

verification

approval as valid



Politicians and planners can only learn all there is to know about a city from its residents – only they know their city well enough.

interpretation of
Jane Jacobs' statement

SCU planning – budget sources

- Political budget – preliminary SCU planning
- SDF funding – SCU is an outcome of SDF process
- Ward budget – Ward Committees consultation
- Transport funding – integrated transport planning
- Economic Business Unit – LED aspects
- IDP funding

Budgeting for Sustainable Communities Planning

Many aspects of SCU planning such as staff and normal operating costs will be funded via normal departmental budgets. However, provision must be made for additional extra-ordinary planning costs, including the following:

- The participatory process – meetings, workshops, transport
- Publicity materials – posters, pamphlets, booklets, exhibitions
- Up-to-date aerial photographs and maps
- Consultants
- Baseline Study
- Budgeting for implementation

It is also important to estimate staff capacity and time required from specific departments, as this is generally funded via their budgets. Budgeting for implementation is essential.

An up-to-date base map in digital format is essential, and can save on field surveys.

Aspects covered include physical, socio-economic, environmental, economic and community characteristics. Community meetings contribute information, verify issues and concerns and prioritize goals and objectives. Planning investigations provide a basis for identifying quantitative and qualitative indicators that can be used to evaluate results.

During the investigations a participatory approach should be used. Through this involvement the planners will have the opportunity to ensure that the objectives and issues are given the right priority and that the focus of the planning project is in accordance with aspirations and preferences.

Planning analysis and assessment

Analysis and assessment are based on information obtained in the Programming and Planning Investigation. Analysis includes aspects which determine spatial structure such as:

- land use distribution
- densities
- walking distances and pedestrian movements
- mixed development
- access to services and job opportunities
- traffic and public transport, infrastructure and service facilities
- topographical and physical conditions, to identify areas suitable for development
- sensitive areas, ecological conditions and flooding risks that restrict development

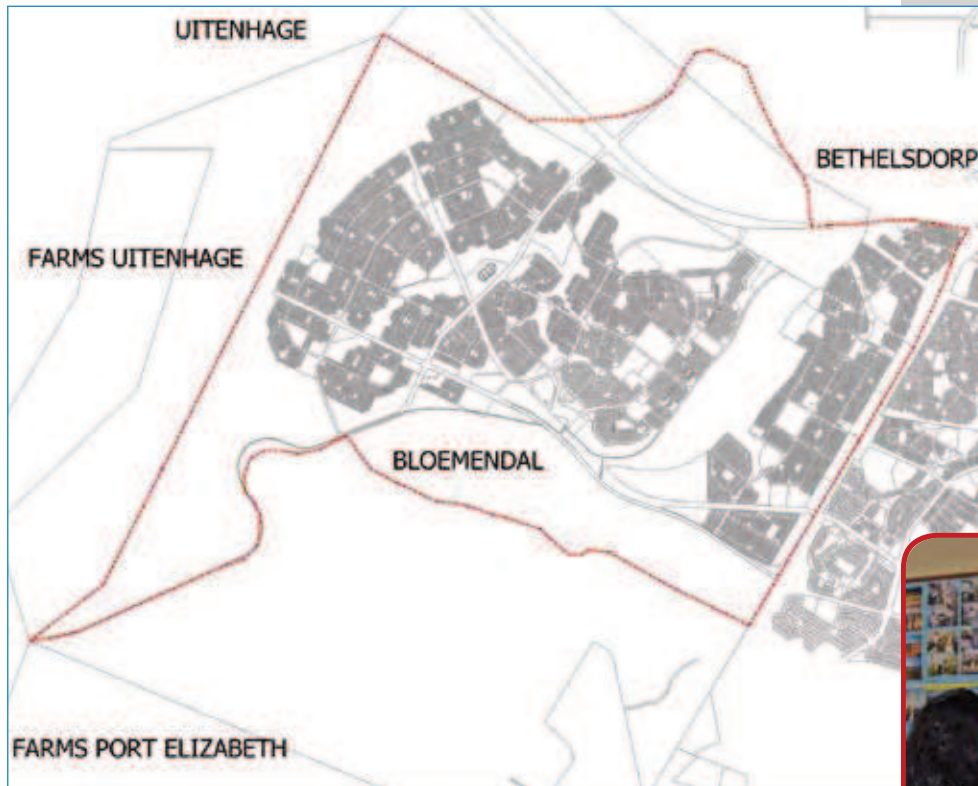
Non-spatial analysis deals with socio-economic aspects:

- demographic characteristics
- household structures
- employment and income levels
- safety and security problems to identify “hot spots” or “danger zones”
- the consequences of HIV/AIDS and other health and social conditions
- community characteristics such as self image and organisation

These factors are relevant to planning for economic development, affordability, standards and service provision, and community participation in the development process.

This stage concludes with estimated requirements regarding municipal and other resources needed to implement the project. Key factors that will impact on area growth and development and the resulting land requirements and spatial structure are:

- the population forecast
- assumptions regarding household structure
- economic development potential
- planning standards
- design principles



Surrounding areas, Bloemendal pilot project

----- PLANNING BOUNDARY

Assessments should verify issues and priorities agreed upon earlier. The participatory process may result in alterations and additions, which the steering committee should approve. The results are then presented to all stakeholders via a report, presentations, exhibitions and workshops.

Plan Preparation

This involves preparing alternative proposals and scenarios for spatial and non-spatial aspects of development, and assessing their environmental, social, economic and institutional impacts, together with community representatives and stakeholders.

Planning scenarios

The planning investigation, analysis and assessment and forecasts enable planners to prepare planning scenarios, which include alternative development strategies to solve problems, address issues and achieve goals. These can be rough sketches or more elaborate proposals, but should be easy to understand to enable evaluation by stakeholders.

Multi-disciplinary co-operation between municipal departments is necessary to formulating realistic alternative proposals and scenarios as a basis for the next stage – formulation of plan proposals.



Co-ordination with other development projects

Synergy is needed between the various urban development programmes. Current programmes in Nelson Mandela Bay Municipality include the Motherwell and Helenvale Urban Renewal Programmes; the Zanemvula Project (an Informal Settlement Upgrading and Human Settlement Development Project at the scale and level of the Cape Town N2 Gateway Project); Red Location precinct development, as well as the renewal programmes associated with the restructuring.

GLOSSARY

scenarios

different possible future situations or options

Environmental Impact Assessments

An environmental impact assessment is an assessment of the potential ecological, social and economic impacts of a proposed activity on the environment. The assessment is a management tool to facilitate sound environmental practices, by considering the impacts that will result during the implementation and decommissioning stages of a planned activity. The relevant authority, e.g. the Department of Environment, Economic Affairs and Tourism in the Eastern Cape, will decide whether an activity should proceed or not, and if so, how negative impacts should be prevented or mitigated. The new EIA Regulations, promulgated in terms of the National Environmental Management Act (NEMA) came into effect on 1 July 2006. The regulations provide for two types of environmental investigation – a Basic Assessment, and a Scoping and Environmental Impact Assessment, depending on the characteristics of the proposed activity. For further information on EIAs, contact the Department of Environmental Affairs and Tourism www.environment.gov.za



Central nodes scenario, Bloemendal pilot project



Impact assessment

The evaluation of scenarios involves assessing the impacts in terms of:

- the natural environment and resources
- qualitative aspects of the urban environment
- social and community aspects
- economic development
- financial implications
- institutional requirements

Impact assessments can be carried out in-house or by a consultant, but various municipal departments should be involved, and results presented to stakeholders in written information, workshops, meetings and exhibitions, giving participants the opportunity to comment and contribute.

Presentation of Results

Although there would have been continuous involvement of community representatives, politicians and other stakeholders, it is important to set aside time for formal presentation of the alternative solutions, scenarios, preliminary proposals and the results of the impact assessment to the various groups at this stage of the planning process.

Formulation of Plan Proposals

The proposals must take into account the results of the evaluation of scenarios and the impact assessments. They will include development strategies and land use proposals, implementation aspects and funding, and will cover the following spatial and non-spatial aspects:

- evaluation of preliminary planning proposals
 - spatial aspects
 - non-spatial aspects
- economic development
- environmental concerns
- socio-economic development
- social development and services
- infrastructure services
- the implementation programme
- financial aspects
- administrative and institutional development

The community unit plan identifies areas for layout plans and specific projects, and recommends their phasing and timing.

Plan Approval

Procedures for plan approval are prescribed by planning legislation, and municipal councils have the power to adopt intermediate level community unit plans that conform to their spatial development frameworks. Following the decision, the approval can be announced and presented to the community through exhibitions or other means of communication.

Issues on which public/community acceptance is necessary

The Planning Programme

- community representation
- formulation of objectives
- identification of issues

Plan preparation

- assessment of issues and priorities
- verification of objectives
- evaluation of scenarios
- plan proposals

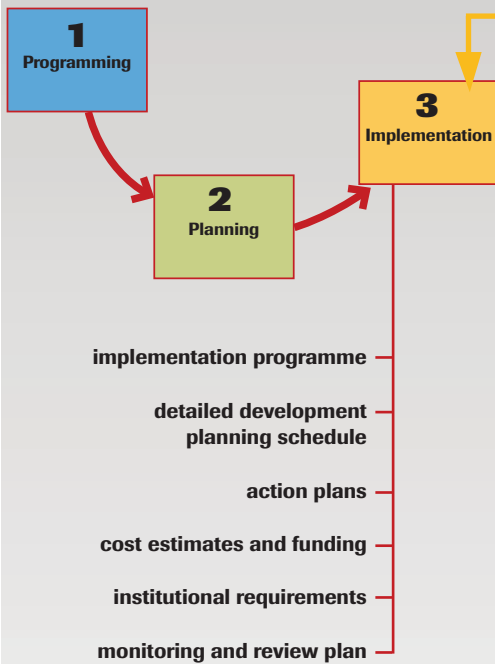
Implementation

- implementation programme
- detailed planning process
- cost sharing
- community involvement



**Plans proposals,
Bloemendal pilot project**

NOTATION	ZONING
	20-30 UNITS / HA
	30-40 UNITS / HA
	35-65 UNITS / HA
	40-70 UNITS / HA
	EXISTING RESIDENTIAL
	PROPOSED RESIDENTIAL
	ACTIVITY CORRIDOR
	REGIONAL BUSINESS CENTRE
	LIGHT INDUSTRIAL
	NMBM MOSS AREA
	PUBLIC OPEN SPACE
	OTHER:
	PLANNING AREA BOUNDARY
	MAJOR ARTERIALS
	MINOR ARTERIALS
	PROPOSED EXTENSION OF STANDFORD ROAD



Urban Development Funding Sources

- Municipal Infrastructure Grants (MIG)
- Acquisition of Land for Housing and Related Development
- Local Economic Development (LED)
- Integrated Development Planning (IDP)
- Project Consolidate (PC)
- Municipal Service Partnerships (MSP)
- Urban Renewal Programme (URP)
- Intergovernmental Relations Framework (IGRF)
- Housing funds
- Provincial funding

4.3 The Implementation Phase ◀

The Implementation Phase will vary depending on the scope and nature of the development project. It includes a strategy, detailed planning, identification of development projects and actual construction, monitoring and maintenance. The link between planning and implementation is an important aspect of the IDP process. At the Sustainable Community Unit level the implementation programme will be detailed and concrete.

Implementation programme

The Implementation Programme provides the strategy and timing for the realisation of the plan proposals. It will facilitate efficient co-operation between municipal departments and involve other stakeholders.

An implementation programme includes:

- a schedule for implementation and construction
- a detailed development planning schedule
- action plans and responsibilities
- cost estimates and funding arrangements
- institutional requirements
- stakeholder roles and responsibilities
- a community participation process
- co-ordination of inputs by municipal departments, other government agencies, consultants, developers, landowners, contractors, NGOs and community
- a monitoring and review plan
- a maintenance and land use management plan

In the Implementation Phase, the planning team becomes or is replaced by the project management team, with an appropriate shift in membership to include key managers from departments central to implementing projects, e.g. engineering, housing and transport, also provincial departments such as health, welfare and education.

The steering committee could be expanded to include new actors, as the focus shifts from planning to implementation. The municipal unit managing implementation is responsible for:

- co-ordination of the project management team
- detailed planning of sub projects
- ensuring financing of infrastructure
- overseeing construction work
- overall monitoring and quality control
- chairing the steering committee
- organising stakeholder participation

A workshop involving all stakeholders should approve the Implementation Programme.

Detailed development planning schedule

The SCU plan will indicate the phasing of the proposed development, which will be approved by the municipal council but would still be tentative. Moving into the implementation phase, the detailed planning schedule is prepared to specify the delineation of project areas and the

GLOSSARY

land use management plan
shows the location of various land uses

timing for detailed plan preparation and construction. This schedule will be important for the preparation of programmes for infrastructure and service provision.

Action plans, cost estimates and funding

The detailed planning schedule is followed by more precise action plans, outlining activities and distribution of responsibilities. At this stage engineering designs are prepared, that will be used for final cost estimates and for securing funds.

Institutional requirements may include the setting up of a project management team, reference groups, monitoring and evaluation teams and municipal co-ordinating departments.

Stakeholder and community responsibilities

The stakeholders and communities will be involved in the implementation in different degrees depending upon agreements regarding sharing of responsibilities. In particular, if it is assumed that stakeholders will play a role in construction, operations and maintenance, they need to be consulted early in the process. Public-private partnerships and public-community partnerships for service provision and other aspects should be prepared at this stage.



Phasing of detailed development planning and implementation, Bloemendal pilot project

LAND USE	
NOTATION	ZONING
[Color swatch]	PHASING SYSTEM 1A
[Color swatch]	PHASING SYSTEM 1B
[Color swatch]	PHASING SYSTEM 2A
[Color swatch]	PHASING SYSTEM 2B
[Color swatch]	PHASING SYSTEM 2C
[Color swatch]	PHASING SYSTEM 3A
[Color swatch]	PHASING SYSTEM 3B
[Color swatch]	PHASING SYSTEM 3C
[Color swatch]	PHASING SYSTEM 4A
[Color swatch]	PHASING SYSTEM 4B
[Color swatch]	PHASING SYSTEM 4C
[Color swatch]	PHASING SYSTEM 5
OTHER	
[Color swatch]	PLANNING AREA BOUNDARY
[Color swatch]	ACTIVITY STREETS
LEGEND & KEY NOTES	
PHASING	
PHASE 1A (1) WILLIAM SLAMBERT CONNECTION	
(2) ACTIVITY STREET / MIXED USE	
(3) INFILL DEVELOPMENT IN BOOYSENS PARK COMMUNITY CENTRE	
(4) INFILL DEVELOPMENT ON VACANT LAND	
PHASE 1B (5) SUBSIDY HOUSING AT LOW DENSITY	
PHASE 2A (6) INFILL RESIDENTIAL AT HIGH DENSITY	
(7) LIGHT / SEMI INDUSTRIAL	
(8) OPEN SPACE ON RAILWAY RESERVE	
PHASE 2B (9) SUBSIDY HOUSING AT LOW DENSITY	
PHASE 2A (10) HIGHER INCOME LOW DENSITY HOUSING	
PHASE 2B (11) HIGHER INCOME HIGH DENSITY HOUSING	
PHASE 3C (12) NATURE RESERVE	
(13) PUBLIC OPEN SPACE	
PHASE 3D (14) LIGHT / SEMI INDUSTRIAL	
PHASE 4A/C (15) MIXED DENSITY HOUSING SUBSIDY HOUSING	
PHASE 5 (16) BUSINESS PARK	

Housing Programmes

- Project Linked Subsidies
- Housing Subsidy Scheme (HSS)
- Rental Housing Subsidy
- Institutional Subsidy Housing
- Human Settlement Redevelopment Programme
- Establishment Grant
- Hostel Redevelopment
- Incremental Housing
- Social (Rental) Housing
- Informal Settlement Upgrading
- Inner City Housing
- Infill Housing
- Special Needs Housing: AIDS, disabled, aged, etc.
- Co-operative Housing
- People's Housing Process
- Bank Financed Housing
- Employer Assisted Housing

Monitoring and Plan Review

Monitoring methods are identified in the programming phase, and monitoring starts during the planning phase, as an aspect of project management. Monitoring is based on outcomes of different stages of the planning and implementation process, specified in work programmes, schedules and budgets. A feedback and reporting system keeps all actors and stakeholders informed on progress and any problems that arise.

Planning process monitoring

The municipal team managing the project is responsible for monitoring planning activities. Monitoring tools include checklists, benchmarking, critical path schedules, and planning process indicators.

The achievement of qualitative goals and objectives must be assessed using the criteria of integration, mixed development, higher densities, accessibility and availability of services, provision for employment opportunities and quality of environment. Community and stakeholder participation in the planning process is also monitored, and records kept of all events and activities in the process, to facilitate evaluation and review.

Implementation monitoring

At the intermediate planning level, implementation is a direct continuation of the planning process, and the two may overlap, with detailed planning continuing after implementation has begun. The implementation process is complex, involving many actors over a long period of time, and requires ongoing municipal management, co-ordination and monitoring. The project steering committee monitors the project and requires regular and appropriate reports from the project management team.

Information is usually stored in each municipal department, but new digital technology, networks and a general GIS greatly facilitate information sharing, co-ordination and reporting. Monitoring as an integral aspect of project management:

- provides regular and timely feedback
- enables assessment of progress
- identifies problems to be solved
- tracks adherence to schedules and deadlines
- tracks expenditure against budget
- tracks stakeholder participation
- checks performance of contractors, the quality of work and other qualitative dimensions

Internal monitoring, reporting and evaluation should happen at regular meetings, and community feedback and participation should inform these processes.

Plan Review

IDP, SDF and sector plans are reviewed and adjusted every five years, but community level plans may need to be reviewed more often. A Plan

GLOSSARY

GIS

Geographic Information System – computer-based mapping and data information system

Review may require council approval, and can be limited to certain aspects, components, areas or issues – the complexity and scope depend on the needs.

Maintenance and land use management

Maintenance and land use management occur after implementation, but sustainable community principles should guide ongoing regulation of development, zoning and land use. Maintenance and its cost need to be taken into account at the planning stage, and included in cost recovery estimates. If implementation and maintenance involve community participation and cost-sharing, this needs to be agreed and included in the implementation programme and financial plan.

Example of report format

1. Introduction
2. The Study Area in Context
3. Baseline Study
4. Goals and Development Principles
5. Main Proposals
6. Components
7. Consequences of Proposed Plan
8. Phasing of Development



The plan reveals its value only with implementation

Project Steering Committee Terms of Reference

- Review the planning need and plan initiative
- Develop the vision and goals of the Sustainable Community Unit plan
- Decision on key issues to be considered in the planning process
- Review the need for a baseline study
- Confirm and verify the planning area boundaries
- Agree on the work programme and time schedule for plan preparation
- Develop a communication programme and participation approach
- Undertake site visits and meet with community representatives
- Review results of investigations, surveys, analysis and assessments
- Verify the objectives, issues and priorities for the planning project
- Comment on alternative scenarios, preliminary planning proposals and the implementation programme
- Consider and make recommendations on final proposals prior to approval by standing committees and council
- Promote the Sustainable Community Unit plan and concept
- Guide the implementation of the plan

4.4 Project structures

The structures responsible for planning and implementation have a determining influence on the planning approach and implementation. Co-ordination and co-operation between municipal departments, government departments and other stakeholders is essential. The initial stage of the planning process establishes the project administration structure, involving relevant municipal actors. Project management responsibility needs to be clearly located, and a steering committee, planning team (project management) and inter-departmental task team are formed early in the process.

The steering committee

The project steering committee includes appropriate political and senior departmental representatives who meet regularly during the planning and implementation process and at particular milestones when:

- reports and results are considered
- key workshops mark the beginning and completion of process stages
- specific plans and proposals are finalised

The steering committee reports to official municipal committees and decision makers.

The planning team

The planning team manages the overall project including the planning process, communication strategy and co-ordination of inputs from other departments and stakeholders. They carry out, delegate or contract out aspects of actual planning. The role of the planning team changes on completion of the Planning Phase, and its composition is reviewed in the Implementation Phase, as responsibility shifts from planners to those who manage implementation.

The task team

The task team includes representatives from relevant departments and co-ordinates the planning process and plan preparation. Its composition may change during the process phases, depending on who is most needed. The lead department and planning team are responsible for project management, including overseeing the task team representing:

- Spatial Planning
- Housing
- Transport
- Infrastructure Engineering
- Environmental Services
- Economic Development
- Any other relevant stakeholder

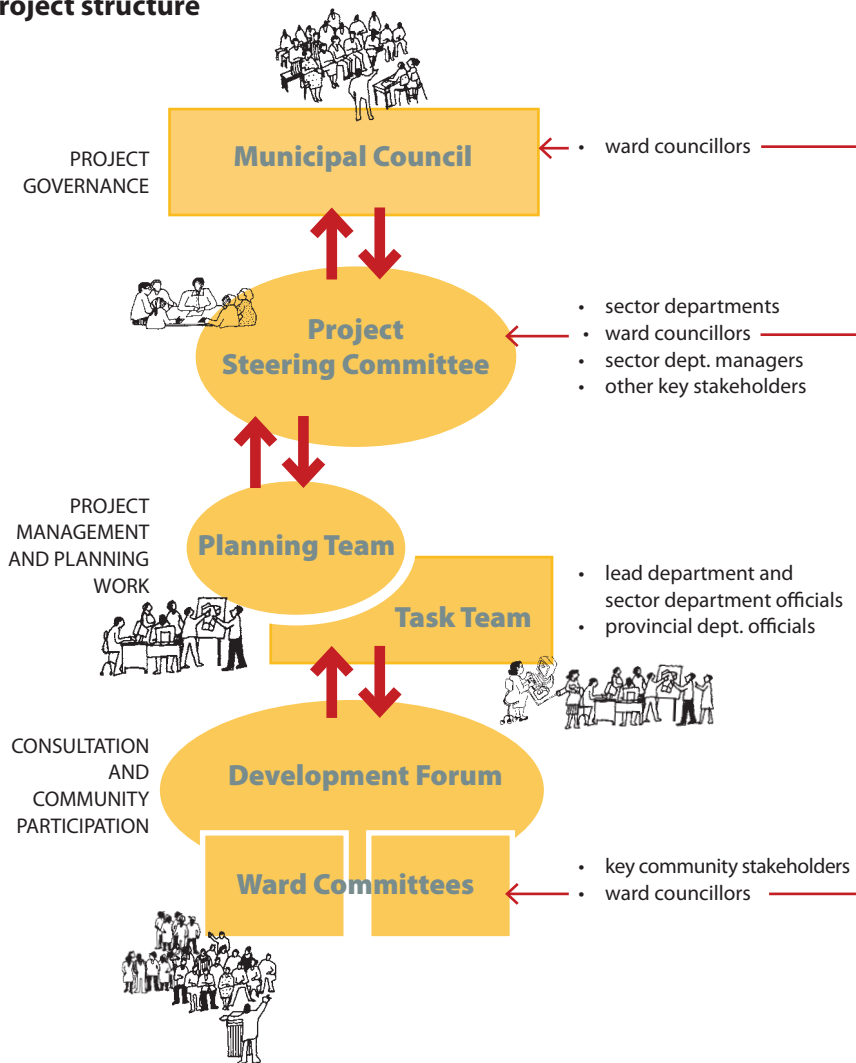
Inter-departmental co-operation

The integrated approach to planning and development requires close co-operation and links between departments with technical, social and financial responsibilities such as:

- *Technical* – Infrastructure Engineering, Housing, Land Acquisition, Transport, Roads, Parks, Water and Sanitation,

- *Social* – Health, Environmental Services, Economic and Enterprise Development, Tourism and Agriculture, Safety and Security, Sport, Culture and Recreation, Community Development, Urban Agriculture, Social Services
- *Financial* – Budget and Treasury

Project structure



Planning Team responsibilities

- dissemination of information (the planning preamble, survey, workshop, participatory event and meeting reports, planning scenarios, planning proposals and communication and implementation programmes)
- arrange consultation with municipal departments, community representatives and other stakeholders
- collect data and information
- mobilise other units to compile, analyse, review and assess issues and proposals
- co-ordinate implementation

Task team responsibilities

- Review progress and monitor the programme
- Provide input and advice on time schedules and deadlines
- Channel requests for contributions from other units
- Assist in collecting and presenting information
- Advise and assist in appointment of consultants
- Review reports and findings
- Assist in the community participation program and public presentations or hearings
- Recommend adjustments or additions to alternative solutions and preliminary proposals and implementation programmes
- Provide guidance and support on issues contained in the Sustainable Community Plan
- Distribute information to all stakeholders within the municipality

4.5 Institutional linkages

The IDP process emphasises that not only should there be integration at the municipal administrative level, but close co-operation and co-ordination should also be effective between different spheres of government. In the initial stages, linkages with relevant provincial and national authorities should be reaffirmed, contact persons identified and methods of communication agreed upon.

It is essential to involve national or provincial departments with local responsibilities such as education, health, welfare policing and environmental protection, as they need to contribute to area planning, and incorporate it in their own plans and budgets.

Links to other agencies

The Breaking New Ground Strategy

of the National Government, also known as the Comprehensive Plan for the Development of Sustainable Human Settlements, is very clear on the principle that services infrastructure is more than the provision of water, roads, electricity, sanitation, etc.

There is a need to move towards the more holistic development of human settlements, including the provision of social and economic infrastructure. It is therefore essential that the need for such social/community and economic facilities should be identified in the audit and planning stages. A multi-purpose cluster involving various stakeholders should plan the provision of facilities such as parks, playgrounds, sport fields, crèches, community halls, taxi ranks, satellite police stations, municipal clinics and informal trading facilities.

Cluster agencies could include, but are not limited to:

Government Departments, National and Provincial:

Agriculture and Land Affairs, responsible for rural development and land management

Arts & Culture – the development of the economic potential of cultural activities

Education – responsible for the provision of educational facilities and programmes

Environmental Affairs and Tourism – the use and protection of natural resources, EIA's, etc

Health – health service provision

Housing – housing delivery policies and programmes

Provincial and Local Government – integrated governance

Minerals and Energy – energy efficiency, renewable energy and energy planning

Public Works – management of state property and implementation of public works programme

Safety and Security – prevention of crime, maintenance of public order

Social Development – poverty reduction, social welfare, etc.

Sport and Recreation – promotes participation in sport and recreation

Trade and Industry – facilitates access to sustainable economic activity and employment for all through higher level of investment

Transport – facilitates provision of an affordable, safe and sustainable transport system

Water Affairs and Forestry – ensures availability and supply of water

Parastatals

Eskom, Telkom, Post Office, Transnet

Private Sector

The Coega Development Co-operation and the local Chambers of Commerce and Industry (PERCCI, Comsec, NAF-COC), and the Mandela Bay Development Agency, are all local agencies that could play a role in sustainable community planning

NGO's and CBO's

NGO's such as the Urban Services Group, Development Action Group and Built Environment Support Group

CBO's

e.g. Bethelsdorp Development Trust, Helenvale Development Trust, Church Groups

4.6 The Integrated Development Matrix

An Integrated Development Matrix has been prepared that aims at facilitating the co-operation and co-ordination of the municipal departments and external actors in the planning and implementation process. While the matrix is generally applicable, it will also provide a basis for the more detailed communication programme.

The Matrix identifies the responsibilities of different municipal departments. It also deals with the role of provincial and national authorities and the involvement of private sector and community stakeholders. For the efficient use of the Matrix it is important that there are established procedures for meetings and for exchange of information.

Matrix

Planning Framework

Stakeholders

	Housing & Land	Infrastructure Engineering & Electricity	Health	Environmental services	Economic Development, Tourism & Agriculture	Sport, Culture & Recreation	Safety and Security	Budget and Treasury	Communication Office	IDP Office	Constituency Co-ordinator	Office of the Mayor	National	Provincial	Private sector
Planning	IDP/Spatial Development Framework														
	Intermediate Level Planning														
	Sustainable Community Plan/Structure Plan														
	Town Planning Layout/Design														
Implementation	Decision to phase development														
	Survey Peg														
	Implementation of engineering services														
	House design and construction														
	Develop public areas and facilities														
	Maintenance														

In the matrix the responsibilities of each stakeholder are specified at each level of the planning framework

Stakeholders ►

Planning Framework ▼	Housing & Land	Infrastructure Engineering & Electricity	Health	Environmental services	Economic Dev., Tourism & Agriculture	Sport, Culture & Recreation	Safety and Security
Spatial Development Framework	Population forecasts Land requirements Growth directions Land availability SCU delineation Spatial development phasing 5/10 year housing plan needs Incorporate sector programs and needs Co-ordinate public consultation Implementation program	Availability of infrastructure Bulk extension costs Public/private transportation efficiency and availability Water services development plan/Water Master Plan Integrated transport plan and public transport plan Storm water master plan Sewerage master plan	Population needs and vulnerability	Strategic Environmental Impact Assessment of the SDF Environmental considerations; as per greening policy Proximity of residential areas to major health threats SEA/NMBMOSS (biodiversity and implementation policy) Coastal management policy Cemetery provision, min 100 ha each Waste management plan Abakwetha provision	Type, size, location of land needed for commercial/retail, industrial, agriculture, residential, informal, etc. Includes the identification of land for crops and livestock on the periphery of the urban area Provide information on socio-economic profile of metro population	Land for major sporting needs Provide information on existing facilities and expected needs Identification of heritage sites/areas	Disaster management plan Traffic security Overall security needs
Sustainable Community Planning /Intermediate Level Planning	Prepare preamble and plan program Establish steering committee and task team Present program to Council Co-ordinate participation and present to community Assess accessibility to local support centres Data collection Identify needs and co-ordinate sector needs Formulate plan principles and objectives Arrange workshops Prepare spatial plan with development proposals Incorporate sector needs Present results and exhibit plan Review goals and objectives Suggest phasing of development, detailed planning program Prepare implementation program	Provide info. about infrastructure programmes Identify service needs Incorporate plan proposals Review implications Stormwater master plans and management plans for areas Sidewalks and cycle tracks	Provide info. about services and needs in clinics, HIV/AIDS, primary health care	SEA of the SCP Environmental conditions information Sensitivity mapping Water/air pollution risks Waste management provisions Environmental management requirements Greening policy	Provide info. on socio-economic profile of the area (this may include assessment of LED needs, skills audits etc). Facilitate the multi-functional use of space/facilities/buildings Assess issues of employment	Provide information about needs Assess location of proposed facilities	Identify security needs Assess location of police facilities Assess proposals from security and safety point of view Identify problem spots Assess emergency implications

The Integrated Development Matrix

SDF
Spatial Development Framework

MOSS
Metropolitan Open Space System

EIA
Environmental Impact Assessment

SEA
Strategic Environmental Assessment

SCP
Sustainable Community Plan

EMS
Environmental Management Strategy

NGO
Non-Governmental Organisation

CBO
Community Based Organisation

Budget and Treasury	Communication Office	IDP Office	Constituency Coordinator	Office of the Mayor	National Departments	Provincial Departments	Private sector NGOs & CBOs
Capital expenditure budget and forecast Assess and make known the long-term financial implications		Co-ordinate public consultation	Co-ordinate public consultation and input from Councilors and Ward Committees		Policy directives and info. on programmes in housing, education, welfare, health, transport Departments of Transport, Housing, Health and Welfare, MCM	Policy directives and info. about programmes in housing, education, welfare, health/clinics provisions Department of Transport, DPLG and Housing, Health and Welfare and Agriculture Consultation process; Implication assessment and co-ordination with provincial planning Approvals	Participation in process by providing information and expressing views Identifying needs
Co-ordination with capital expenditure budget and finance plan Secure budget Ensure inclusion in implementation program			Co-ordinate participation and present to community		Information about programmes and policies in housing, education, welfare, health/clinics, transport	Co-ordination with provincial development program in terms of housing, education, health/clinics, welfare Incorporate proposals in provincial development and operational plans, Department of Education, Health and Welfare, DPLG and Housing, Finance	Participation in process Providing information about plans and development programmes Submitting comments Incorporate proposals in business operational plans

Stakeholders ▶

Planning Framework ▼	Housing & Land	Infrastructure Engineering & Electricity	Health	Environmental services	Economic Dev, Tourism & Agriculture	Sport, Culture & Recreation	Safety and Security	
Town Planning Layout/Design	Planning and co-ordination of design process Satisfy need for integration mixed unit types, erf sizes and socio-economic groups – some residential erven for sale? Community involvement Review/apply standards for the provision of services	Technical design and cost Test layout options vs cost – engineering efficiency formula Transportation – public/private efficiency and availability	Access to facilities eg. police, parks, clinics, community facilities, schools Cluster community facilities rather than spread Nutrition – vegetable gardens, ploughing fields Design for disabled, children, aged, HIV/AIDS – special needs groups	EIA Provision of parks and open spaces Evaluate environmental competence of engineering solutions e.g. canalisation of water courses Proximity to waste management sites, recycling depots Wheely bin sites Proximity to land for Abakwetha Avoid health threats	Accessibility to ploughing fields Informal business opportunities Formal business opportunities Work close to home Cultural/ agri-tourism potential and opportunities	Proximity to land for sports functions	Safety aspects of the layouts Availability of police, fire, ambulance Lighting General safety	
Decision to phase development	Co-ordination need	Cost implications from servicing point of view	Access to facilities	Acquire funding on maintenance budgets	Access to facilities (to inform phasing)	Access to facilities	Access to facilities	
Survey Peg	Co-ordination			Bush clearing Soil erosion				
Implementation of engineering services	PHP (People's Housing Process)	Co-ordination to avoid waste eg, digging up trenches for each service separately		EMS	Advice, support & development of local labour (training)			
House design and construction	Placing house on site design – streetscape PHP		House quality House design	Develop parks simultaneously with houses i.e. use top soil from new roadways etc.	Advise on design to facilitate economic activity, and on positioning of unit/s on stands (for eg. to accommodate food gardening) Support & development of local labour			
Develop public areas and facilities	Timeous liaison with non metro providers: police, province, post office, bus etc.		Prioritise certain needs for development	Prioritise areas for development Develop parks Tree planting in road reserves	Market business/ commercial and industrial land Formalise informal businesses Develop tourism destination	Develop sports facilities	Police, fire and emergency	
Maintenance	Facilitate repairs, maintenance in conjunction with developers, contractors	Develop maintenance plans	Develop maintenance plans	Develop maintenance plans	Continuous support Develop community maintenance programmes	Develop maintenance plans		

The Integrated Development Matrix

	Budget and Treasury	Communication Office	IDP Office	Constituency Coordinator	Office of the Mayor	National Departments	Provincial Departments	Private sector NGOs & CBOs
	Identify funding sources Be aware of financial implications					Policy and planning directives		
	Finance implications							
	Finance implications Other funding sources							
	Finance implications							Employment of local community Skills transfer

REFERENCES

References – funding and related assistance

- Municipal Infrastructure Investment Unit
www.miiu.org.za
Innovative solutions to municipal finance and management of services (water, sanitation, waste, energy, transport, etc.)
- IDASA
www.idasa.org.za
Education and training to empower local councils and communities for effective and accountable Local Government
- National Business Initiative
www.nbi.org.za
LED and effective governance for Local Government
- Hologram
www.hologram.org.za
Joint Action SALGA, DPLG, USAID on learning research and sharing across municipal sector
- SALGA
www.salga.org.za
- National Department of Housing
www.housing.gov.za
- National Housing Finance Corporation (NHFC)
www.nhfc.co.za

for your notes

At the sustainable community level, objectives concern the community more directly, the issues are more concrete and it is possible to influence development.

5

Community and Stakeholder Participation

CHAPTER CONTENTS

Community participation
Stakeholder involvement
Participants in the planning process
Communication strategy
and programme

Sustainable Community Unit or intermediate planning is the first level in terms of scale at which meaningful and direct community participation is both possible and necessary. At the Spatial Development Framework level the focus is on the vision and general municipal planning issues and the effect on communities may be less obvious. In the detailed planning stage the conditions for development are already established and substantial changes may be costly. At the Sustainable Community Unit level the objectives concern the community more directly, the issues are more concrete and it is possible to influence development. Community and stakeholder involvement at this level of planning will facilitate detailed planning and project implementation.



Community involvement and sharing of responsibilities require mobilisation

5.1 Community Participation

Community and stakeholder participation is essential throughout the planning and implementation process, and a communication strategy is needed to inform and engage the community, the politicians and the municipal administration. Involvement of people directly affected by planning proposals should begin in the initial planning stages.

Ward committees and development forums representing community organisations and stakeholders with specific interests such as the business sector, landowners and service providers should be included. Information meetings and hearings in the early stages of the process serve to:

- present the intention to prepare a spatial plan
- share the municipal vision, development principles and goals
- hear community needs, aspirations and priorities
- describe the process, including community participation

Later in the planning process the results of surveys, identification of issues, alternative solutions, planning scenarios, the implementation programme and cost implications are presented and discussed.

5.2 Stakeholder Involvement

The community is the primary stakeholder group, but other stakeholders with specialised capacities and responsibilities are essential. The identification of relevant stakeholders should be done during the early stages of the Programming Phase. Early contacts will contribute to identification of issues and priorities. Stakeholder involvement is particularly important when interest groups are expected to play an active role in the implementation process and in operation and maintenance.

Stakeholder participation requires commitment, transparency in the process, acknowledgment of alternative views, ideas, time and human resources. Properly handled, participation contributes to consensus and acceptance of proposals and will facilitate implementation.

The involvement of organised, representative stakeholder groups facilitates communication and participation. However, some may be better organised and resourced than others and exert undue influence, which must be balanced by public sector representatives. The community in an area may not be homogeneous, but may consist of numerous groups and stakeholders with different perspectives, aspirations, and interests. Some problems and solutions may be easy to agree upon, but there may be opposing views and interests.

There is always a need for compromises, and the municipality is responsible for final decisions and plans, guided by sound development principles and policies and advised by a steering committee representing all key stakeholders.

Benefits of community participation

- assists in formulation of goals and objectives
- ensures that community issues and concerns are taken into account
- generates a feeling of ownership of the plan amongst inhabitants
- enables communities to express their needs, aspirations, priorities and preferences
- facilitates formulation of planning proposals and implementation programmes that are supported by the community
- creates a better understanding of the development process and encourage the community to meet challenges and use opportunities for active involvement in local initiatives
- achieves consensus on priorities regarding projects and development programmes.



Stakeholders participating in a planning workshop

GLOSSARY

aspirations

what people hope to achieve

homogeneous

all the same

stakeholder

anyone involved and having a direct interest

Interest groups

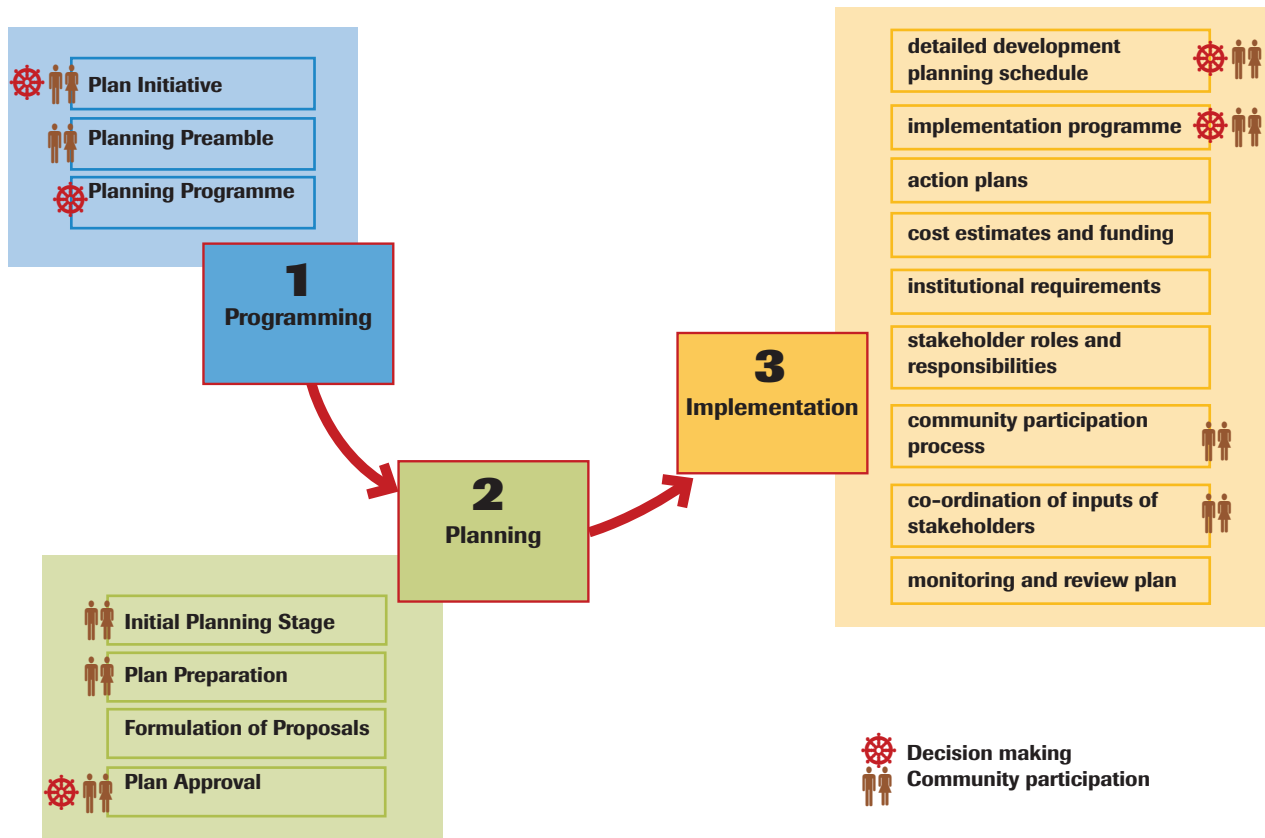
- business
- the building and construction sector
- the transport sector e.g. taxi associations
- social services providers
- civic associations and local forums
- NGOs
- CBOs and religious organisations
- environmental groups
- political organisations

5.3 Participants in the Planning Process

The community and stakeholder participation process involves a variety of actors with different roles and responsibilities in the planning and implementation phases:

- decision makers
- plan preparation and co-ordinating teams
- the community
- implementing agencies (including contractors)
- supporting agencies

These actors participate via the steering committee and task team and can participate in development forum, ward committee and project meetings and workshops.

Community participation and decision making in the Planning and Implementation Process



Masithetisane = Come, let's talk together





Plan with people, not for them, plan for development, not for control!

Developing Learning Opportunities in the Comprehensive Urban Planning, Port Elizabeth and Kimberley, 1998

Local community groups

- community members
- NGOs and CBOs
- community projects
- contractors
- businesses
- transport providers
- community based service centres

Decision makers

The decision makers are involved throughout the process, from approving the Plan Initiative through to deciding implementation contracts. Council, sub-committees and municipal units are the main actors. The steering committee facilitates the planning process and prepares and supports key decisions such as approval of:

- the Plan Initiative
- the Plan Programme and Work Programme
- the goals, objectives and issues
- the Plan (plan proposals)
- the Implementation Programme

Plan preparation agencies

Plan preparation is the responsibility of the lead municipal department via the planning team which works with and co-ordinates the task team. Aspects of plan preparation can involve working groups of key officials and consultants in:

- Land/urban planning
- Housing
- Transport Planning
- Economic Affairs
- Environmental Services
- Infrastructure Engineering
- the IDP Unit
- Provincial departments
- Consultant organisations

The community

Beneficiaries can contribute to planning and implementation to the extent that their involvement is planned in the communication programme and enabled by effective communication and participatory methods. Local organisations and individuals may also be beneficiaries, if involved in construction, maintenance and service projects that receive funding or contracts, and pay for local work.

The community should be involved throughout the planning and implementation process. Methods will vary depending upon the purpose and practicalities. In the initial period the verification of objectives and the identification of issues and priorities are sought, while in the planning phase and implementation programming consensus and mobilisation of stakeholders are expected.

Ward councillors and committees

A Sustainable Community Unit may include a number of wards, and all ward councillors must participate in the planning process. Ward councillors need to:

- share information with organisations in their wards
- represent the needs of stakeholders
- liaise with other ward councillors and municipal officials regarding development needs and project priorities
- keep the community informed on development issues and the planning process and outcomes

GLOSSARY

NGO

non-governmental organisation

CBO

community based organisation

Development fora

In communities where the structure and variety of interest groups and stakeholder organisations is complex and difficult to co-ordinate, it is appropriate to establish a development forum to facilitate communication, consultation and participation of other organisations and groupings. Fora should include councillors and representatives of all significant community organisations and stakeholder groups in the area.

Implementing agencies

Implementing agencies include municipal and provincial departments and private sector and community based contractors. Technical departments such as infrastructure engineering, environment and waste management have their own implementation programmes and projects, and co-operation and co-ordination is crucial. The IDP Unit and Finance Department have a key role to play in co-ordinating resource allocation and project budgets.

Investors, financing institutions and contractors are stakeholders during implementation, and the communication programme must ensure that they understand and support the vision, principles and quality standards of the project.

Supporting actors and agencies

The steering committee plays an overall supporting and monitoring role. Other supporting actors such as technical departments and consultants assist the planning team and task team with investigations, studies, surveys, data collection, analysis and assessments, plan preparation and implementation. At community level, ward and street committees, NGOs, CBOs and the development forum can contribute.

Provincial and national agencies that support and finance housing and infrastructure projects, or provide specific services, will provide information and assess needs in their sectors.



Planning during a workshop with stakeholders

Supporting actors, authorities and agencies:

- steering committee
- ward committees
- street committees
- development forum
- provincial departments
- national agencies
- technical departments
- consultants
- NGOs and CBOs
- ESKOM



Stakeholders in the planning process

Examples of communication tools

Dissemination takes place in the initial stage of planning. The purpose of dissemination is to inform people about a proposed planning project. It is one-way communication. For this purpose announcements in newspapers, radio, TV and on posters can be used.

Consultation which is a two-way communication often takes place between smaller groups of stakeholders. Maps and reports are examples of the tools used. Consultation can also be done during formal plan exhibitions presenting plans, sketches and proposals.

Participation actively involves the general public. A model, illustrative plan, maps, photos, drawings, information brochures and exhibitions are examples of communication tools for this purpose. Surveys can be useful for information gathering and consultation.

Mobilisation aims at active involvement of particular stakeholders. Brochures, posters, illustrated questionnaires and booklets describing the vision, layout and implementation plans can be used to mobilise participation.

5.4 Communication Strategy and Programme

Municipal, provincial and national departments and other stakeholders need to receive information throughout the process. The communication strategy provides the process and means for effective communication, consultation, participation and co-operation. It specifies the stakeholders, and how they are involved in and contribute to the process. The Integrated Development Matrix is a useful tool for mapping co-operation and communication among municipal departments. (see chapter 4 page 112)

The communication programme is planned at the start of the planning and implementation process. It identifies target groups and their representation, communication methods, and the nature and timing of key communication events and activities in the process. The communication programme can be presented to the decision makers for approval and to gain their commitment.

Communication methods

The communication strategy includes different methods depending on the target group and the stage of the process at which the communication activity will occur. The methods are:

- Dissemination of information
- Consultation
- Participation
- Mobilisation

Dissemination of information

Dissemination of information enables participants and stakeholders to understand the content and consequences of the planning programme and proposals. Methods and presentations must be designed to reach particular target groups, and should include direct contact. Dissemination of information is particularly relevant in the initial stages of the process, when specific results of studies and analysis become available, and on completion of the planning process.

Consultation

Consultation should not be limited to the legally required minimum of calls for comments and submissions, as fuller consultation and participation via interactive sessions allows communities and other stakeholder to engage with, contribute to and influence decision making to a greater extent. Consultation may be general or focus on specific issues, but must be based on adequate prior dissemination of information.

Participation

Participation means active involvement to obtain views and constructive inputs from those affected by and involved in the planning, to achieve an understanding of, contributions to and acceptance of proposals. The ideal is that communities become partners in the process of planning their own development.



Drama can be a very effective tool in communication with a community

Mobilisation

Mobilisation entails involvement in planning, implementing, maintaining and evaluating housing, infrastructure, services and the environment. Shared responsibility leads to community development, organisation, responsibility and co-operation. Mobilisation requires enhanced communication, municipal involvement, support and monitoring.

Communication strategy management

Communication strategy management is the responsibility of the project planning team together with relevant political committees. The steering committee, task team, development forum, or other local or contracted organisations can participate in managing aspects of the communication programme. A schedule for communication should be established by the planning team and steering committee, based on planning process phases, key steps and decision points.

The Integrated Development Matrix is an essential tool for the communication strategy management (see chapter 4).

Communication programme in different planning phases

The programme for communication will be prepared at the commencement of the planning period and should cover the entire planning and implementation process. It should identify the means and methods to be used, timing of events in relation to the process and timing of planning inputs, target groups and their representation. The major events in the programme should be identified. The programme for communication should be presented to the decision makers for acceptance and confirmation of commitment. The content and methods used may vary over time and this should be described in the programme.

Communication in the Programming Phase

Already at the Plan Initiative Stage, planners interact with other municipal departments. A joint task-team facilitates co-operation, exchange of information and active input in plan preparation, while politicians are involved through council, sector sub-committees or on the steering committee.

Initial community and stakeholder communication focuses on introducing the planning project and proposed communication mechanisms, using structures such as ward committees and local forums. In some situations it is appropriate to establish a consultative development forum to facilitate communication with diverse groups.

If a baseline study or area-specific investigations are required, methods that involve the community and encourage active participation are relevant. Results should then be presented to all stakeholders, and used as a basis for agreeing goals and objectives. It is not practical to involve entire communities, but rather representative organisations and structures. However, information on the project and the results of this consultation can be distributed more widely.

The planning team should, in this initial stage, organise a workshop to agree on the plan programme, roles and distribution of tasks, methods and



Exhibition panels explaining basic Sustainable Community planning terms



Stakeholder participation in a planning workshop

GLOSSARY

dissemination

distribution or communication of information

consultation

asking for comments and feedback on proposals and plans

participation

active involvement in planning

mobilisation

motivating people to participate



Voice from the community

Examples of municipal community partnerships

Municipal/Community partnerships in the Nelson Mandela Bay Metropolitan Area include:

Bethelsdorp Development Trust – a community-based initiative aimed at developing the tourism, heritage and environmental potential of the greater Bethelsdorp area through community empowerment, job creation and poverty eradication.

The Motherwell and Helenvale Urban Renewal Programmes – aims to unlock the economic, social and community potential through co-ordinated urban renewal programmes.

Stakeholders in these programmes and initiatives include the three spheres of Government, the Development Bank of Southern Africa, the respective communities, various local NGO's and CBO's, and private sector organisations.

means for co-operation and co-ordination.

Participants include:

- relevant municipal departments
- the task team
- steering committee
- representatives of ward committees in the area
- ward councillors
- portfolio councillors
- community representatives
- key stakeholder representatives

Communication in the Planning Phase

The planning phase is the most intensive period, also for communication with stakeholders, community representatives and interest groups. Content may often be technical, but must be presented in a way that can be easily comprehended and discussed.

The planning team is responsible for project management, including the communication programme, and involving members of the task team in planning work. Consultation with relevant municipal departments and provincial and national agencies is essential to incorporate their programmes, projects and requirements in the plan proposals. Regular meetings with the steering committee and community representatives must be scheduled to present findings and planning scenarios, and verify issues and priorities.

The Initial Planning Stage includes a start-up meeting involving all stakeholders, at which the communication and participation programme is agreed. Representatives decide on how best to distribute information from the start-up meeting to their organisations.

On-site visits by groups of stakeholders are an effective way to present, illustrate and discuss issues and aspects of a Sustainable Community Unit plan. The planning team has direct contact with community representatives, and a local site office facilitates communication.

During this stage the work group and task team consult and co-operate intensively with different municipal units to align the spatial planning with sector plans and other development projects.

Plan Preparation including formulation of scenarios, alternative solutions and impact assessments involves the work group, task team, steering committee and development forum, ward committees and specific interest groups. Formulation of Plan Proposals and Plan Approval requires that views and comments are submitted by all stakeholders.

Communication in the Implementation Phase

The links between planning and implementation processes in sustainable community planning and the communication programme prepare for community involvement in implementation. The range and number of stakeholder groups may now increase, as local initiatives and local management become part of the process.

The communication programme needs to be monitored and adapted over the relatively long period of implementation. However, the steering committee, ward committees, development forum, project management and task teams can continue to function.

The implementation period starts with a workshop to clarify the activities, responsibilities and co-ordination of the programme. Community involvement and direct contact with local groups intensifies as the focus shifts to detailed planning, housing provision and service facilities.

Communication with provincial and financing agencies and service providers is crucial for efficient implementation. In the municipality, linkages between implementation, the financial plan and budget management need to be established in the communication programme.

Process stage	Council Steering Committee	Municipal units	Community Stakeholders	Other govt. agencies
Programming				
Plan Initiative	Consultation	Consultation	Information	Consultation
Preamble	Information	Consultation Participation	Consultation Participation	Consultation
Planning Programme Proposal	Approval	Consultation	Consultation Information Mobilisation	Information
Planning				
Initial planning	Consultation	Consultation	Information Participation	
Planning analysis and assessment	Information	Participation	Consultation	Consultation
Alternative proposals and scenarios	Consultation	Consultation Participation	Information Consultation Participation	Information Consultation
Plan Proposal	Consultation	Information Consultation	Consultation Information	
Plan Approval	Approval	Information	Information Consultation	Information
Implementation				
Detailed planning Implementation programme	Consultation Approval	Consultation Participation Mobilisation	Information Consultation Participation Mobilisation	Participation Mobilisation

Aspects of the implementation programme

- specific development projects
- housing delivery programme
- infrastructure development programme
- service provision programmes
- community based maintenance

Cities have the capability of providing something for everybody, only because, and only when, they are created by everybody.

Jane Jacobs



INDABA and UBUNTU – community newsletters are a useful means of communication in a community planning process



Community representatives discuss plans on site with a smaller group of stakeholders



Masithetisane at the stadium involving a large group of people

5.5 Learning and capacity building in the planning process

This guidebook will be useful to the extent that it is used. This section outlines possible ways to use the guide, and related learning and capacity building processes. This latter theme is the subject of an earlier guide *Developing Learning Opportunities in the CUP (Comprehensive Urban Planning) Process in Kimberly and Port Elizabeth 1998*, which can be referred to for more detail.

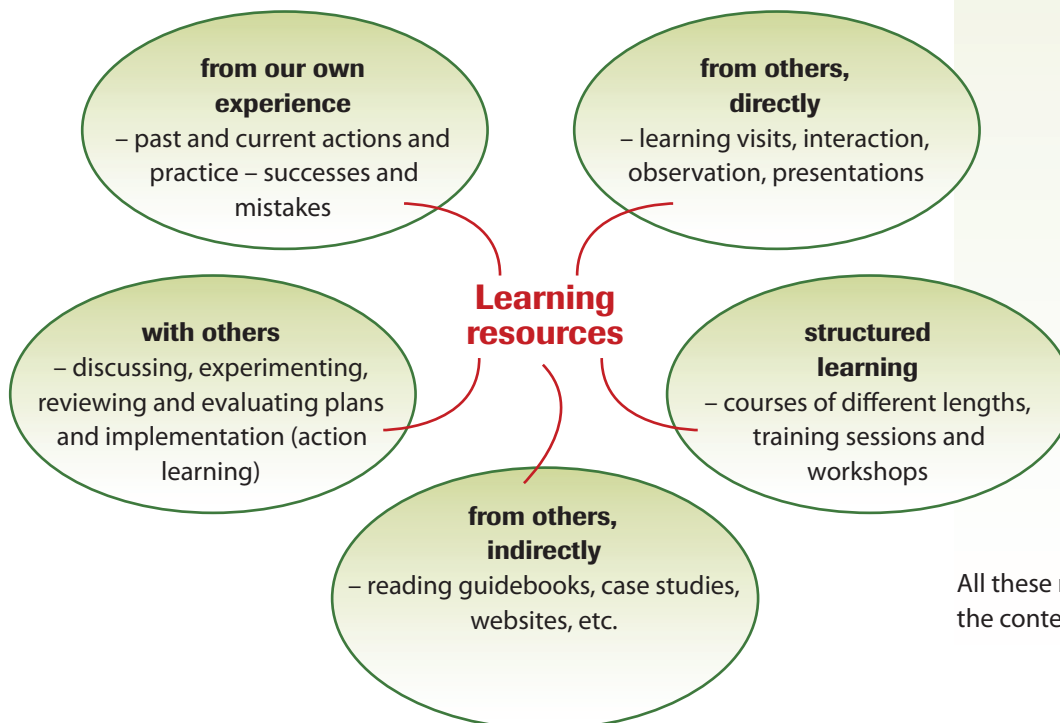
People inevitably and naturally learn and develop capacity when they participate in any challenging and complex process, particularly when others are involved. However, there is often a far greater potential for learning and developing capacity, if this is undertaken consciously. This is particularly relevant and necessary when undertaking new, challenging and innovative projects.

Every planning project is an opportunity for real learning and capacity development on the part of all those involved, which is a real benefit for committed participants. This should be a project objective that is articulated, planned for, monitored and managed. The core learning process is to use an action learning approach and to consciously manage learning, capacity development and ongoing improvement, using a variety of learning methods and resources.

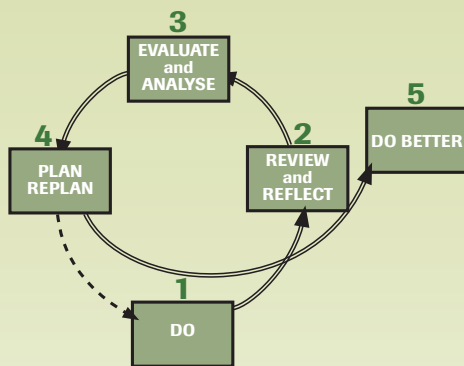
Such learning should relate to both:

- **what** we are doing, or the content or subject – in this case sustainable community planning, and
- **how** we are doing, or our processes and interaction – management, communication, co-operation, sticking to schedules and budget, etc.

Sources of learning in the planning process



All these methods can be used in the context of a planning project.



Action learning

In real situations it is too late to wish for a better education, a higher qualification or more prior experience! The only option is to learn in and from the situation and from each other, and often this practical ‘on the job’ or action learning is most effective and efficient, as we learn what we need in practice, and we learn by doing. Implementation and feedback are far more immediate than in more structured and formal learning situations. People quickly learn how well what they have planned works, and from their successes and mistakes.

This is why pilot projects are a sensible approach – implement and test the plan on a small scale, then review, evaluate and learn from the pilot in order to improve the plans for the larger project.

Action learning as a method for continuous improvement is a general process that can be applied by all project teams and structures. It requires that planning, monitoring reviewing and evaluating are managed as an integrated process. This should be applied not only to the content of work, but also to the processes and interaction, both within and between groups.

Using the guide as a learning resource

Action learning is a powerful method for self-reliant and ongoing learning that can be applied by individuals, groups, whole projects and even organisations. However, other learning resources are important to supplement action learning, particularly for new and innovative undertakings such as sustainable community planning.

In such instances the experience and wisdom of others who have ‘gone ahead’ and pioneered the territory is an essential resource, that can help avoid many pitfalls and enable accelerated learning – we don’t have to repeat all the same experiments and mistakes when we can learn from the successes and failures of others. This of course is the purpose of a guidebook. But guidebooks only work to the extent that we study, refer to and learn from them, and relate their content to the actual situation in which we find ourselves.

Individual use

Individuals can and should be encouraged to read and use this guide as a reference and source for developing their own understanding and approach, in general and for particular aspects. This is relevant for all stakeholders.

Group or team use

Groups and structures involved in a project can use the guide as a common source of ideas, guidelines and learning. This will be enhanced by presentation and discussion of relevant aspects at appropriate stages of the project. There are many ideas and examples on spatial planning, concepts and diagrams that can help with planning of processes and participation, and lists that can be used as planning checklists, or for monitoring, reviewing and evaluating (e.g. the principles checklists at the end of sections on the six functional elements in chapter 3).

The guide also points the way to finding other best practice examples and learning resources.

GLOSSARY

action learning

consciously learning from practice how to do better by reviewing, evaluating and replanning

An official project planning guide

A council or steering committee could make this the official guide for all spatial planning projects, or for a particular project. It is then essential that all key actors are familiar with the contents of the guide, as the source of the planning principles and approach.

Community Capacity Building in the Sustainable Communities Planning Process
Objectives

- Promote local participation and responsibility
- Promote Local Economic Development
- Promote interaction with civil society and private sector
- Promote administrative, political and fiscal decentralization
- Empower local civic society and particularly women in the development process
- Integrate statutory and non-statutory consultation processes rather than regard the former as more important.

How to enhance learning in the planning process

- Participation – involve people in the process and allow adequate time for consultation
- Promote delivery systems that involve the community in creating the new urban future rather than merely being recipients of the benefits.
- Programmes that enable participants to access economic opportunities and credit and to participate in pilot projects around immediate community needs, to sustain interest and commitment. Integrate SCU planning with other community development initiatives.
- Break participation into components that are easy to identify and group to expedite understanding
- Capacity building amongst municipal staff on sustainable communities planning
- Develop a comprehensive plan for community participation in all the various aspects of the project
- User friendly techniques, e.g. illustrations to promote understanding. Use local language and examples.
- Use familiar methods/techniques to disseminate information (radio, print, pamphlets, drama, loudhailers)

for your notes

for your notes

Conclusion

Planning sustainable communities is clearly complex and involves

- key development and planning principles
- various content areas and spatial elements
- a number of linked processes over a significant time period
- a network of participating actors and stakeholders.

This guide set out to clarify the above aspects, and to share a methodology to integrate and manage them, in order to plan and develop Sustainable Community Units with an improved quality of urban life. The intention has been to focus on essential elements and general processes that are likely to be relevant in different situations, without being prescriptive. Every project and situation is unique, and the guidelines may need to be adapted.

However, the key principles on which this planning approach is based are increasingly recognised as not only desirable but also necessary, both for creating more ideal urban living conditions and for reasons of sustainability. The challenge is to work towards realising these ideals in developing countries and communities characterised by poverty, a lack of resources and capacity, and significant inequalities. This requires high levels of commitment and co-operation, ongoing learning, innovative solutions and ongoing building of a range of capacity or competencies.

Sustainable development includes and integrates both the development of people and their situations and standards of living. Such development cannot be delivered to passive recipients – it needs to be done, and this requires active participation and a partnership approach.

The importance of sustainability and integration as overall development principles and goals has been stressed, and they need to guide all planning, decision making and implementation at all levels. Whether planning at the SDF, sustainable community or neighbourhood level, sustainability and integration are equally important and applicable – if the aim is better planning which results in better communities and built environments. Even small initiatives and projects can demonstrate best practices and have a significant impact, if these principles are taken seriously and are realized in practice. The real challenge is, however, to plan larger Sustainable Community Units in an integrated manner, as outlined in the guide.

Glossary

A

accessible
easy to get to

action learning
consciously learning from practice how to do better by reviewing, evaluating and re-planning

adjacent
next to

aesthetic
concerning beauty

affordable housing
housing for low income households, which is usually subsidized

allocation processes and criteria
the process whereby services, sites and houses are provided and the factors considered in deciding who will receive them

allotments
small individual garden plots in a communal garden area

alternative and sustainable technologies
technology that does less harm to the environment and uses renewal energy sources

artisan
someone practising a trade

aspirations
what people hope to achieve

assets
things owned that have significant economic value

B

built environment
the urban environment including buildings, open spaces and infrastructure

baseline survey
survey providing initial data against which future development is measured

balanced urban structures
areas with a balance of different uses (residential, services, economic activities and recreation) and of built and green environments

Batho Pele means 'Putting people first'
A government initiative to enhance the quality and accessibility of services by improving efficiency and accountability to the recipients of public goods and services

benchmarks
points in the process when specific things must be achieved

biodiversity
variety of species of plants and animals

biomes
areas with specific natural vegetation

biodiversity hotspots

areas with unique and endangered species of animals and plants

C**capacity building**

developing the skills and abilities of people, groups or organisations

CBD

Central business district of a city or town

CBO

community based organisation

character

unique qualities

chicane

narrowed section of a street

clean production

the production of goods and services processing less waste, or none at all, and that do not use toxic man-made chemicals

cluster layouts

cluster housing where vehicle access and/or speeds are limited

coaching

helping people improve their performance by facilitating reviewing, evaluating and planning, and by giving feedback and advice

community fabric

that which characterises and binds a community together

compliance

acting in accordance with a law or regulation

conservation

protection of nature

consultation

asking for comments and feedback on proposals and plans

corridor development

densified development along major routes where mobility, accessibility and the provision of public transport concur

D**delineation**

definition of boundaries

demography

population profile/data

densification

increasing the number of residential or other units per specified area, e.g. by building adjoining units, multi-storey buildings and having smaller plots

development principles

key values that guide development

disparities

differences causing inequalities

dissemination

distribution or communication of information

dormitory

place for sleeping for many people

E**ecological**

in harmony with nature and the environment

economic integration

integrating marginalised groups into the mainstream economy

economic sustainability

the ability of an area or community to earn income in order to cover its costs on an ongoing basis

efficient development

urban development that maximises development goals such as sustainability, integration, accessibility, affordability and quality of living, relative to financial, environmental and social costs, including ongoing and future costs

energy conservation

using less energy

entrepreneur

person who starts and develops a business or organisation

entrepreneur development

training and support for entrepreneurs

Environmental Impact Assessment

a legally required study to determine and to prevent or reduce potential harmful effects of a development project on the environment

environmental sustainability

the ability of an environment and its key natural processes to continue to function in a healthy manner

erven

plural of erf – a demarcated site or stand

Expanded Public Works Programme (EPWP)

a government programme to provide work opportunities coupled with training, covering all spheres of government and state-owned enterprises

F**fauna**

animals of all types

feeder routes

local roads leading to main transport routes

feeder buses

local buses taking people to main bus routes or stations

floristic region

region with specific types of plants

food security

having enough food on a sustained basis

functional integration

different functions such as living, working and recreation in the same area

G**gender equality**

men and woman are treated the same

gender equity

equal representation of men and women in terms of numbers

GIS

Geographic Information System – computer-based mapping and data information system

green fields development

new development on previously unused land

green procurement

using products and services that create minimum waste and pollution in production and that use eco-friendly, biodegradable materials

grey water

household waste water from sinks, basins and baths

H**hierarchy**

a system with higher and lower levels

homogeneous

all the same

I**Imbizo**

a consultation meeting

imperatives

things that must be done

incubation

start up support for a small business

infill development

building in developed urban areas on properties that are not developed, in order to optimise the use and provision of services

informal economic activity

unregistered and untaxed economic activities

integrate

combine and harmonise different functions and/or groups

Integrated Development Plan (IDP)

an overall municipal development plan required by the Municipal Systems Act, Act 32 of 2000, which guides decision making, budgeting and development

integration

bringing together of things such as economies, functions, cultures, or different groups or communities

intermediate level planning

planning at the level between that of the whole town or city and the local neighbourhood, i.e. the suburb or SCU

L

land use management

management of how land is used in an area

land use management system (LUMS)

a working document that governs development in an area

land use management plan

shows the location of various land uses

landscaping

shaping and design of a garden or open space

legibility

expression of identity and character in physical

livelihood

the means whereby people live or make a living

Local Agenda 21

the United Nations international local governments programme for environmental sustainability in the 21st century

local economic development (LED)

development of local production, service provision, trade and consumption

local infiltration

disposal of waste water into the surrounding soil

M

maneuverability

ability to move about easily

mentor

a person with experience who helps others to succeed

mentoring

guiding the development of another

Metropolitan Open Space System (MOSS)

links together important open spaces and emphasizes their importance in the urban framework for environmental, social, economic, recreational and aesthetic reasons

mixed density

area with different densities

mixed use development

mixes different functions such as business, residential and community facilities

MK

Mkhonto we Sizwe – Spear of the Nation – the armed wing of the ANC, 1961–1994

mobilisation

motivating people to participate

mono functional

single function

monotony

boring repetition

multi-modal

with many different types or methods

mural

painting on a wall

N

naked streets

streets without traffic signals, signs, sidewalks, markers, speed bumps, or even curbs. This makes motorists drive more slowly and be more cautious, thus reducing accidents.

NGO

non-governmental organisation

NMBM

Nelsson Mandela Bay Municipality

non-renewable resources

natural resources that cannot be replaced once used, e.g. oil, coal, natural gas, natural forests

O

open space

public or private land used for parks, gardens, playgrounds, recreation and sport

optimise

make as much as possible

organic gardening

uses only natural compost and substances to increase soil fertility and control pests, diseases and weeds

P

participation

active involvement in planning

pedestrian movement

walking

peripheral

on the outer edge

plan initiative

initial outline proposal

planning preamble

a comprehensive planning background description

planning principles

values that guide planning

plaque

metal name or information plates in public places

poverty alleviation

creates opportunities for people to earn money and take care of themselves

precinct

area within the boundaries of a building or complex of buildings

principles

values and ideas that guide action and behaviour

prioritisation

deciding which items or issues are more important than others

programming

preparatory planning

public-private partnership

formal cooperation between government and business

R

radial

going out from the centre

recreation

non-work activities that are healthy and regenerating

replication

repeating the same activity elsewhere

residential density

the number of living units per specific area of land

S

scenarios

different possible future situations or options

sector plans

plans for different functions, e.g. housing, transport, water services, economic development and the environment

segregation

separation of people, usually on a racial, ethnic or religious basis

servitude

right of access on property e.g. for a pipe line or an access road

set-backs

positioning of houses in relation to the street

social integration

integration of minority groups, ethnic minorities, refugees, underprivileged or disadvantaged groups into the mainstream of the society, enabling their access to opportunities, rights and services available to others

social services

services provided by government to ensure the welfare of those in need

social sustainability

the ability of a community to co-operate and develop

solar power

the heat of the sun used to heat water or generate electricity

Spatial Development Framework

an overall plan for the physical structuring and development of a municipal area

spatial planning

planning of physical space, layouts and land use in urban or town planning

special needs group

groups who are disadvantaged in one way or another

spheres of life

cultural, political, social, economic and private

stakeholders

all groups involved or with a direct interest in a project or organisation

streetscape

the design and appearance of a street

surveillance

watching/keeping watch over

sustainable

capable of being sustained; able to continue with minimal long-term harmful effect on the environment, e.g. sustainable agriculture

Sustainable Community Units (SCUs)

planning areas of a size defined by accessibility of services within a maximum walking distance of 2 km or 30 minutes. Intermediate level urban planning units.

T**tenure**

legal right of use, e.g. ownership or renting

thermal

relating to heat

topography

the character of the land with its geographic features

town planning scheme

a legal document relating to property that defines land uses and processes for the change of land use. It is intended to co-ordinate the harmonious development of an area in a way that promotes health, safety, good order, amenities, convenience and general welfare, as well as efficiency and economy in the process of development.

townscape

urban environment as opposed to landscape

U**ubuntu**

collective solidarity based on values of, respect, compassion and humanity

urban agriculture

home, community and institutional food gardens and small-scale animal husbandry in urban areas

urban edge/urban fence

defined boundary of urban development within a town or city

urban living environment

areas where people live in towns and cities

urban renewal

re-development and upgrading existing areas

urban sprawl

inefficient land use that extends the urban edge

V**verge**

area between the road and the erf boundary/side-walk/pavement

verification

approval as valid

W**walking bus**

a group of children who walk together to or from school as a unit, guided by a few adults

water-wise gardening

uses grey water or other recycled water and indigenous plants that need less water

wind power

electricity generated by wind-driven generators or turbines

woonerf

a street or area where pedestrians and cyclists have priority over motorised traffic. These shared streets are designed to limit traffic speeds.

Z**zoning**

defines the purposes for which land may be used