



Africa Task Force: East Africa Regional Workshop

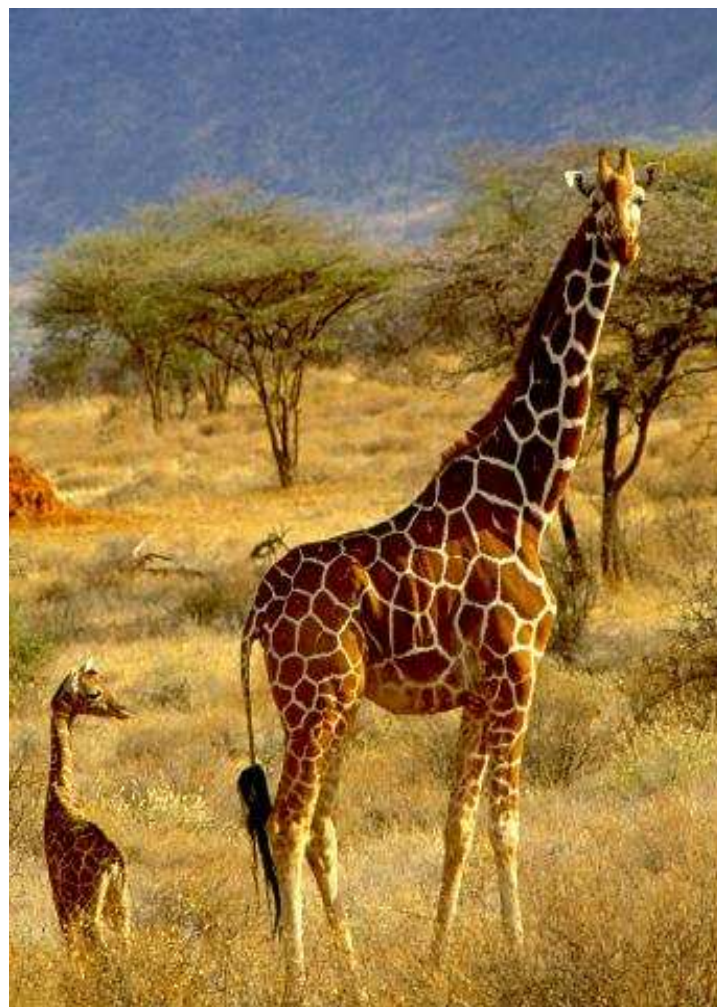
Proactive Planning for Infrastructure in Peri-Urban Settlements:

A Tool Book for Surveyors To

Facilitate Environmental and Social Resilience

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FOREWARD

This publication is the resulting tool from the FIG sub-Saharan African Task Force (ATF) workshop on Peri - Urban Settlements: Tools & Techniques for Surveyors to facilitate Environmental and Social Resilience, held 11- 12 November 2010 in Mombasa, Kenya.

The FIG Africa Task Force was established in 2009 for the period 2010-2014. The workshop in Mombasa was organised to address the challenges that sub-Saharan African FIG Member Associations face in addressing their capacity issues. The key purpose of the task force was to enable the surveying profession in sub-Saharan Africa to deal with social responsibility in terms of contributing to achieving the Millennium Development Goals (MDGs). In this regard, the role of the surveyors as change agents engaging with the politicians and local communities is of key importance.

The workshop emphasised the importance of good land governance and the role of the African Surveying Profession in contributing to meeting the key challenges of poverty alleviation, economic growth, and environmental sustainability in peri-urban settlements, particularly facilitating water and sanitation infrastructures.

The organisers wish to thank all who participated, contributed, supported and encouraged this workshop. Each year the Task Force invites an African member association to co-host the workshop event. Especially it is gratefully acknowledged the support given by the Institution of Surveyors Kenya (ISK) who organised the logistical arrangements in Kenya.

The workshop was organised by Dr Diane Dumashie, Chair of ATF, Director of Dumashie Ltd, UK and during the event was assisted by a core team consisting of Dr Michael Barry, Professor, Geomatics Engineering, University of Calgary, Canada; Mr Kwame Tenadu. President of Licensed Surveyors Association of Ghana. FIG would like to thank the members of the core team for all their great efforts in facilitating this workshop and also contributing to reviewing this tool book for consideration and adoption by the Roundtable at the FIG Working Week in Marrakech, Morocco, May 2011.

Finally, we wish to convey our sincere gratitude and thanks to all the delegates who travelled from all parts of sub-Saharan Africa to attend this workshop and whose active and enthusiastic participation ensured the success of this workshop.

The workshop result presented here is not an academic exercise. It is intended to form part of a growing resource of information which can underpin member association's decisions and activities by disseminating and further providing appropriate tools for their land professionals. From FIG's perspective, it performs part of an effort to ensure that sub-Saharan African land professionals have a platform in which to raise and develop their own tools for their own country contexts. This is an excellent starting point from which to build up the evidential core of the work for land professional members in sub-Saharan Africa.

Diane A Dumashie
Chair FIG Africa Task Force

Stig Enemark
Past FIG President (2007-2010)

ACKNOWLEDGEMENTS

This tool book was researched and written by Dr D Dumashie, chair of ATF.

I would like to acknowledge the inspiration for this Tool Book provided by the *Planning for Your Community Sourcebook* developed by Alan Caldwell of Caldwell Associates from the South West of England Regional Development Agency and the Joseph Rowntree Foundation (www.jrf.org.uk and www.alancaldwellassociates.co.uk). Some core parts of the text here in the Resource book as presented in Part 3 are pasted directly from the original Sourcebook.

The document is based on the workshop convened in Mombasa 2010 from 11-13 November where a core group was appointed to review the Resource book draft:

Dr Diane Dumashie, Dumashie Ltd, United Kingdom, Chair ATF

Prof. Stig Enemark, Past FIG President (2007-2010)

Dr Michael Barry, Professor, University of Calgary, Canada

Kwame Tenadu, President of Licensed Surveyors Association of Ghana

Collins Kowuor, President, Institution of Surveyors Kenya

Mwenda Makathimo, Past President, Institution of Surveyors Kenya



The International federation of Surveyors



Institution of Surveyors Kenya

PREAMBLE

By the close of the two day discussion at the workshop in Mombasa, participants, after a vote, came to the conclusion that the single theme for developing a tool was: “Slum Prevention: Infrastructure routes”. It was agreed that the agenda for action would involve working this sketch theme into a tool. This has been developed in three parts.

PART 1 refers to **what** we are addressing in the context of peri-urban development. Part 1 is then setting the scene by stating the problem and how this may be addressed using existing handbook sources.

PART 2 addresses **engagement** with the Key land stakeholder, all sub Saharan African State governments.

PART 3 deals with **how** surveyors can act as change agents through engagement and building community strength. This is designed as a Resource book drawing from “Planning for Your Community Sourcebook” developed by Alan Caldwell.

The reason why this approach has been adopted is that preventing slums is a huge task. To remain within our limited resources required a process oriented approach, rather than rehearsing in detail literature already available. This also reflects the Mombasa workshops clear consensus on a partnership direction and participatory approach. Such an approach is provided through the Resource book presented in PART 3

Ultimately, in peri urban areas the impetus for change must be driven by the emerging community, and led by advocates such as land professionals who are well placed to act as change agents. Community-based regeneration is a demanding process. Local communities must take responsibility for their future and show the commitment to become a credible partner. Agency partners must learn to work in partnership with the local people.

Above all, surveyors can contribute to development and poverty alleviation. A good example is the case of the advocacy role adopted by ISK, Kenya, showing how land professionals can act as agents of change (Makathimo, 2009)

The resource book has been prepared primarily to support the land professionals based in sub-Saharan Africa. It is intended for it to be an evolutionary sourcebook and thereby provides a platform for member associations to continue adding information in a loose leaf bound system. Until 2014, FIG HQ will be responsible for administering this and updating on an annual basis.

PART 1 – SETTING THE SCENE

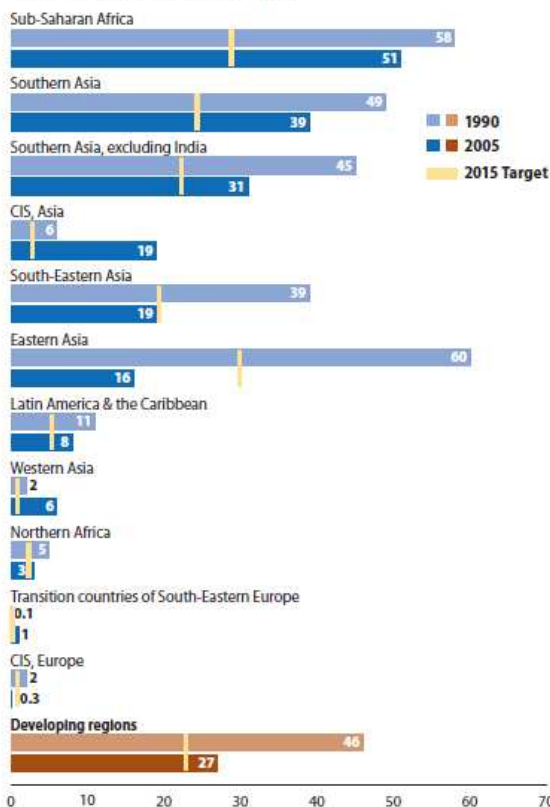
STATING THE PROBLEM

It is estimated by UN-HABITAT that nearly one billion people live in slums in the cities of the world. That is one-sixth of humanity! Most of these slums are in the cities of the developing countries of the world. If not dealt with in planning for the expanding urban populations of these countries, the number of slum dwellers is predicted to double by 2030. Slums are the precarious, environmentally degraded, and unplanned areas of cities. With good planning and a political will to make land available for housing, these problems should not need to exist.

The Millennium Development Goals (MDGs) as adopted by the UN in 2000 was a milestone in international cooperation, inspiring development efforts that have improved the lives of hundreds of millions of people around the world. The framework of the eight MDGs includes 18 targets and 48 indicators that enable on-going monitoring of annual progress. Ten years later, the world leaders have reviewed the progress and agreed on strategies and actions to meet the MDGs by 2015.

The MDGs report 2010 (UN 2010) shows how much progress has been made. Perhaps more importantly, it shows that the Goals are achievable when national development strategies, policies and programmes are supported by international development partners. The report also shows that the world is still on track to meet the target to “Halve, between 1990 and 2015, the proportion of people whose income is less than 1 USD a day. However, there are big regional variations. As shown in figure 1, meeting the target is mainly due to rapid economic growth in Eastern Asia while sub-Saharan Africa is lacking far behind.

Proportion of people living on less than \$1.25 a day, 1990 and 2005 (Percentage)



Proportion of urban population living in slum areas, 1990 and 2010 (Percentage)

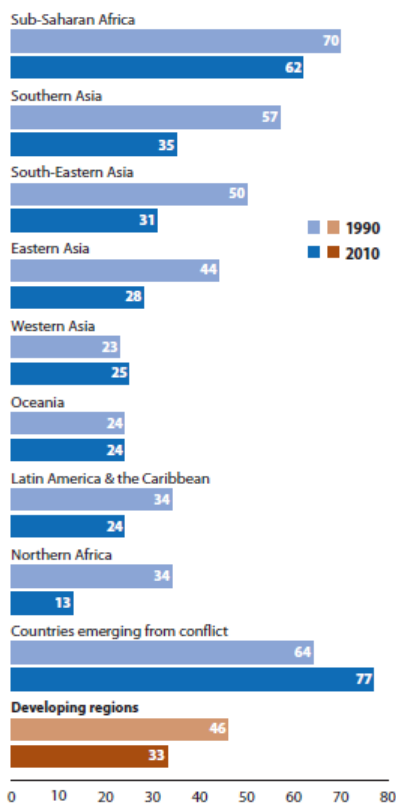


Figure 1. Towards achieving the MDGs in terms of poverty and slum reduction (UN 2010).

We are well aware of the Goal 7 Target 11 which was revised in 2005 which states “By 2020 improving substantially the lives of at least 100 million slum dwellers, while providing adequate alternatives to new slum formation”. Again this goal seems to be met but with big regional variations as shown in figure 1. Among developing regions, sub-Saharan Africa is estimated to have the highest prevalence of urban slum with about two third of the urban population living in slum areas. Despite efforts of some sub-Saharan countries to expand basic services and improve urban housing conditions, inaction by other countries in the region has prevented overall progress from keeping pace with the rapidly expanding urban populations (UN 2010). Figure 2 shows the variations within the sub-Saharan region.

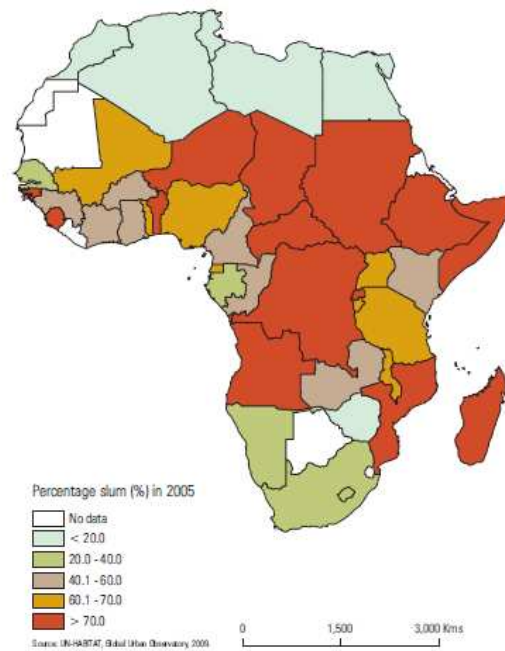


Figure 2. Slum proportions of selected countries in Africa (UN-HABITAT, 2010)

The translation of this Gaol 7, Target 11 into action raises a two-fold challenge. Local and national governments and international development agencies must focus on slum upgrading, infrastructure improvement and regularisation of informal settlements, coupled with measures that can actually improve living conditions and the quality of life in existing settlements and those in the process of consolidation. At the same time, these governments and agencies must address preventative policies and measures that can offer feasible and affordable alternatives to the informal development model currently in place. (Acioly 2007).

Of the other housing sub-markets, formal private sector provision has only ever served the upper or upper-middle income groups and is a small minority, such sub-markets. This leaves us with what in many respects is a residual group of informal, spontaneous, unplanned or unregulated sub-markets which commonly attract the general label of “self-help housing” or slums and squatter settlements. The urban informal sector has a significant economic role, providing over 80% of housing in the cities of most developing countries. (Payne)

Because the challenges of slums are still overwhelming no one agency or key actor can overcome them if they act in isolation. It is for this reason that this sourcebook has been provided as a tool to help surveyors taking up their role as agents of change

ADDRESSING THE PROBLEM

Informal settlements pose a major challenge for managers and planners of developing world cities. Developing practical policies, strategies and practices that effectively integrate the urban, peri-urban and rural landscapes is critical to the effective management of all three of these zones.

There are many different notions of peri-urban land. For this discussion, it is land adjacent to urban areas, along and peripheral to the urban edge in a transition zone between urban residential areas and rural agricultural areas. Tracts of agricultural land, open spaces and undeveloped land inside what is often an ill-defined urban perimeter are also considered peri-urban. Typically, in peri-urban land adjacent to urban areas, there is a mix of rural, industrial and urban land uses. Moreover, in peri-urban areas there are many land tenure systems ranging from individual ownership to traditional African land tenure, with hybrids and adaptations of these existing along a continuum between the two at any particular place and time. Income levels, land values, land use and land parcel sizes vary considerably in peri-urban tracts (Barry 2002).

Have escape strategies worked? Past and present approaches to addressing slums at national and local levels have undergone several stages. The current best practice is participatory slum upgrading which directly involves the slum dwellers themselves in finding solutions. And it is noteworthy that UN-Habitat is in the process of implementing its mid-term strategic and institutional plan (MTSIP) for the period of 2008-2013. UN-HABITAT is also the lead international organisation addressing slum prevention and upgrading. (El Sioufi 2009)

The establishment by UN-HABITAT of the Slum Upgrading Facility (SUF) is a response to four distinct but related trends. The first is to deal directly with what is referred to as the “finance gap” in slum upgrading. That is to reckon with the stark reality that combined public and private investment and official development assistance meets only 5% to 10% of the financing required for improvements in housing and basic services in sub-Saharan Africa, South Asia and Southeast Asia. SUF is a contribution to wider efforts worldwide to identify new sources of finance. It does this by creating the conditions for development initiatives in slums to capture community savings and private capital such that public investment and official development assistance is not the sole source of financing but rather, leverage for savings and investment. (SUF Handbook, UN-HABITAT, 2006)

A good source of addressing the slum problem is found in

The SUF Handbook

An Approach to Financial Action Planning for Slum upgrading
and New Low-income Residential Neighbourhoods.

<http://www.unhabitat.org/pmss/listItemDetails.aspx?publicationID=235>

The SUF Handbook (2006) provides new thinking about how to pay for improvements to existing underserved low income neighbourhoods, and how to pay for appropriate new low-income residential neighbourhoods. Both require dedicated and assigned land, paved access, storm water drainage (together with workable solid waste management systems to keep them clear), workable sanitation systems, water supply and other basic infrastructure services, matched by suitable credit facilities for low-income home owners and tenants to build or improve their homes. The key is information. This handbook is designed to provide information about seeking commercial finance for these development projects.

Another good source of addressing the slum problem is found in:

Informal Settlements Handbook

A Quick Guide to Dealing with Common Settlement Problems

http://www.capegateway.gov.za/english/publications/guidelines_manuals_and_instructions/I/10448

The handbook provides a wide range of knowledge, insight, guidance, and tools for action. The introduction states a range of informal settlement situations that can be addressed through the handbook:

- An informal settlement has existed on public-owned land for some time, and you are not sure what to do about it
- An informal settlement keeps growing and you want to be able to contain it
- There are a number of small informal settlements scattered about your area, and you are not sure what to do about them
- You are expecting an influx of homeless people (e.g. displaced from farms) and you are not sure what to do about it

- You are under pressure (e.g. from neighbouring residents) to somehow get rid of an informal settlement but you are not sure how to respond
- There is a desire to upgrade an informal settlement, but you are not sure how to start
- You do not have the resources to deal with all your informal settlement problems, and are unsure how to prioritise actions
- You have an informal settlement in an unacceptable location, and are not sure how to go about relocating it
- You would like to empower the community of an informal settlement so that they can address socio-economic needs, but you are not sure what steps to take
- You discover that shacks are being erected on your land, but they have not yet been occupied
- You discover that shacks have been erected on your land, and that they are occupied
- You discover that shacks are being erected on land that is not owned by the local authority, but which is within its area of jurisdiction.

The rationale for this tool acknowledges the clarity that neither a city plan nor a sanctioned land use planning system alone can guide urban development and produce slum-free urban spatial structures. Informal settlement dwellers are prepared to invade and occupy land illegally, and their motivations may vary from the desperate to the entrepreneurial. Planning legislation is unlikely to work unless there is continual on-the-ground grassroots management of the issue. It is an imperative that this work begins in peri urban areas **Before** settlement reaches high density levels, characteristic of informal areas.

More generally, a lot of guidance exists in relation to addressing the problem of slum prevention and slum upgrading. Instead of developing a new tool in this area there is perhaps more need for looking at how to engage land professionals in addressing the problem in cooperation and partnership with other stakeholders – that is to focus on land professionals taking the role as change agents in addressing the challenges of slum development in peri-urban areas.

ENGAGING IN THE PROBLEM

Urban planning challenges in developing countries are how to deal with rapid and chaotic urbanisation and increasing urban poverty; how to address the challenge of slums; how to improve public infrastructure and accessed urban services; how to deal with the informality in both the working and living environments; how to address the phenomenon of chaotic peri-urban areas; how to deliver infrastructure, services, economic growth and employment in addition to the traditional role of spatial land use planning.

The FIG publication no 42 on Informal Settlements: The Road Towards More Sustainable Places sets the scene for engagement of land professionals in this area. The publication examines a range of issues and indicates how surveyors can contribute. It argues that surveyors as land professionals have a unique set of skills, and are well placed to find and facilitate solutions to the urbanisation process typified within informal settlements. Taking a holistic, strategic approach, surveyors can bring all issues together and focus on informing policy and practice.

Working with communities to identify the road ahead can contribute to a socially cohesive approach within informal settlements. Surveyors should move on from passive acceptance of the situation to active engagement to drive toward meaningful solutions. The underlying philosophy is that the surveyor's contribution is to assist local, national and international communities to develop their journey along the road that delivers sustainable housing environments, in ways that suit local circumstances. But we have to recognise that we must be realistic, recognising what differences we can truly make. Thus we need to concentrate on using our professional skills to truly make a difference.

The salient issues arising from Surveyors work relate to the physical spatial environment. This is important because it relates to PLACES in which PEOPLE live. If governments do not provide sufficient land, the market demand will continue to be met by informal settlements. Physical planning for house plots and municipal services/ infrastructure, must eventually be provided as the key regeneration initiative. Corridors for such infrastructure in peri urban areas should be safeguarded from any development in agreement with the local community and stakeholders leaders.

It is important to emphasise that the central thrust for the delivery of sustainable places and urban regeneration will rely upon the interaction of people and partnerships, and the use of appropriate tools. Surveyors should

apply their tools and professional knowledge to the problem of planning urban areas that are starting in peri urban areas as a disorganised, incoherent pattern of development. The skill sets are encompassed in a wide economic-based, but holistic approach, termed here as regeneration. Regeneration is an activity that creates a lasting improvement in the social, economic, environmental or physical conditions prevalent within a defined area.

The next section (Part 2) in recognition of State government key stakeholder influence and ownership of land, it addresses engagement. The following section, the Resource book (Part 3) provides structured guidance on engagement in such community based regeneration.



Peri-urban development, Lagos, Nigeria.

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An Approach to Financial Action Planning for Slum upgrading and New Low-income Residential Neighbourhoods.

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Informal Settlements Handbook

A Quick Guide to Dealing with Common Settlement Problems

http://www.capegateway.gov.za/english/publications/guidelines_manuals_and_instructions/l/10448

Millennium Development Goals Report 2010 (UN 2010)

http://unstats.un.org/unsd/mdg/Resources/Static/Products/Progress2010/MDG_Report_2010_En_low%20res.pdf

State of the World's Cities 2010/2011 – Overview and key findings

(UN-HABITAT 2010) http://issuu.com/ordenacionurbana/docs/2917_alt

Informal Settlements: The road towards More Sustainable Places (FIG

Publication No 42, 2008) <http://www.fig.net/pub/figpub/pub42/figpub42.htm>

Part 3

Planning for Your Community

Sourcebook developed by Alan Caldwell of Caldwell Associates from the South West of England Regional Development Agency and the Joseph Rowntree Foundation (www.jrf.org.uk and www.alancaldwellassociates.co.uk).

PART 2 – THE STATE: A KEY STAKEHOLDER

INTRODUCTION

In most sub-Saharan African countries significant parts of the land are owned or under the control of the state or a public sector body. In some countries all land is owned by the state with occupiers having use rights, which can provide varying degrees of security of tenure. What the state does with the land it controls is likely to have significant consequences for the welfare of a society.

Land administration in Africa not only operates under conditions of legal pluralism but with many players or stakeholders at national, local and global level.

Since independence in 1960s, most sub-Saharan African states have reformed their land laws but new issues have emerged, particularly with regard to pressures of population, urban growth and environmental sustainability. Colonial legacies in the pattern of land ownership and legal regulatory frameworks remain. The town planning system as well as the system of land allocation for development were largely a colonial creation.

In this resource book context there is a need to decolonise the thinking and adapt to new population pressures on land. Furthermore, pressure for land law reform is being placed on governments from agencies of both the international development community and civil society with the MDGs holding governments more accountable for poverty reduction

To engage in a peri-urban context is about understanding the role of the state as the key player and essentially its role in being able to grant change or not.

Therefore, the key role for land professionals as agents of change is to engage and interact with the various local stakeholders to analyse problems and develop possible solutions as a basis for approaching state government to enable change.

ENGAGEMENT: THE BIG WHY AND HOW QUESTION

Why should land professionals act as change agents in this matter of providing routes for infrastructure in peri-urban areas? This was expanded in the preceding discussion (Part 1), where it was highlighted that advocacy, motivation, comprehension and understanding of the issues is within the domain of the land professional.

How to achieve this, yet recognising the central role of the state player? This is explained below by highlighting the need for professionals to understand this key stakeholder context in terms of: People, Places and Practices:

PEOPLE - Understanding to engage with your historical context

Africa's recent unprecedented demographic surge poses great challenges to land management for national and local jurisdictions. Here we are concerned with the transition between peri-urban settlement and high density informal settlement commonly referred to as informal settlements.

The African continent has recently experienced "the great transition which has dominated the history of the poor in every continent": that from land rich poverty (where labour is scarce and the poor lack access to labour) to land scarce poverty (where the poor lack viable land holdings and cannot sell their labour and increasingly migrate to the towns). (Iliffe, 1987).

Yet sub-Saharan Africa would not seem to have any absolute land shortage as it holds about 20% of the world's population and 20% of its land area but its colonial history involved the confiscation of much of the best land to settle immigrants and foreign capital (especially in Eastern and Southern Africa) combined with state control of urban and unused land as well as other factors.

As rural impoverishment grew, tribal or communal lands near urban areas became places where Africans could settle in unregulated, unserviced settlements and gain access to urban employment opportunities.

PLACES - Understanding to engage with legal pluralism

There are over 50 different nation states in sub-Sahara Africa where legal pluralism is the reality. In a post-colonial pluralist world, customary or communal land practices are now being revived. Tribal or customary land tenure kept an important welfare function and served as a reservoir of cheap,

un-serviced land in peri-urban areas and an important common property resource.

The national legal systems in sub-Saharan Africa reflect their different colonial backgrounds as well as their various customary laws. Different colonial powers imported their own systems and some nation states have a legacy of two or more colonial overlaid legal orders.

Most sub-Saharan African countries since independence have initiated land commissions and reformed their land laws, some through wholesale nationalisation policies but more usually through state registration of individual and communal land titles. However, the problems of the landless poor and unplanned urban growth continue to exist.

How the state behaves towards the others with which it shares space plays a critical part in determining their security of tenure and the welfare of society. Poor governance, corruption or state capture is likely to have severe adverse consequences as they impact on the relationship between the state and others with which it shares space.

PRACTICE – understanding to engage and partner with government.

The importance of the management of state land is because the way this land is managed can enhance the welfare and well-being of the population but is also capable of undermining it.

Land administration in a modern nation state is based on sustainable land policies and involves a great array of agencies with a myriad of tasks, many of which have been professionalised, particularly into two professions of land surveying and planning.

- The surveyor undertakes cadastral survey within a state land guaranteed land registration system.
- The planning system exists to regulate the development of use of land and to provide a framework for future spatial development and environmental protection.

Other functions of land governance includes State land management in their various forms such as local government, national parks, heritage areas and security facilities; valuation and appraisal; environmental agencies (for nature and water management, wildlife environments and promoting, sustainable development).

The professions undertaking these functions of land governance have much power and influence supported by their institutions and international knowledge networks such as FIG. It is because of this influence that surveyors can act as agents of change. Land professionals need to take cognoscente's of the situation in their own country as this will set the context for engagement with government.

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PART 3 – RESOURCE BOOK

SECTION 1 - INTRODUCTION

It was considered at the workshop by land professionals that a difference could be made specifically in providing routes for water infrastructure by engaging with a range of stakeholders. The tool that could make a difference is HOW to engage and build community strengths this resource book is the process tool representative of the output following the 2010 ATF workshop

This section is your introduction to the Resource tool. It explains how it is structured, what it is, who should use it and how to use it. It replicates text drawn from the Sourcebook* researched and written by Alan Caldwell Associates on behalf of the South West of England Regional Development Agency and the Joseph Rowntree Foundation to fund that publication. Further it adapts the originating text layout and condenses it to make it more relevant to sub Saharan professionals.

WHAT IS A RESOURCE BOOK?

The resource book has been developed to encourage surveyors to act as agents of change to assist communities and their partners to plan effectively for their future as it relates to planning for infrastructure routes in peri urban areas. The resource book:

- is a practical source of ideas and suggestions, it is not a step-by-step guide;
- is designed to help you think through issues, it is not intended to offer ready-made answers or solutions;
- is a framework for action, it is not a prescriptive approach;
- is a starting point, it is not an end in itself.

The resource book is only one tool to help you in your work. You are likely to need to work alongside many other land professional practitioners and policy makers, take advantage of training opportunities and learn from the experience of others.

The resource book and your member association input should point you to other organisations, websites and publications that you may find helpful.

ABOUT THIS RESOURCE BOOK

The aim of this resource book is to build on lessons from you and the members in your associations, thus drawing on initiatives at national and international level as appropriate and practical example experiences in Sub-Saharan Africa. The aim is to provide sections to draw on and establish good practice, academic research, new research and the knowledge of leading organisations in the field of this context.

Remember the resource book is not intended to be prescriptive. It offers a framework to undertake your planning. The aim of the resource book is to provide you with a range of suggestions, advice and options to help you.

The resource book alone cannot provide all the answers. It can act as a point of reference offering ideas and advice on how to proceed. You need to take advantage of training and additional support from other practitioners and professionals as your plan making progresses.

HOW TO USE THE RESOURCE BOOK

This resource book is designed to be a working document and you are encouraged to dip in and out, focussing on the stages that interest you. It is published in loose leaf format to enable additions to easily to be made by FIG Member Associations as they further develop their experience and practice.

This resource book is extracted with minor adjustments from that developed by A Caldwell and is divided into colour coded chapters that broadly represent a stage in the community strategic planning process developed by Caldwell, (*for full details refer to the originating Source book at www.alancaldwellassociates.co.uk). Each section is structured in the same way as follows:

- The principles: setting out why this stage is important and what it is for.
- The practice: exploring what this stage actually is, what is involved and who is involved.
- Key challenges of each stage: an example of a key challenge has been identified. These are not exhaustive and not all communities will experience them in the same way. We encourage you to add to this as
 - member associations develop more and more experience.
 - Guidance skills: guiding you on the skills you will require to undertake the respective stage.

Section	Colour Code	Description
2	Violet	What is a community Plan
3	Indigo	Roles and Responsibilities
4	Green	Stakeholders
5	Yellow	Project Planning check list
6	Orange	Implementing your plan
7	Red	Sources of Information
8	Sky Blue	Case Study Material

In addition, room is provided in Section 8 where we encourage member associations to provide examples where appropriate to illustrate important issues to complement section 7, where you can find useful information, publications, and organisations.

SECTION 2- WHAT IS A COMMUNITY STRATEGIC PLAN?

This chapter extracted from Caldwell, summarises Why and What community planning is, and in order to adapt it to infrastructure routes plans-. It will explain what is involved and what the likely benefits will be for your community and your partners.

Community strategic planning is a process by which the community looks into the future, in this case the near term of 5- 10 years ahead and makes plans for a sustainable future. The only certainty in community strategic planning is that it requires a long term commitment from everyone involved.

This process will help you to:

- get ready to plan
- identify a clear vision for the future
- bring together information on your area
- identify the main goals you need to achieve and the strategies you will adopt to achieve them
- identify and prioritise projects
- organise yourselves and others to make the plan happen
- monitor and evaluate your work
- learn from your work as it progresses

PRINCIPLES

Community strategic planning is based on the following principles:

- the regeneration of communities should come from within those communities and be shaped by local people
- regeneration should be a sustainable process
- sustainable regeneration must draw on all aspects of community life so as to integrate economic, social, environmental and cultural opportunities and potential
- regeneration is a long term process and cannot be rushed
- effective regeneration requires partnerships to be created between communities, charities, public agents, private businesses, civil society, NGOs, local government, but always led by local people

What good can it do?

Community strategic planning assumes that people can effect what happens to them in the future. People in communities in other words can make the difference. Community strategic planning implies hope.

Encouraging this process at community level not only benefits the community but benefits public, private and charitable support agencies who are concerned about the same issues of value for money, community participation, viability and where things fit into the bigger picture.

PRACTICE

Community strategic planning will benefit your community to:

- help you to take responsibility for your future
- help to get your community involved
- stimulate forward thinking and try and find future direction
- build consensus around priority projects and actions
- build teamwork and expertise
- help to identify community leaders
- help meet other requirements
- help influence rather than be influenced
- help get results

Community strategic planning will benefit your Partners to:

- provides an effective framework for supporting communities and customary leaders
- is a practical way of delivering the government's policies on sustainable development, community planning and neighbourhood renewal
- provides a basis for support rooted in sustainable futures rather than a response to crisis
- identifies projects which have community support and which have the maximum impact
- helps develop local skills and create organisations to manage projects

HOW LONG DOES IT TAKE?

Preparing plans themselves is not necessarily a lengthy process, Depending on your skills, experiences. They can be put together following a series of community workshops combined with background research and interviews.

The process also depends on the legitimacy of those community members participating in the process and the willingness of both those engaged in the process and those outside of it to commit to both the planning process and adherence to the plans and rules that follow.

It is a process that is getting ready to plan that is time consuming. Noting that your role is to mobilise but it may be community leaders have yet to emerge and people have simply not tackled anything like this before. Your community may be fragmented with people. It will take time to reach out to your community and build an understanding of this very different way of working.

A part of getting ready involves establishing a steering group to lead the early stages.

WHAT HELP WILL YOU NEED?

Community strategic planning is all about developing the skills and experience for local people to sustain the regeneration of their community. It helps you to organise yourselves and establish local organisations to make things happen. In addition to the time and energy of local volunteers, you are likely to seek help from the following:

- outreach practitioners: grass root groups and NGOs experienced in the practice of community-based regeneration
- Professionals: the whole range of land professionals is likely to be engaged
- project officers: once the plan really starts happening, it is likely that you will require project and administrative staff
- community agents: local people employed and trained to supplement the volunteer labour in your community

THE CHALLENGES

Challenge 1: How do we decide whether or not to plan? The following questions and issues are important.

Do I have an understanding of what is involved?

Do I have the time?

Do I have the commitment to get involved?

Do I have the necessary skills and the confidence?

Is community strategic planning appropriate for our community?

Having considered your individual position there are three main issues you should think through with the other potential members of your steering group before deciding to plan..

1. Benefits: What are the likely benefits going to be? Will these benefits add value to your community's ability to seize opportunities and tackle the issues you face?
2. What are the costs likely to be? What is the time commitment? Will there be financial costs and if so how do we fund them?
3. Risks: Will working this way present new risks? Will it reduce existing risks?

Have I talked to others who are already doing this work? The simplest, quickest and most effective way to gauge the work ahead is to make contact with other communities who are doing this work.

Challenge 2: Who should we talk to before making a decision?

If there is an enthusiastic and committed group of individuals who are prepared to establish a steering group, the next step is to take initial soundings on the idea. It is important to talk to and then list community organisations, local employers in businesses, local government, other decision makers

GUIDANCE- SKILL SET: What skills will you require?

- administrative skills to organise events in your community
- facilitation skills to run meetings and events
- community development skills to involve people
- negotiating and mediation skills
- plan preparation skills
- project development skills
- research skills
- monitoring evaluation skills
- the ability to think strategically

SECTION 3- ROLES AND RESPONSIBILITIES

This section will explain the importance of forming a steering group and offer guidance on how to ensure it is well organised and has the right people on board. Key challenges covered in this section include:

1. Agreeing what the steering group should do;
2. Who should be involved and how do we attract the right people;
3. Defining roles and responsibilities;
4. Establishing an appropriate structure;
5. Building your skills and knowledge

THE PRINCIPLES

Your steering group gives you work, focus and direction. It will be the driving force behind the project of your community and it will provide a forum that will bring everyone together to agree a plan for the future and make it happen. It will develop and evolve as the work progresses.

THE PRACTICE

A steering group will normally have responsibility for a range of tasks that include:

1. co-ordination and management of the work at a local level;
2. partnership building and community involvement;
3. management of volunteers, community agents, project staff and consultants;
4. establishment and management of working groups;
5. preparation of the plan;
6. establishment of the brokering table (setting up a leading or local brokering table to secure help, advice or funding for the delivery of your plan);
7. management and delivery of projects and actions;
8. developing a structure to sustain the work in the longer term;
9. delivering contracts;
10. marketing communication and promotion.

Partnership working is probably the most difficult part of preparing and implementing a plan for the future of your community.

Everything about this work encourages your local community to take control of its future. It encourages grass root involvement in planning and regeneration. Its effort is given direction through the preparation of your plan for the future. It encourages you to develop an organisation that will make things happen, perhaps even owning and controlling land, buildings and businesses.

You may find it helpful to map the skills, knowledge and experience you feel the steering group will need to undertake the task ahead so undertake an audit of skills and experience. This will identify the gaps you have to fill.

Critical is identifying stakeholders. Make a list of the stakeholders who will be involved in the regeneration of your community. You should consider and list funders and potential funders, all levels of local government, service providers, community churches, professional associations and voluntary groups, expert groups and advisory organisations, groups or organisations likely to be affected by the results of your work, NGOs, grass roots organisations.

THE CHALLENGES

Challenge 1: Agreeing what the steering group should do.

- establishing a clear focus for your work
- identifying who should be involved
- ensuring you get the right people involved
- defining roles and responsibilities
- developing a workable structure
- building your skills and experience as a group.

Challenge 2: Who should be involved and how do we attract the right people?

The steering group is likely to involve:

- the empowered - local people
- the elected - local councillors

the employed - paid officers and staff and partner agencies and organisations

Challenge 3: Defining roles and responsibilities.

You should consider three types of roles and responsibilities in your steering group:

- decision making: this would be the central partner of the group who takes the hard decisions and agrees the direction for the work
- management: these are the people who are actually carrying out work on the ground. This will include volunteers, community agents, hired professionals
- advisory: these may work as a panel of officers alongside the decision-making committee

Challenge 4: Establishing an appropriate structure.

When you have considered your roles and responsibilities, you will need to consider what structure is appropriate for the steering group. Terms of reference should be prepared for the group and define what issues can be covered at meetings and whether the purpose is informative, consultative, decision-making or a combination. Clear terms of reference enable a group to focus on its remit and not get side tracked by issues that fall within the mandate of another organisation.

Challenge 5: Build your skills and knowledge. Working in a steering group is likely to be a new experience for some of those involved. Even for those people who are old hands at committees, getting involved in a new initiative will mean meeting new people and forming new relationships. Not everyone will have the same experience or the same level of skills or confidence. There are different types of skills and knowledge required to be an effective member which include:

- interpersonal skills, including good communication, presentation, negotiation and time management skills
- technical skills, including knowledge and understanding of financial data, statistical analysis and use of information and computer technology
- content knowledge, including knowledge of the subject in local area, of local organisation businesses and of the policy of local and national agencies.

GUIDANCE- SKILL SET: What skills will you require?

- administrative skills to organise your steering group
- negotiating skills to attract members and partners
- community development skills to involve people and organisations
- facilitation skills to run meetings and events
- business planning skills to develop the group
- monitoring and evaluation skills
- the ability to think strategically

SECTION 4. – STAKEHOLDERS

In the context of the State governance structure in your country, this section will explain the importance of involving your local community and your private, public, church and NGO partners. It will offer guidance on how to develop a strategy to achieve this. The key challenges covered in this section include:

- Challenge 1 - getting started
- Challenge 2 - how to involve your community
- Challenge 3 - involving groups that are hard to reach
- Challenge 4 - how to involve your partner agencies

THE PRINCIPLES

Involving local and groups is an essential part of planning for your future. Your community has a right to be involved in determining their future and in working together to improve the things that matter to them. Past experiences show that there are many good reasons to get your community involved, including:

- enlisting local wisdom and building skills and understanding
- bringing local knowledge into fresh perspective
- encouraging creativity
- increasing sustainability
- improving the quality of projects and programmes
- enhancing the credibility of local democracy
- pooling resources, both financial and human
- winning new resources - an active community is more likely to attract new money and support

GUIDANCE- SKILL SET: What skills will you require?

- administrative skills to organise events in your community
- facilitation skills to run meetings and events
- community development skills to involve people
- negotiating and mediation skills
- communication skills

THE CHALLENGES

Challenge 1: Community involvement - getting started.

It is helpful for the steering group to think through a strategy to involve the community at the earliest stage. It is important to consider:

- who should be involved
- why you're involving the community
- when should the community be involved
- how should we involve the community

It is about understanding local politics, who is empowered by the process, who is on the margin of gaining, not gaining, or losing out as a result of the planning process

Challenge 2: How to involve your local communities.

Involving communities takes time, planning and considerable commitment. When you are considering how best to involve your local community, you should ask yourself three questions:

- who are we trying to reach
- what we want to get out of the process
- which methods are most likely to succeed

There are a wide range of methods and tools that steering groups have used successfully to engage with their communities. Many of these tools can be used to maintain involvement over time. There are some raised in the table in the Re:source book for the Community. (See Calder Table Appendix No X.)

Challenge 3: Involving groups that are hard to reach.

There is a possibility of a fourth group of stakeholders called **the excluded**. These are the groups who often require more time, effort and thought to involve in your work. If you are truly to involving your community it is important to go that extra mile to ensure you involve such groups, in particular, young people.

Involving them as equal partners is essential as they deserve respect and equality. They will have a different approach and this is often refreshing. And consider working through existing agencies and groups using existing networks and youth workers to help you with the process.

- Let them design the process. Young people come up with their own way of getting involved. This may involve video, music, theatre or another imaginative approach.

Challenge 4: How to involve your partner agencies.

Every community wants the help and support of its local agencies. To achieve this a community must establish constructive working relationships with the people within those agencies. In most cases this will involve both parties taking a different approach to their relationships and the conflict and tensions that often exist.

It is important for the steering group to:

- understand that agencies want. Every agency will have their own policies and priorities. Do some research before your initial approach;
- trust and respect are the keystones for an effective partnership.

SECTION 5 – PREPARING YOUR PLAN

This section will provide a checklist of a typical project plan preparation. Predicated upon a participatory approach, it seeks to highlight the specific steps rather than a comprehensive account of each step, since it assumes that Land professionals will be versed in project planning approaches. Additional detail can be found in Caldwell as well as other participatory approaches to planning found in a range of literature, listed in the reference section #7.

The steps in preparing a plan include:

- preparing your vision
- understanding the current situation
- choosing the right strategy
- identifying and prioritising projects
- monitoring and evaluating your plan

The critical challenges associated with preparing your vision includes:

Challenge 1: Who should be involved and how do we involve them

Challenge 2: How do we create our vision?

Challenge 3: How do we assess the obstacles to achieving our vision?

The critical challenges associated with understanding the current situation includes:

Challenge 1: How do we decide what information to collect?

Challenge 2: How do we organise ourselves to collect and analyse this information?

Challenge 3: How should we present this information?

The critical challenges associated with choosing the right strategy includes:

Challenge 1: How do we identify the themes for our strategy?

Challenge 2: How do we set the goals for our strategies?

Challenge 3: How do we then choose the right strategies?

The critical challenges associated with Identifying and prioritising projects includes:

Challenge 1: How do we identify projects?

Challenge 2: How do we prioritise projects?

Challenge 3: How should we involve the wider community?

The critical challenges associated with monitoring and evaluating your plan includes:

Challenge 1: How do we develop and use our indicators*? (Appendix XX)

SECTION 6 - MAKING YOUR OPERATIONAL PLAN HAPPEN

THE PRINCIPLES

Strategic planning is about producing a long term plan. It paints the big picture. Operational planning is about producing an action plan to make the big picture actually happen.

Operational planning is about getting down to the nitty-gritty about how you are actually going to make things happen. It is a cyclical process, looks one or two years ahead and organises people, money and activities to get things done. It helps you to prepare an action plan. While everyone wants to see the big picture, every partner or funder will want to know exactly how you are going to achieve things on the ground.

THE PRACTICE

Your action plan will make it clear what needs to be done, who is going to do it, how it will be done, how much it will cost and where you'll get the money from. It will also explain how you are going to measure and manage your progress. It is a very practical and important document and should be constantly monitored and formally reviewed at the end of each year. This will help you measure your progress and reset objectives for the year ahead.

WHAT SHOULD YOUR ACTION PLAN CONTAIN?

Your long term plan will identify themes and set out what you wanted to achieve over the next 5-10 years using each goal. Your action plan will set shorter term objectives (one or two years) as to how you're going to reach each goal. Your action plan should include the following information for each objective:

- who is it for, i.e. the beneficiaries
- a description of the project or activity
- who will manage the project or activity
- how much of their time will it require
- what are the milestones, time skills and targets
- what are the costs and sources of funding
- what are the outcomes and outputs
- how are you going to measure and monitor progress
- what are the risks involved in this project or activity
- what is the priority of this project or activity

SECTION 7 - SOURCES OF INFORMATION AND ADVICE

Recent publications related to pro-active planning for peri-urban settlements include:

UN-HABITAT(2004): Pro-Poor Land Management – Integrating slums into city planning approaches <http://ww2.unhabitat.org/publication/hs72804e.pdf>

UN-HABITAT (2010): Citywide Strategic Planning - A step by step guide http://www.gltm.net/index.php?option=com_docman&task=doc_details&Itemid=19&gid=249

UN-Habitat (2009): Not about us without us – Working with grassroots organisations in the land field. <http://www.gltm.net/en/home/grassroots/not-about-us-without-us-working-with-grassroots-organisations-in-the-land-field/details.html>

UN-HABITAT (2010): Count me in – Surveying for tenure security and urban land management <http://www.unhabitat.org/pmss/listItemDetails.aspx?publicationID=2975>

FIG/UN-HABITAT (2008): Improving Slum Conditions through Innovative Financing - FIG/UN-HABITAT Seminar, Stockholm, Sweden, 16–17 June 2008 <http://www.fig.net/pub/figpub/pub44/figpub44.htm>

FIG/UN-HABITAT (2010): The Social Tenure Domain Model – A pro-poor land tool. <http://www.fig.net/pub/figpub/pub52/figpub52.htm>

SECTION 8 - CASE STUDY AND MATERIAL

The tool book has been prepared primarily to support the land professionals based in sub-Saharan Africa. It is intended for it to be an evolutionary Resource book and thereby provides a platform for member associations to continue adding information in a loose leaf bound system.

This section is available for Member Associations to add and share their own experiences, information and recommendations that will inform their fellow members in sub Saharan Africa. Until 2014, FIG HQ will be responsible for administering this and updating on an annual basis.