### **Good Practice Guidelines**

# Participatory Approach to Core Area Development A Guide to Good Practice

DFID Research Project R 6860

Executive Summary and Overview	
Stakeholder Analysis - Fact Sheet	1
Urban Tenure Arrangements - Fact Sheet	2
Legislative Frameworks - Fact Sheet	3
Physical Factors - Fact Sheet	4
Exploring Community Organisation - Fact Sheet	5
Bringing Stakeholders Together - Fact Sheet	6
Understanding the Mechanisms - Fact Sheet	7
Identifying the Appropriate Course of Action - Fact Sheet	8
Exploring Partnerships - Fact Sheet	9
Participatory Site Planning - Fact Sheet	10
Social and Commercial Viability - Fact Sheet	11
Bibliography, Further Reading and Glossary	

March 2000

Compiled by:

Mike Theis, Tony Lloyd-Jones, Sarah Carmona Submitted by:

Max Lock Centre

University of Westminster 35, Marylebone Road London. NW1 5LS





#### Core Area Development - A Guide to Good Practice March 2000

DFID Research Project R6068

The Max Lock Centre, University of Westminster, produced this report with the support of the Infrastructure and Urban Development Department (IUDD), British Government Department for International Development (DFID). The views expressed are those of the authors and do not necessarily reflect the policy of DFID.

© 2003 University of Westminster

All rights reserved

No part of this publication may be reproduced, stored in any retrieval system, or transmitted, in any form or by any means, electronic, mechanical, photocopying, recording or otherwise, without prior permission of the copyright owners. Nevertheless, short excerpts may be reproduced without authorisation, on condition that the source is clearly indicated. For rights of reproduction or translation, applications should be made to the copyright contacts given below.

The Max Lock Centre

School of Architecture and the Built Environment

University of Westminster

35 Marylebone Road London NW1 5LS

United Kingdom

Tel +44 (0) 20 7011 5000 ext 3131

Fax +44 (0) 20 7911 5171 Email: maxlockc@wmin.ac.uk

Website: http://www.wmin.ac.uk/builtenv/maxlock/

Department for International Development Infrastructure, Health and Education

No. 1 Palace Street London, SW1E 5 HE

Design and layout by Max Lock Centre

Printed by:

The Max Lock Centre University of Westminster London, United Kingdom

The Core Areas research was carried out between June 1997 and March 2001 by the following teams

#### In London

### The Max Lock Centre at the University of Westminster:

(General research and case studies in all locations)

Dr Mike Theis Tony Lloyd-Jones Bill Erickson Ripin Kalra Mark Povey Sarah Carmona

Sugeng Budhi Mulyawan

Haryo Winarso (research student at Development

Planning Unit, UCL)

Lucy Rudwiarti (research student at Oxford

Brookes University) Jitender Chaudhary

Chris Marsh

#### **GHK Research and Development**

(General research, Egypt and India case studies)

Dr Kevin Tayler Fiona MacLuny Dr Janelle Plummer

#### In India

(Delhi case studies)

Max Lock Centre, India:

Inderjit Sagoo Kapil Sharma

#### **Delhi Development Authority:**

Dr K. Srirangan (research student at Development Planning Unit, UCL)

Romi Khosla Associates:

Romi Khosla

Moving Images:

Sanjay Barnela (video recording)

#### In Indonesia

(Jakarta and Bandung case studies)

### Institute of Technology Bandung, Centre for Urban and Regional Planning Studies

Prof. B.S. Kusbiantoro Benedictus Kombaitan Mangisi Irene Pangaribuan Sugeng Budhi Mulyawan Miming Miharja Wilmar A. Salim Donny Prakoso Akbar Trilo Pitra Satvika

Dovi Horas Hutapea (video recording)

#### In Brazil

(Recife case study)

### Federal University of Pernaumbuco, Department of Architecture and Urbanism, Recife:

Dr Circe Monteiro Dr Ney Dantas

Maria Pessoa (video recording)

3<sup>rd</sup> yearstudents of the BA in Architecture and Urbanism

#### In Egypt

(Aswan City case study)

#### University of Glasgow, Department of Geography:

Ahmed Eiweida

The Max Lock Centre would like to thank all those above who generously gave their time and enthusiasm. We are also indebted to the many officials and residents of the case study areas who contributed their local knowledge to the field surveys, workshops and seminars.

Coverguide final

### Bibliography, Further Reading and Glossary

### Bibliography and Further Reading

#### Fact Sheet 1 – Stakeholder Analysis

Narayan D and Rietbergen-McCracken (1998), 'Participation and social assessment: tools and techniques', World Bank, Washington D.C.

Overseas Development Administration (1995) 'Guidance note on how to do stakeholder analysis of aid projects and programmes', Social Development Department, Mimeo, ODA, London

World Bank, 'Social assessment methods' [Online]. World Bank, Washington D.C. <a href="http://www.ln0018.worldbank.org/essd/essd.nsf">http://www.ln0018.worldbank.org/essd/essd.nsf</a> (accessed 13 November 2001)

Bianchi R and Kossoudji S (2001), 'Interest groups and organizations as stakeholders', Paper number 35, June 2001, Social Development Papers, The World Bank publication, Washington D.C. in

http://lnweb18.worldbank.org/ESSD/sdvext.nsf/81ByDocName/ToolsandMethods Stakeholderanalysis (accessed 11 December 2003)

World Bank, 'Stakeholder analysis' (online). World Bank, Washington D.C. in <a href="http://lnweb18.worldbank.org/ESSD/sdvext.nsf/81ByDocName/ToolsandMethods-5takeholderanalysis">http://lnweb18.worldbank.org/ESSD/sdvext.nsf/81ByDocName/ToolsandMethods-5takeholderanalysis</a> (accessed 11 December 2003)

Danish Ministry of Social Affairs and others.1999. "Building Stakeholder Relations. Third International Conference on Social and Ethical Accounting, Auditing, and Reporting." November 14-16. Copenhagen, Denmark. http://www.stakeholder.dk/contact.htm.

Ernst & Young LLP, KPMG, Pricewaterhouse-Coopers, and the House of Mandag Morgen. 1999. "The Copenhagen Charter. A Management Guide to Stakeholder Reporting." Copenhagen, Denmark: House of Mandag Morgen.

"Findings." 1997. "Best Practice in Participation Planning and Development of the Mali Pilot Participation Project." Vol.18 (July). Africa Region, World Bank, Washington, D. C. www.worldbank.org/afr/findings/infobeng/infob18.htm

Friedheim, D. V. 2000. "Interest Groups as Stakeholders: Concepts and Field Techniques." Mimeo.

Jenkins, G. 1998. "Evaluation of Stakeholder Impacts in Evaluation Analysis." Development Discussion Papers no. 631. Harvard Institute of International Development, Cambridge, Ma.

Kahn, J. 2000. "World Bank Rejects China's Proposal to Resettle Farmers." *The New York Times*, Late edition (East Coast), July 8. A.3

Kluyver, C. A. 2000. *Strategic Thinking: An Executive Perspective*. Upper Saddle River, N. J.: Prentice Hall.

The New York Times. 1999. "Loan for a Land Grab." (Editorial). June, 23, Late Edition (East Coast), A.18.

Overseas Development Administration. 1995. "Guidance Note on How to Do Stakeholder Analysis of Aid Projects and Programmes." http://www.oneworld.org/euforic/gb/stake1.htm. United Kingdom.

United Nations Development Programme. 1998. "Empowering People: A Guide to Participation." http://www.undp.org/csopp/CSO/NewFiles/docemppeople.html.

A CSOPP document: http://www.undp.org/csopp/CSO/NewFiles/documents.html

Empowering People: A Guide to Participation UNDP, 1998

Weaver, R. G., and J. D. Farrell. 1999. *Managers as Facilitators*. San Francisco Cal.: Barrett-Koehler Publishers.

World Bank. 1996. *The World Bank Participation Sourcebook*. Washington, D.C. www.worldbank.org/wbi/sourcebook/sbhome.htm.

#### Fact Sheet 2 – Urban Tenure Arrangements

Dowall, David. 1995. *The Land Market Assessment: A New Tool for Urban Management*. Urban Management Program Discussion Paper No. 4. World Bank.

Dowall, David and Giles Clarke. 1996. A Framework for Reforming Urban Land Policies in Developing Countries. Urban Management Program Discussion Paper No. 7. World Bank.

Dowall DE and Leaf M (1990) 'The price of land for housing in Jakarta: An analysis of the effects of location, urban infrastructure, and tenure on residential plot prices', IURD Working Paper 519, University of California at Berkeley, Institute of Urban and Regional Development

Payne GK (1997) 'Urban land tenure and property rights in developing countries: A review', Intermediate Technology Publications, London

Payne GK (2001) 'Urban land tenure policy options: Titles or rights?' Habitat International, Vol 25 No 3

Oetomo A, Kusbiantoro BS (1998) 'Improving urban land management in Indonesia' in Ansari J, Einsiedel N (eds) (1998) 'Urban land management, improving policies and practices in developing countries of Asia', Oxford & IBH Publishing Co.

Social Housing Foundation (1999) 'Social housing tool kit', South Africa

#### Fact Sheet 3 – Legislative Frameworks

Angel S and Boonyabancha S (1988) 'Land sharing as an alternative to eviction: The Bangkok experience', TWPR, 10 (2) 1988, pp107-127

Payne GK and Majale M (2004) 'The Urban Housing Manual: Making Regulatory Frameworks Work for the Poor', Earthscan, London.

#### Fact Sheet 4 – Physical Factors

Lynch K. (1971) 'Site planning' (Second Edition) The MIT Press, Cambridge Massachusetts and London, England pp91-94

Llewelyn-Davies, English Partnerships, The Housing Corporation (2000) 'Urban design compendium', English Partnerships, London

#### **Fact Sheet 5 – Exploring Community Organisation**

Angel S and Boonyabancha S (1988) 'Land sharing as an alternative to eviction: The Bangkok experience', TWPR, 10 (2) 1988, pp112-113

Archer RW (1999) 'The potential of land pooling/readjustment to provide land for low-cost housing in developing countries', in Payne GK (ed) (1999) 'Making common ground: Public private partnerships in land for housing', Intermediate Technology Publications, London

Deepa Narayan (1995) 'Designing community-based development', Participation Series, Environment Department Paper No.7, World Bank, Washington D.C.

Payne GK (ed) (1999) 'Making common ground: Public-private partnerships in land for housing', Intermediate Technology Publications, London

Social Housing Foundation (1999) 'Social housing tool kit', South Africa

World Bank, 'The World Bank Participation Sourcebook' [Online], World Bank, Washington D.C. <a href="http://www.worldbank.org/wbi/sourcebook/sbhome.htm">http://www.worldbank.org/wbi/sourcebook/sbhome.htm</a> [accessed 13 November 2001]

#### Fact Sheet 6 – Bringing Stakeholders Together

Wates N (2000) 'The community planning handbook: How people can shape their cities, towns and villages in any part of the world', Earthscan Publications Ltd, London

UNCHS (1996) 'Settlements planning and management' p324 in 'An urbanising world global report on human settlements', United Nations Centre for Human Settlements (HABITAT), Oxford University Press, Oxford

#### Fact Sheet 7 – Understanding the Mechanisms

Adusumilli U (1999) 'Partnership approaches in India', in Payne GK (ed) (1999) 'Making common ground: Public-private partnerships in land for housing', Intermediate Technology Publications, London

Archer RW (1999) 'The potential of land pooling/readjustment to provide land for low-cost housing in developing countries', in Payne GK (ed) (1999) 'Making common ground: Public-private partnerships in land for housing', Intermediate Technology Publications, London

Healey P, Purdue M and Ennis F (1995) 'Negotiating development: Rationales and practice for development obligations and planning gain', E & FN Spon, London

Lee T (1998) 'Improving urban land management in Korea', in Ansari J, Von Einsiedel N (eds) (1998) 'Urban land management, improving policies and practices in developing countries of Asia', Oxford & IBH Publishing Co.

Payne GK (1998) 'Public-Private Partnerships in the Provision of Land for Housing', DFID, London

Sheng YK (1989) 'Some low-income housing delivery subsystems in Bangkok, Thailand', *Environment and Urbanisation*, Vol. 1, No 2.

Turner JFC (1988) 'Community building', Building Community Books

UNCHS (1996) 'Settlements planning and management', in An Urbanising World Global Report on Human Settlements, United Nations Centre for Human Settlements (HABITAT), Oxford University Press, Oxford

Winarso H (1995) 'Housing for low-income people in Indonesia, the inner city redevelopment strategy: Learning from the "Industri Dalam" case in Bandung', paper presented at an International workshop on Neighbourhood Redevelopment Zhongshan University, Guangzou, China 1995.

Winarso H (2000) 'Inner-city redevelopment strategy: The role of agents in the development process, a lesson from two cases in Indonesia', to be published in forthcoming edition of *Town Planning Review* 

#### Fact Sheet 8 – Identifying the Appropriate Course of Action

Davidson F and Payne GK (ed) (2000) 'Urban Projects manual: A guide to preparing upgradings and new development projects accessible to low income groups', Liverpool University Press, Liverpool.

#### Fact Sheet 9 – Exploring Partnerships

Archer RW (1999) 'The potential of land pooling/ readjustment to provide land for low-cost housing in developing countries' in Payne GK (1999) 'Making common ground: Public-private partnerships in land for housing', Intermediate Technology Publications, London

Payne GK (1998) 'Public-private partnerships in the provision of land for housing', DFID, London

Plummer J (2002) 'Focusing Partnerships: A Sourcebook for Municipal Capacity Buildings in Public-Private Partnerships' Earthscan, London

#### Fact Sheet 10 – Participatory Site Planning

Roberts M and Greed C (ed) (2001) 'Approaching Urban Design', Longman, Harlow

Max Lock Centre (1999) 'Review of the Central Cairo Study Areas', a draft working paper, Max Lock Centre, University of Westminster.

Eiwieda A (1999) 'Pro-poor (re) development practice and its impact in the core areas of Thirld World rapidly developing cities: Tabya – A case study', a draft working paper, Max Lock Centre, University of Westminster.

UNCHS (1996) 'Settlements planning and management', in 'An urbanising world global report on human settlements', United Nations Centre for Human Settlements (HABITAT), Oxford University Press, Oxford

#### Fact Sheet 11 - Social and Commercial Viability

Adler T (2000), 'Reclaiming the city: The impact of the Johannesburg Housing Company' [Online], Urban Futures Conference Paper, Johannesburg <a href="http://www.wits.ac.za/fac/arts/urbanf/papers/adler,t.html">http://www.wits.ac.za/fac/arts/urbanf/papers/adler,t.html</a> [accessed 29 January 2002]

Cadman D and Topping R (1995), 'Property development' (Fourth Edition), E & FN Spon, London

Marsh C (2001) 'Urban design and development economics ' in Roberts M and Greed C (eds) (2001) 'Approaching urban design: The design process', Pearson Education, Harlow

Payne GK (1995) 'Designing appropriate and affordable settlements in Bolivia' Training assignment for Lund Centre for Human Settlements Sweden. Contributing to other training programmes in Sweden and El Salvador (<a href="http://www.btinternet.com/~g.k.payne/Personal/Resume/">http://www.btinternet.com/~g.k.payne/Personal/Resume/</a> (accessed 11 December 2003)

### Glossary of Terms<sup>1</sup>

**Action planning:** the process of establishing a brief or developing proposals as a combined effort involving all of the different stakeholders; an action planning process can take several different forms

Brief (development brief; planning brief): see dev brief and planning brief below

**Capacity building:** the process of increasing the strength, organisation, knowledge and skills of a community, usually undertaken in parallel with a third party

**Capital investment:** an investment in fixed capital assets (land, property, construction of property, internal fittings, equipment)

**Communal property association:** a type of community organisation which allows a community to own a piece of land collectively; the rights of individual members are democratically negotiated

**Community land trusts:** a type of community organisation that owns the land and property on a communal basis; houses are sold (on a long lease) to qualifying members of the trust, whilst the trust retains ownership of the land and buys back the properties when an owner wishes to sell

**Community organisation:** a means of establishing the community as a single legal entity

**Companies:** a type of legal organisation (adhering to specific criteria), defined according to the way that it raises capital, either through issuing shares or guarantees

**Co-operatives:** a type of community organisation, where a co-operative owns residential buildings and then leases them on to their tenants; each tenant purchases shares in the co-operative and each receives a housing unit

Core area: a central and most accessible area within a city

**Design brief**: another form of supplementary design guidance. The term has a variety of meanings and is used inconsistently. Different planning authorities use different terms: planning brief, development brief, principles of development, planning guidance, planning framework, as well as design brief. One of the common characteristics of different definitions of briefs is that they provide detailed development quidance for specific sites, distinguishing them from design quides, which focus on areas or issues.

**Development brief**: a statement that may be produced by a local planning authority or developer setting out guidelines of their view for the development of a specific site or area. It will usually identify the *planning gains* that a local planning authority hopes to achieve from the development, and may incorporate

-

<sup>&</sup>lt;sup>1</sup> The glossary of terms relates to selected words as used within the context of the Good Practice Guide.

and *urban design brief*. A developer's brief will naturally set out what the developer hopes to achieve and may vary considerably from that of the local planning authority.

**Development gain**: the increased value (usually extracted in the form of commercial profit) accruing as a consequence of the development process

**Development trusts:** community-led enterprise organisations, working in towns, cities and rural areas across the UK, combing community-led action with business expertise (http://www.dta.org.uk/content/devtrusts/why.html)

**Financial Viability:** the most commonly used method for appraising the viability of development proposals is the *residual method of evaluation*.

Freehold: ownership of land or property for an indefinite length of time

**Gentrification:** the process whereby the property and land within a run-down neighbourhood increases in value due to improvements in the physical fabric and/or external image or commercial desirability, which consequently forces out existing inhabitants due to increased rents and property values

**Honest broker:** an intermediary (third party) who acts during the negotiation process to ensure that all information presented is neutral and unbiased, and acknowledged as such

*Illegal construction:* building on land without permission from either the owner or local authority

*Illegal purchase and sale of land/property:* the illegal purchase or sale of land that is legally owned by another party

*Illegal squatting:* living on land without permission from either the owner or local authority

*Illegal subdivision:* the legal owner subdivides the land or property for residential or commercial reasons without the permission of the local authority

**Instalment sale:** similar to *rent to buy*, but with the exception that the tenant must declare their intention to buy as soon as they occupy the property

**Leasehold:** long-term rental of a property or piece of land; the lessor controls rights of use and development.

**Low-income community**: the urban poor, living and working within the core area

**Mixed Use:** development comprising more than one use and value, within a single plot or building, or a site with multiple buildings

*Miri:* an Islamic form of tenure; the state retains ownership and registration of the land but transfers rights of *usufruct* allowing an individual to sell or let land, or transfer it to their heirs

Mulk: an Islamic form of tenure; individual right of ownership

Musha: an Islamic form of tenure, mainly rural; land that is collectively owned

**Planning for real:** Technique for community involvement in planning and development focussing on the construction and use of flexible cardboard models and priority cards. Devised by Tony Gibson and now promoted by the Neighbourhood Initiatives Foundation (Wates 1996:93)

**Planning gain:** a procedure used by local planning authorities to get some of the increased value that can accrue to a site and its owner by the granting of planning permission returned to the public realm. Conditions are attached to the permission that require the developer to pay for investments in infrastructure or community facilities that would normally be paid for from the public purse. It is a procedure fraught with controversy but is now recognised by government and incorporated in the planning legislation as planning obligations (S 106 Town and Country Planning Act 1990). Policy guidance is given in DoE circular 19/91 Planning Obligations.

**Property rights:** relate to the use or ownership rights that an individual or group of people may have over property or a piece of land.

**PRA methodologies:** Participatory Rural Appraisal approach and method for learning about rural life and conditions from, with, and by rural people (Chambers, 1992).

**Regeneration:** a fashionable term in the UK that implies the possible involvement of one or more of the many government sponsored funding agencies promoting public/private partnerships in financing city redevelopment projects. There is now a niche market for advisors to lead a way through this maze (MT version). A term that in the UK implies physical redevelopment; cultural, social or economic measures that promote improvement, or a mixture of any number or all of these (Roberts 2001 p170).

**Regularisation:** (of tenure); the legal endorsement of informal or constitutional rights to use/own land

**Rent to buy:** after an agreed time, a renting tenant is given the opportunity to purchase the property

**Rental:** a fixed term agreement between the owner of a property and a tenant to possess and use a property

**Residential density:** sometimes measured in number of dwellings or bed spaces per hectare and, in local plans in the UK, the number of habitable rooms per hectare.

**Shared ownership:** The tenant purchases a share of the freehold of the property and pays the remaining amount in rent instalments to a housing association that owns the housing unit

**Social capital:** the rules, norms, obligations, reciprocity and trust embedded in social relations, social structures, and society's institutional arrangements, which

enable its members to achieve their individual and community objectives (Narayan 1997 p50).

**Stakeholder:** an individual or group that have an 'interest' in development, either through ownership, residency (legal or otherwise), employment, control, or enduser

**Stakeholder analysis:** An analysis of identifying people, groups and organizations that may be affected by the policy reform or that may affect the reform (World Bank website accessed 111203).

**Super block development:** large scale development of simplistic form which limits the opportunities to sub-divide the development into small elements

**Sustainable livelihoods:** a livelihood that can cope with and recover from stressed and shocks and maintain or enhance its capabilities and assets both now and in the future, while not undermining the natural resource base (Carney, 1998, p4).

**Tenure:** land tenure relates to the way a piece of land is either held or owned and how it is used.

**Urban design brief:** Sometimes also called design brief or urban design framework.

**Urban design framework:** a policy document setting out the broad guidelines for a city district within which more detailed urban design studies will be carried out.

**Urban renewal:** the clearing and rebuilding and redevelopment of urban slums (http://www.hyperdictionary.com/dictionary/urban+renewal, accessed 111203)

**Waqf:** an Islamic form of tenure; land held by god in perpetuity to protect public buildings (e.g. mosques, schools etc) from land speculators and developers