

# ESTABLISHING A MULTI-STAKEHOLDER FORUM FOR URBAN MOBILITY

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**This is a review copy of our Quick Guide on Establishing a Multi-Stakeholder Forum for Urban Mobility. Please do not cite the Document.**



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QUICK GUIDE:  
ESTABLISHING A  
MULTI-STAKEHOLDER FORUM  
FOR URBAN MOBILITY

This is the fourth in a series of quick guides on urban mobility.  
The others are on how to develop an urban mobility plan, how to set up a metropolitan transport authority,  
and how to develop an urban mobility compact.

The complete set will be released in early 2013.

**Version Two**  
**February 2013**

## KEY MESSAGES

This quick guide is meant to provide city level officials with an easy to understand guidebook on how to establish a multi-stakeholder urban mobility forum. It is the fourth in a series of quick guides addressing urban mobility planning, following guides on how to develop an urban mobility plan, how to set up a metropolitan transport authority, and how to develop an urban mobility compact.

The key messages of this guide are:

- A multi-stakeholder urban mobility forum is a process, not an event. Its form and structure is likely to evolve in response to events, context, and outcomes of the forum process itself.
- Strong political leadership and commitment is critical to a successful forum, and stakeholders of all types must be encouraged to participate, which includes convincing them that their input will be taken seriously, and then having decision makers take the input seriously.
- Careful planning and attention to detail is key to successfully carrying out the serious and challenging forum process.

# INTRODUCTION

Traditionally, transport planning has been done with little direct input from end users. This has resulted in an increasingly “user-unfriendly” and “inequitable” mobility environment, especially in developing cities. One example of this is earmarking huge amounts of public money for building wider roads and flyovers, thereby facilitating mobility of personal vehicles which are used by a minority of the urban population and neglecting provision of decent public transport services and non-motorized transport infrastructure, the only means of mobility for a large segment of travelers.

However, of late, public distrust of past planning approaches have made planners in the most progressive cities move away from their “plan, consult, defend” model of planning by “us”, for “them” (DCLG, n.d.). Recently, both transport and broader urban planning – in both theory and practice – have moved toward more participatory and less top down planning processes. This booklet, part of a series on improved planning for urban mobility, seeks to provide guidance to cities and the regions around them about how to establish one such participatory process. It lays out a simple, easy to understand, stepwise process for establishing a multi-stakeholder forum for urban mobility.

We define this Forum as an inclusive process wherein stakeholders of all types feel welcome to participate and express their views, which will be respected and taken into account as authorities move forward with transport planning. This forum is not a one off event, but a living, evolving process that typically includes multiple events.

## WHY A MULTI-STAKEHOLDER FORUM FOR URBAN MOBILITY?

To start with, a multi-stakeholder forum brings strengthened voice, better informed plans, strengthened capacity of citizens and governments, better understanding, enhanced transparency and accountability, and strengthened democracy in the city or region undertaking it (Rietbergen-McCracken, n.d.). It leads to improved delivery of public goods and services with the ability to address cross-cutting issues by learning more about the needs, aspirations, constraints, and attitudes of end users, but also providers and planners, both of those directly in transport as well as those related to it. Such a forum can highlight the needs of the most marginalized in society who are often overlooked.

There are very few places in the world where urban mobility is planned and managed in an integrated way. In fact, one of the key reasons why this sector poses threats for sustainability in developing cities today is the lack of institutional integration and adequate representation of the broader economic and society, lop-sided and interest-driven interventions. This sector has grown so rapidly in the past decade that most governments find themselves grappling with the challenges of managing its various aspects (i.e. planning, operations, social and environmental impacts, economic impact, design, inter-linkages with other sectors, regulation, maintenance, investment, etc.). One of the things that has certainly been missing in this space has been citizen participation and a multi-stakeholder approach for planning and monitoring urban mobility projects.

## WHO IS INVOLVED?

Stakeholders of urban mobility – anyone with an interest in the outcome of urban transport policy – including end users, service providers, planners, financiers, government officials of all levels, and both groupings and subsets of this list. While many may be identified by those involved in official planning, others with an interest

might be overlooked, and thus the outreach should be spread as broadly as possible. Deciding how groups should be represented, and balancing different interests, is perhaps one of the most difficult decisions of the process. Typically the government transport planning agency (which ideally would have some non government representation in any case) will have a preliminary list of those with whom they interact regularly. This should be expanded, and there should be ample opportunity for citizens, businesses, and other interested parties to “self identify”.

It should be noted that this process also seeks to facilitate cross-institutional cooperation within a municipal or regional government as well as incorporate stakeholders from outside the government. The broader public participation also helps government work better by allowing government planning agencies to better understand and serve their end users, a key benefit in situations of limited capacity and resources.

In areas where public-private partnerships are used to provide either transport infrastructure or services, it is essential to include those involved, such as private sector operators, bankers or equity investors, and regulators. Likewise, special attention must be paid to include the most vulnerable, traditionally not included in such processes, as they are those who most rely upon public transit and more sustainable non motorized transport that often are not considered sufficiently if at all in urban mobility plans.

While multi-stakeholder efforts have great benefits, they also bring challenges. They take considerable time and money, challenge traditional and existing planning structures and conventions, and are often difficult to scale up, especially in cases of limited capacity. Moreover, they are likely to encounter serious resistance and, more critically, may be subject to manipulation, so special care is needed to ensure that all, especially the weakest and those suggesting change, are granted space to participate. There is a tradeoff between ease of process and inclusiveness, and each forum will need to find its own balance, but should strive to be as inclusive as possible given the positive payoff in the long run. Risks can be mitigated somewhat by transparency (including about time and cost), involving key decision makers and actors from the start, planning for micro-macro geographic linkages (including across modes of transport), providing extra support to marginalized groups, emphasizing respect of differences of opinion within the process, and concerted follow-up with local stakeholders (Rietbergen-McCracken, n.d.). High level commitment to success, along with adequate resources, also help ensure that the forum process is useful. It should be noted that more time and discussion in the planning stage will be balanced by having more acceptance and less resistance in implementation.

Typically, stakeholders of urban transport related interventions would include:

- City authority
- State and local planning and development authority
- National level planning authority
- Regional/state/provincial transport authority
- Roads/public works department
- Transport service operators (bus/train/taxi /three-wheelers/vans/microbuses/motorcycle taxis/ferries/others)
- Owners and operators of transport infrastructure
- City elected representatives
- Citizen group representatives, civil society organizations
- User groups (low income marginalized groups, women, students, physically challenged, elderly, etc.)

- Local businesses/shopkeepers
- Operations personnel (drivers, conductors, others)
- Financing entities, investors
- Traffic police
- Environment departments
- Research institutes/academia

## WHAT?

Urban mobility involves more than just transport, though transport is at its heart. Most analysts now link urban mobility to sustainable transport, as cities and the regions around them aim to minimize their carbon footprints while still providing both economic opportunities and livelihoods along with accessible, enjoyable and healthy living environments for their citizens.

The aim is to achieve sustainable transport systems that are environmentally-friendly, safe, affordable, and accessible for all. Not all stakeholders will be equally knowledgeable, so capacity building likely will be needed. The table below defines key transport concepts that might arise during a mobility forum process. It is not exhaustive, but provides additional resources for those who seek additional information.

Increasingly, cities and their citizens realize that urban form affects transport, and vice versa, and thus the two must be addressed together. This is especially the case in cities in developing countries where urbanization is occurring rapidly, as cities and the transport systems that support them are being built. Transportation networks allow citizens to move from place to place, and cities often develop around these networks. The table below highlights some of transport's links to other key urban sectors. A multi-stakeholder forum allows the inclusion of the different perspectives of a wider range of stakeholders than usually incorporated in traditional transport planning exercises, and thus is expected to lead not only to better mobility solutions, but also better cities. This guide thus provides a path towards that end.

## LINKS BETWEEN TRANSPORT AND OTHER SECTORS

SECTOR	ISSUES WHICH IMPACT ON TRANSPORT
Healthcare facilities and location policy	<p>1. A key issue for transport provision concerns the types of facility, frequency of use, and ease of access by users. The cross-sector tradeoff is likely to be between facility size (and the economies that can be gained by the health sector from larger size) and proximity to users (who, the further they have to travel, must rely increasingly on expensive transport).</p> <p>2. Another dimension to this tradeoff concerns the ability to provide the facility; in particular, it may be harder to staff a large, more centrally-based facility than a number of smaller units that are more dispersed and easier to access.</p>

Education	<p>1. The issue for education is very similar to that of the health sector, the tradeoff occurring between size of school facility and ease of transport access. For example, in terms of access for pupils and staff, some teachers are forced to go to the city center and then come back out again (i.e. routes run in and out, but radial routes are not common, which affects the central versus dispersed question).</p>
Formal employment	<p>1. The location of employment opportunities with respect to community dwellings is crucial to the levels of transport needed to get commuters to and from work.</p> <p>2. Transport also provides an employment opportunity. However, in the formal sector, opportunities may be limited because of reactions against public sector involvement in transport operations, and the non-competitiveness of 'big-bus' operations.</p>
Informal employment	<p>1. Informal employment is often concerned with trading activities, and the special needs of traders to access urban markets</p> <p>2. The informal transport sector is a very large source of employment for unskilled and semi-skilled workers.</p> <p>3. Transport operators can be insensitive to informal traders, as their goods can be seen to be taking up seats/room. They are then forced to hire vehicles at several multiples of the bus fare.</p>

Source: Fouracre, Sohail, and Cavill, 2006

## HOW? WHEN? WHERE?

The rest of this guide lays out a step-by-step process that can be followed to organize an effective and inclusive multi-stakeholder urban mobility forum. In an attempt to simplify and organize the process, it presents five steps, although it is likely that there would be iteration between several of them in many fora. In almost all cases, each step itself can be expanded into several sub-steps. The discussion has been kept broad while providing more resources for those who wish to dig deeper on any one question or issue. Each step contains suggested forms of public engagement, goals, participants, outcomes or outputs, and resources needed, and discussion of important points. Additional resources are found at the end of the document, organized by topic.

The process explained is:

STEP 1 – PLAN: TEAM, PURPOSE, STAKEHOLDERS, TIMETABLE, AND LEVEL OF PARTICIPATION

STEP 2 – PARTICIPATORY PROCESS: SELECT AND IMPLEMENT APPROPRIATE METHOD(S) OF PARTICIPATION

STEP 3 – ANALYZE AND SYNTHESIZE INFORMATION, OPINIONS, AND DATA GATHERED

STEP 4 - DRAFT AND PRESENT PROPOSED PLAN

STEP 5 – POST IMPLEMENTATION MONITORING AND EVALUATION

Step 1 involves planning and defining the details of the team, purpose, stakeholders, timetable and level of

participation. While this step can be difficult and time consuming, poor planning will doom the forum if not done thoroughly. This includes budgets and explicit discussion of constraints and limits, whether financial, time, or scope. Communicating both aspirations and constraints of the forum process is critical from the outset, as it establishes a key link and confidence with the broader public. The process generally is led by a transportation and/or land use planning authority of some type, and high-level support is essential for success. If such an authority does not exist, then a steering committee will need to be established even before step 1 can begin. This booklet is the fourth in a series of guides that includes establishment of such an authority.

Step 2 is the participatory process. This begins with the assessment and selection of the type of participatory method(s) that will be implemented as part of the forum. There are many types of participatory methods available, and the choice of the appropriate ones – as it is usually a combination of them that are needed, especially where populations are diverse – depends on many factors, so alternatives are presented and discussed.

Step 3 involves analysis and synthesis of the information, opinions, and/or data gathered during the participatory sessions and processes. This is a step that is often assumed in guidebooks, but is highlighted in this report to emphasize the importance that must be given to the incorporation of ideas presented during the participatory processes included in this stage of the forum. This stems from the experience of citizens around the world who are not formally involved in these planning processes, and who feel that “stakeholder meetings” held typically allow them space to blow off steam, but that inputs are not taken seriously or paid any attention to. Explicitly addressing this stage, and providing a simple tool to capture inputs and the response to them, allows for a more transparent and responsive process.

Step 4 is drafting and presenting the overall plan and its implementation timeframe. This is the typical planning process. A plan is drafted and presented to the public. It should be made available in various ways, and sufficient time provided to return to step 2, participation, to get reactions. This iterative process should continue until there is consensus about approval and implementation of the plan. While consensus is often difficult to attain, given the real and difficult tradeoffs implied in the mobility planning process, time allotted for this stage often determines the extent of the iteration. However, the more transparent and inclusive process should help build support for the plan, and allow all involved to understand why decisions were taken.

Step 5 is monitoring and evaluation of implementation. Techniques to make this stage participatory and inclusive of many stakeholders are presented. This is often not addressed in this type of forum, but is included here to emphasize the life-cycle notion of the process, and attempt to include feedback into every aspect of the plan, so that the plan truly lives and does not just sit on a desk.

The process overall is structured flexibly, so that it can be adapted to the needs of the urban mobility situation at hand. In order to make this booklet more accessible, we will present one example process and trace it through the steps, along with presenting well-known successes in specific steps. The steps are then followed by a brief conclusion and list of the references we used in writing this report, along with an additional resources section for those seeking more detail on the methods and issues presented.

## STEP 1 – PLAN: THE TEAM, PURPOSE, STAKEHOLDERS, TIMETABLE, AND LEVEL OF PARTICIPATION

- Form of public engagement: call for interested parties by planning group
- Goal(s): identify scope of process; identify issues; identify stakeholders; identify potential participants; identify constraints and timetable; creation of terms of reference (TOR) for forum; draw up a budget; establishment of working groups in relevant topic areas, if appropriate
- Participants: high level leadership from relevant government offices, relevant decision makers, private sector, NGOs, community organizations, citizens
- Outcomes/outputs: Lists and contact info; terms of reference for forum
- Resources needed: neutral organizing body or planning group, political support, public interest

The process begins with a call for interested parties by the authorized planning entity. It is expected that the planning entity issuing the call, organizing the process, and compiling the outcomes of the various participatory processes and events would be members of the planning committee with representatives of government agencies such as the Metropolitan Urban Transport and Development entity, with one mid to high level official formally in charge of this effort. If no such entity exists, a high level official with authority over this topical area would need to establish such a committee, which we will refer to as the Executive Committee. (Other quick guides in this series cover establishment of such an entity).

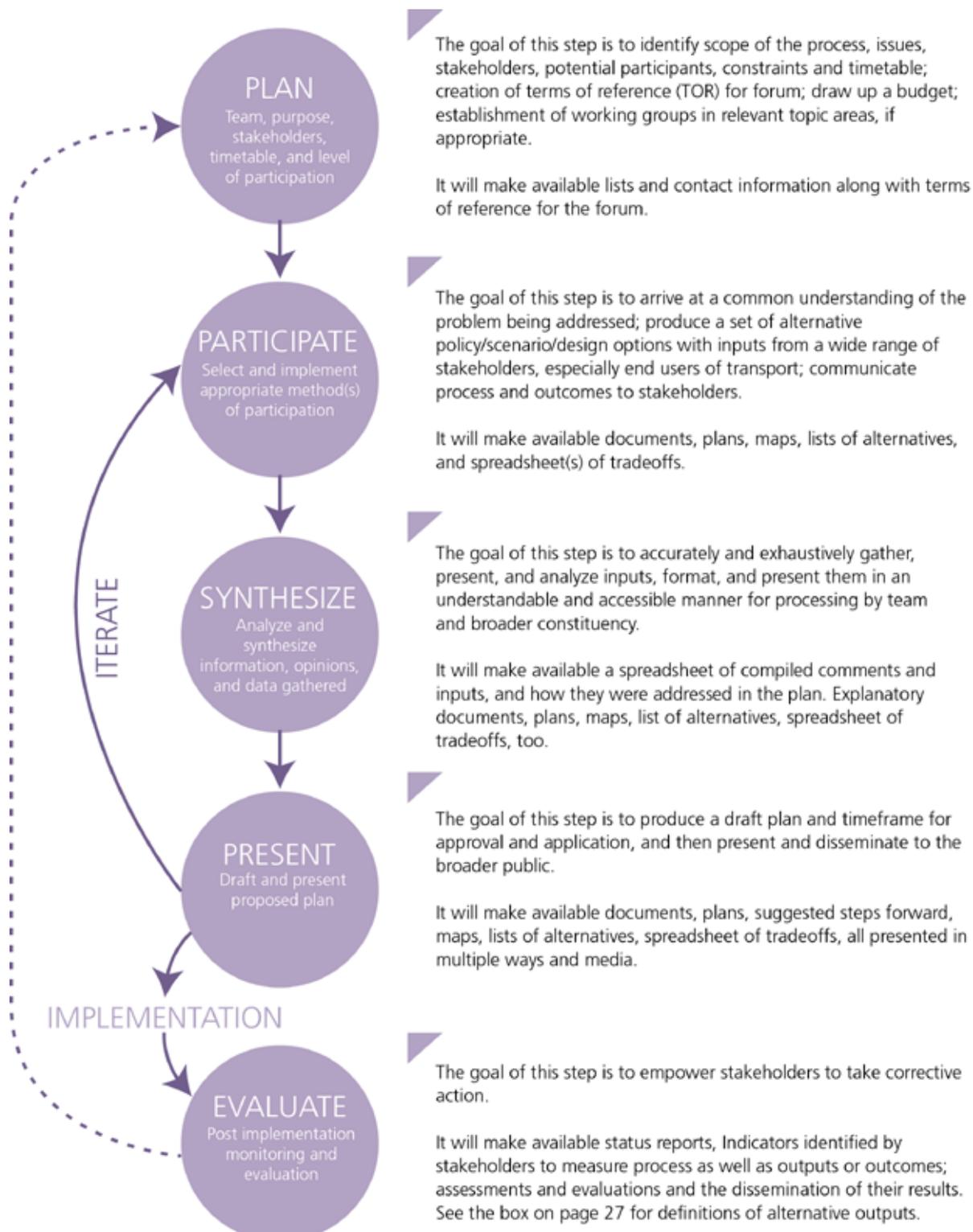
Ideally, the planning entity is seen as neutral and an honest broker, both as an institution, and more specifically the people overseeing the process such as the point of contact. Realistically speaking, the planning entity for a multi-stakeholder urban mobility forum would be the city authority, a local university or strong NGO group. However, this is not to say other entities cannot initiate this process.

The response to the call for interested parties alerts the Committee to issues, individuals, and groups that the Forum process should include and address. It is important that this call be as broad as possible, in terms of reach, languages, media, and methods. This would include media placements such as articles, appearances, and announcements in both traditional and more social media outlets including newspapers, radio, television, posters/murals in areas where other methods are less likely to reach, planning and neighborhood associations, publications and events, and relevant social media in your area (i.e., twitter, facebook, orkut, etc.). Making this call attractive and accessible to those of lesser means is essential to have the stakeholder base as wide as possible. This may include sending representatives with appropriate language skills into communities to talk to people, especially those who typically are underrepresented, unable to attend meetings, and with limited access to other forms of communication.

The goal of this step is to establish terms of reference for the forum, both formally, and informally. This includes identifying scope of process, the issues to be addressed, stakeholders and potential participants, and the constraints of the forum and the process. Ideally the forum is a broadly defined, ongoing process addressing mobility options, but it could also be used to address a specific issue, or process, such as development and oversight of transportation or mobility plans. It is recommended that a forum not be established for a specific project; if there is a major project a working group can be established within the forum. One of the tasks in the Terms Of Reference may be a capacity building element, which can be built into the participatory methods addressed in Step 2 below.

Typically, at this stage, the questions asked and addressed include:

- What and why: What are the purposes and goals of the multi-stakeholder forum? What are its responsibilities?
- Who: Who should participate in the forum? What criteria are used for choosing forum members? Who should guide the Forum? Who will provide its staff and funding? To whom does the Forum report? Who will ensure that the Forum's recommendations are implemented or addressed? Do members of the staff, leadership, and broader public require additional training so that this process can run smoothly?
- When: How often should the forum leadership meet? How long should different stages in the forum last? At what stages is broad public participation especially important?



- Where: Where should this Forum's events occur, and where should its work (and physical and digital outputs) be housed?
- How: How will the activities of the multi-stakeholder forum be funded? How will the multi-stakeholder forum truly represent and engage with the larger community? (adapted from UN-HABITAT, 2008)

Participants in this step – both as part of the call as well as targets of it - include high level leadership from relevant government offices to convey the serious nature of this endeavor, mid and lower level government representatives as they often hold untapped knowledge and insights, various user groups, community organizations and other NGOs who work in relevant areas, private sector businesses, and citizens from all strata and subgroups of society. Another key stakeholder from the urban mobility space would be the formal and informal service providers (individuals, companies or associations), both in transport and other sectors.

The outputs of this stage would be comprehensive lists with contact information of potential participants, and a budget and terms of reference (TOR) for the forum process. This TOR would include explicit timelines, purposes, and procedures, with one point of contact named (along with contact information provided) in the planning entity overseeing the process, and should answer the questions listed above.

This stage might also include the establishment of working groups on specific transport related topics, if the broader planning committee views this as necessary. While these working groups will help address specific transport issues, it is essential that transport services and infrastructure be viewed in an integrated and holistic manner, as mentioned in the previous chapter.

Scheduling is a critical part of managing the activities as well as securing resources and commitments from relevant stakeholders. If an outcome must be reached by a certain time, some suggest starting with this final deadline and moving backwards incrementally from there, creating intermediary deadlines along the way in order to manage time effectively. This can be challenging if there are multiple working groups and stakeholders, however buy-in generally helps when implementation occurs. Once the schedules have been defined, the overall TOR and process can be developed. This is an opportunity to gain clarity on the process and invite feedback from other stakeholders. Included should be information on: the purpose and goals of the proposed participation, stakeholders, participatory activities, participatory methods, timeframe, venue, organization and resource requirements (UNESCAP, 2003).

The next stages would then proceed with both working groups and the overall team advancing in a parallel fashion. While this may lead to redundancies and overlap, this should not be viewed negatively. While experts may divide concepts into buses, non-motorized transport, or rail, most users think of transport services overall, in terms of “how am I going to get to my destination?” as one topic. Thus, citizens should have different options available to them in terms of to whom and how to express their opinions and provide input into the forum process.

#### URBAN MOBILITY WORKING GROUP TOPICS

An urban mobility forum may need to break up into smaller working groups, either on a temporary or longer term basis, depending on its goals and objectives. The list below presents a non-exclusive list of some possible and common topics for such working groups, though all are not needed in all situations. They are presented in

alphabetical order and the list does not imply any prioritization.

- Capacity building
- Community issues
- City/region linkages with broader transport systems
- Documentation and data dissemination/communications
- Existing infrastructure and roads
- Financing transit systems
- Freight transport linkages with passenger transport
- Gender issues
- Health and road safety
- Informal transport
- Infrastructure linkage with other public services (drainage, water, etc.)
- Integrated land use and transport planning
- Integrated transport (bus-rail integration, bus-BRT integration, feeder services)
- Intelligent transport systems (ITS)
- Long term planning
- Two and three-wheeler transport-related Issues
- New infrastructure and roads
- Non-motorized transport (NMT) (perhaps with subgroups for Biking and Pedestrians)
- Parking policy and management
- Project management
- Public space
- Quality assurance/monitoring and evaluation
- Traffic management
- Underserved population issues

Also, the above could be re-grouped into the following 4 broad themes, and for smaller or shorter processes, these could comprise the four working groups:

- Capacity building, public awareness, education
- Infrastructure creation and management
- Planning and operations
- Policy and institutions

## CASE STUDIES

We present three cases studies below: Copenhagen, Denmark and Xi'an, China based on actual experiences, and then our sample case that will be followed throughout the document.



Source: Bønløkke, P. and Elle, S. (2012).

#### COPENHAGEN, DENMARK

The Storbyens Trafik (large city traffic) conference took place in Copenhagen in 1998. The Danish Board of Technology (Teknologirådet), an organization not directly affiliated with issues of transport policy and planning, acted as the 'neutral' organizer of the event. The conference was devoted to the ongoing debate on how to best meet the economic, social, and environmental needs related to transport in Copenhagen. It was Denmark's first participatory initiative on urban transport and brought together a diverse array of 58 stakeholders. Included in this make-up were representatives from the following groups: business, politics, civil service/public sector, transport experts, NGOs representing motorists, NGOs representing environmental/commuter interests, citizens (car and public transport users). Due to an existing recognition of blocked communication among social actors (as had been historically the case throughout Copenhagen's traffic development), a participatory, multi-stakeholder format for the event was selected as the best method to tackle the issue at hand.

As part of Denmark's annual self evaluation process, representatives from various political authorities propose topics for assessment by the Board of Technology. In this case, both a member of the Board of Representatives and a Member of Parliament had suggested urban transport as a topic in need of further scrutiny. A project manager was put in charge of overall implementation, and a planning group comprised of relevant experts in the field (who later attended the conference) was established to aid the Board of Technology in the organization of the conference. This group proved to be crucial gaining the participation of a broad range of groups in the conference. The organizers stressed the necessity of the planning group members to carry adequate weight in order to draw attendance from relevant stakeholders (Joss and Klüver, 2001).



Xi'an (meeting with affected persons to discuss resettlement)  
Source: XASS, 2005

#### XI'AN, CHINA

The Urban Transport Development Project carried out in Xi'an, China had the primary objective of stimulating economic growth within the area. The project's purpose was to create an "efficient, safe, and environmentally sustainable urban transport system" (ADB, 2003). To this end, it proposed multiple initiatives, including the construction of a 75 km ring road, three connector roads to integrate into the ring

road, traffic management and safety, emissions control, urban transport planning, road maintenance, monitoring and evaluation, and capacity building.

During the design phase of the project, a social impact analysis was conducted in which 39 villages were identified as being affected (through land acquisition, resettlement, and loss of income/livelihood) by the project. Surveys of affected persons were also taken, which in turn impacted the development plan. Based on the results of these measures, steps to minimize impacts were incorporated into the plan. In their efforts, planners sought to: acquire as little privately owned land as possible, demolish as few homes as possible, and re-route the ring road through village peripheries instead of directly through the villages themselves. Prior to beginning construction, the plan feasibility was analyzed based on resettlement feasibility, engineering, and environmental protection criteria. It resolved to steer away from high density areas (XASS, 2005).

#### SAMPLE CASE

Our example is that of a process led by a Municipal Urban Planning Authority responsible for both transport and land use planning in a large, rapidly growing city in a developing country. The goal of establishment of this multi-stakeholder forum is to provide inputs for the Urban Mobility Plan of CITY, itself an input into the CITY Master Plan Revision of 2015, and monitor the implementation of the plan once it is approved.

The Planning Authority is led by a dynamic and charismatic woman who wants to apply the legal mandate for a participatory process seriously. She begins by convening key members of her staff and inviting leaders of other relevant municipal bodies to a meeting and announcing the formation of the Forum. She names her deputy as the single point of contact, and assigns several assistants from her team to assist the deputy through the Forum process, and makes clear that she is in charge of the process and views it as critical to her agency's success. She asks that all present send their suggestions about possible participants, both from within and outside of the government, and both individuals and associations or groups, to her deputy within the next three days.

She notes that the City's overall master plan will be revised in a process starting in about two years, so she would like this multi-stakeholder urban mobility forum to feed into that process with explicit recommendations and an urban mobility plan within that time frame. She suggested a TOR similar to that presented below, but notes that it should not be formally adopted until there has been time for public input, and an expression of specific topics and issues that should be incorporated into the TOR.

#### SAMPLE

##### *TERMS OF REFERENCE for MULTI-STAKEHOLDER URBAN MOBILITY FORUM*

#### *1. PURPOSE and GOALS*

- 1.1 To provide a consultative forum process that can effectively address current and future urban mobility issues.*
- 1.2 To provide input, advice, and support on the planning, implementation, monitoring and reporting of urban mobility activities in CITY/REGION NAME.*
- 1.3 To provide a forum process to consider issues arising from urban mobility challenges that may be relevant to group members and their constituents*
- 1.4 To maximize opportunities for partnerships, networking and information sharing about urban mobility.*
- 1.5 To ensure maximum transparency and flows of information about urban mobility in CITY/REGION NAME with the understanding that this forum is a living process and will evolve over its life.*
- 1.6 Other goals as appropriate to the specifics of the context. Example: To provide inputs for the Urban Mobility Plan*

*of CITY, itself an input into the CITY Master Plan Revision of 2015, and monitor the implementation of the plan once it is approved.*

## *2. LEADERSHIP AND PARTICIPATION*

*2.1 NAME OF ENTITY will lead this forum (If a government entity: given its statutory role)(If an academic organization or other NGO: given its expertise and experience, and its commitment to openness and transparency) and oversee implementation of these TOR.*

*2.2. NAME OF ENTITY will create an executive committee representing the needs and challenges of the goals listed above, whose role will be to oversee the functioning of the forum process, led by an executive Chairperson selected by the committee. Ideally it should be representative of the various government agencies involved in urban development as well as transport, and the government officials can decide if civil society representatives should form part of the executive committee.*

*2.3 Internal or external persons may be invited to attend meetings of the executive committee at the request of the Chairperson, to provide advice and assistance considered necessary.*

*2.4 Stakeholders will be invited to participate in activities at multiple stages during the forum with an eye to maximum participation by the broadest set of stakeholders possible. These activities can be of various types, and shall be determined by the executive committee.*

*2.5 While transparency is paramount, in case where stakeholders wish that their inputs into the process be anonymized, the executive committee shall meet to decide the appropriate action.*

## *3. FINANCING*

*3.1 Funding will be provided for the executive committee as well as the forum through AGENCY NAME, as seen in attached budget (here one would use the budget formats and amounts from the agency in charge).*

*3.2 Request for changes in this budget should be made through the executive chairperson and brought to the committee for discussion and approval.*

## *4. DURATION OF FORUM*

*4.1 This forum will be in existence (until further notice)/(until the planning or project cycle in question is completed)/(DATE CERTAIN).*

## *5. FUNCTIONS AND EVENTS*

*5.1 – The executive committee will meet at least once every (3)/(X) months , or more frequently if needed, at the discretion of the Chairperson in consultation with the rest of the committee.*

*5.2 – Participatory events and processes of many types shall be considered and assessed as to which is most appropriate to achieve the goal at hand.*

## *6. COMMUNICATIONS*

*6.1 The forum runs on the principle of transparency, and to the greatest extent possible, documents will be available both electronically at INSERT URL as well as provided in physical form in the public reading room(s) at INSERT PLACES(s).*

*6.2 Public meetings of the forum and its working groups will be held in locations and timings to maximize accessibility. This includes the principle of meetings in different locations at different times to best accommodate different stakeholders, seeking to be as inclusive as possible.*

*6.3 The single point of contact with the forum and its executive committee is NAME, CONTACT INFO (phone, mailing address, physical location, email, web address).*

## *7. STATUS*

*The terms of reference was drafted on DATE, and adopted by majority decision of EXECUTIVE COMMITTEE NAME on DATE, effective DATE /immediately.*

She presented a draft call that she suggested be printed in papers, visually attractive posters, posted on the Planning Body's web site and social media sites, and sent to a list of interested parties that her deputy would draw up based on suggestions of those in the room. She mentions that she has talked to a local art school about helping design posters and the web postings to make them more attractive.

#### SAMPLE CALL

*The call includes the following language: Have ideas about transport or mobility issues in our city? Municipal Urban Planning Authority looking for those interested in participating in newly established Multi-stakeholder Urban Mobility Forum to seek inputs to develop Urban Mobility Plan that will feed into broader CITY Master Plan. For more information, see: URL, call PHONE NUMBER OF SINGLE POINT OF CONTACT, or come by READING ROOM ESTABLISHED FOR THE FORUM DOCUMENTS. Please respond by DATE.*

After some discussion, the Executive Committee decides that there should be one month of time given for the public to respond, and agrees to meet in 7 weeks (two weeks to design and distribute the call, 4 weeks for public response, and one week to compile the information). Before they leave, the staff confirm the contact info of the participants to ensure smooth communication going forward.

## STEP 2 - PARTICIPATORY PROCESS: SELECT AND CARRY OUT METHOD(S) OF PARTICIPATION

- Form of public engagement: any interaction that allows stakeholders – especially end users -- to have a say. See the tables below on different types of participatory and visualization methods and guidelines for their use.
- Goal(s): Work towards and arrive at a common understanding of problem being addressed; produce a set of alternative policy/scenario/design options with inputs from a wide range of stakeholders, especially end users of transport; Communicate process and outcomes to stakeholders.
- Participants: widest range possible, including planning team, all levels from relevant govt. offices, other relevant decision makers, press, citizens and citizen groups (especially the poor and marginalized) and NGOs (with these definitions broken down and much more precise in some stages), private sector actors, experts, representatives of financing bodies
- Outcomes/outputs: Documents, plans, maps, lists of alternatives, spreadsheet(s) of tradeoffs
- Resources needed: Depends on type of participation, but at a minimum documents, information, access to relevant decision-makers, budget plans, technical experts, and perhaps supplies such as mapping or GIS software, art supplies, and/or maps or physical models.

Public participation is at the crux of setting up a multi-stakeholder forum, because it provides the opportunity for different actors to share their ideas and values, and thereby take ownership of the process. Participatory methods allow stakeholders to work towards and arrive at common understanding, critical in moving towards consensus and closure in the process. They also help involve a wide range of stakeholders who then produce a broader set of alternative policy, scenario, and design options that enrich the planning process. This often means that planning staff themselves need to be trained in such methods, along with conflict mitigation and resolution.

Planning for effective participation includes listing and analyzing different methods of participation to decide what best works to meet TOR and purposes given general constraints, including constraints of participation of different groups. Participation can occur at multiple stages of this process. Initially, it may begin with stakeholders being asked to identify problems and their causes, share their views with respect to their hopes for the future and the ways of achieving those goals. It can be used as a capacity building technique through hands-on workshops. Stakeholders may later be invited to provide feedback on the findings of studies and the draft plans developed thereafter.

### DEFINITIONS OF PARTICIPATORY METHODS

Participatory Method	Definition
document release	the release of a proposed document for public comment
model release	the release of a proposed model for public comment
public hearing or public meeting	a meeting where the public is invited to contribute input to a working group or advisory panel, which broadens the discussion relating to a specific activity or project to include input from a wider audience and provides additional information and a broader perspective to panel or committee members. The input is an important element of the information considered in order to make a decision on an issue.

training session	a short-term training activity comprising of one or two courses with specific objectives to be met within a prescribed time and cost budget.
scenario development workshop	meeting where participants are involved in group discussions organized around a specific scenario. The workshop allow participants with differing values and priorities to build a common understanding of the problems and opportunities confronting them, to identify problems and expectations, or to recommend solutions.
oral histories	a story-telling method designed to understand and preserve the history of a culture
mapping techniques	planning tools designed to understand the geographical layout, social and cultural trends within a particular community. Examples include: mobility mapping, social mapping, and transect walks
ethno-classifications	way of classifying ethnic groups according to such characteristics as proverbs, stories, indigenous categories and terms, taxonomies, etc.
role-plays	planning technique in which stakeholders act out the roles of other stakeholders in order to create a broader understanding of a project's impact
design charrette	intensive, team-oriented design or brainstorming session
facilitation	the encouragement of full participation, promotion of mutual understanding, and cultivation of shared responsibility and inclusive solutions to build sustainable agreements
focus group discussions	Semi-structured discussions with groups of people with common interests or characteristics. Participants are chosen using either statistical or non-statistical sampling methods (e.g. cross section of ages; different villages)
institutional maps	Diagrams which lay out roles, responsibilities, and often titles for different agencies, committees, and groups involved in policymaking.
participation	information sharing, consultation methods, and other mechanisms for collaboration and empowerment that give stakeholders more influence and control

participatory mapping	Large sketches/maps of the area, created with local materials, are discussed in a group, and used to gather data on both natural resources and social issues, and to get stakeholders to air their views. Data can be incorporated into more formal maps through ground truthing and GPS recording. Valuable for managers' induction phase and for participatory monitoring. Often helps locals to get a new perspective on resources.
participatory monitoring and evaluation	Involvement of stakeholders in monitoring of the physical, organizational and management aspects
participatory rural appraisal (PRA)	technique used for gathering information on community resources and needs for use in literacy and community development programs. The techniques include the use of transect walks, maps, calendars, matrices, and diagrams using locally available materials.

Sources: HC-GC, 2007; Kaner et al., 2007; Community Planning, (n.d.); Business Dictionary, (n.d.) SIL International, 2000; WIOMSA (n.d.)

Selecting the most fitting method of participation depends on the purpose of the initiative, the size of the target audience, and the context. For example, if the purpose of engaging with stakeholders is to provide information, a community meeting or draft plan could be good ways to reach smaller groups, while exhibitions and media coverage could better reach larger groups. Likewise, interviews or focus groups are good ways of gathering input in a small group setting, and public hearings and internet surveys are a good means of reaching larger scale audiences. In cases where the purpose of participation is negotiation, mediation and consensus-building techniques work well for small groups, while, workshops and interactive websites are effective for large groups. Problem solving and plan preparation is best done in small groups using techniques including design charrettes and task forces. In a larger group context, interactive working groups are more effective. Finally, when the aim of the forum is to support people's initiatives, a joint working committee works best for small groups, while a project proves more effective for large groups. Give the range of possibilities, please see the guidesheet below for definitions, advantages, and disadvantages of different methods.

#### PARTICIPATORY METHODS GUIDESHEET

Participatory Method	Objective	Advantages	Disadvantages	Participants	Time
document release	to inform relevant stakeholders about project	efficient	limited two-way exchange of ideas	government representatives, community members	>1 hour
model release	to inform relevant stakeholders about project	efficient	limited two-way exchange of ideas	government representatives, community members	>1 hour

public hearing or public meeting	to facilitate understanding and acceptance between community and policy makers	stakeholders given the chance to speak and feel that their voice is heard	attended predominantly by those who feel strongly, may become combative, less collaborative if taking place after decision has been made	government representatives, community members	1-2 hours
training session	to intensively educate a group of people within a short period of time	hands-on, collaborative activities	short-term, often with no follow-up	instructor, stakeholders	0.5 - 2 days
scenario development workshop	to build a common understanding of the problems and opportunities confronting them, to identify problems and expectations, or to recommend solutions.	useful at rapidly identifying potential impacts	challenge in ensuring that all stakeholders are represented	facilitator, stakeholders	1-3 days
oral histories	to understand the socio-cultural context and utilize that knowledge in development planning	holistic planning practice	time-consuming; usually one-on-one or small group interviews	interviewer, interviewees	1-3 hours
mapping techniques	to holistically understand the context before designing a development initiative	holistic planning practice	challenge in ensuring that the most vulnerable are present and their voices are heard	facilitator, stakeholders	1-2 days

role-plays	to create a broader understanding among stakeholders of a project's impact	collaborative, facilitates mutual understanding	can be difficult to engage participants	facilitator, stakeholders	1-3 hours
design charrette	Generate ideas and creative solutions. Sometimes also to establish consensus and create action plan.	highly collaborative method	the focus on consensus may mask differences	stakeholders	1-3 days
focus group discussions	to identify and describe group perceptions, attitudes, and needs as well as the reasoning behind them	provokes debate	potential for being dominated by few	facilitator, recorder, stakeholders	1-2 hours
institutional maps	to understand key stakeholders in a visual way	allows interrelation of organizations to be quickly and easily understood		stakeholders	1-2 hours
participatory mapping	to help development planners and locals gain a better understanding of needs, resources, and context	utilizes local knowledge, generates interest and local ownership of project		development planners, stakeholders	0.5 - 2 days
participatory monitoring and evaluation	to achieve local ownership of a development project	promotes interest, understanding, and sustainability of development project	requires recruitment and training of locals (cost and time)	development planners, stakeholders	ongoing after project implementation

participatory rural appraisal (PRA)	to gather information on community resources and needs	works towards holistic understanding of context	challenge in ensuring that all voices are heard (particularly marginalized groups)	development planners, community members (especially vulnerable groups)	variable (days-weeks)
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Likewise, forms of participation must retain an element of flexibility. Visual tools (such as diagrams, maps, models, and calendars) may be utilized in different capacities to aid in the synthesis and analysis of information extracted from both large and small group settings. Different visualization tools and their attributes can be seen in the table below. Additionally, facilitation for participation and negotiation (through ranking, focus group discussions, role-plays, etc.) can be applied to different techniques in different ways. In general, techniques will be integrated together in creative ways depending on the context. These also can be used to translate background and technical information that agencies need to communicate to a broader audience (for example, “mode share”).

#### VISUALIZATION ALTERNATIVES

Visualization Tool	Definition
flow diagram	A flow diagram is helpful in presenting and analyzing decisions made by a person/organization.
casual diagram	A causal diagram represents relationships between various elements in an environment/scenario that are likely to directly affect one another.
venn diagram	A Venn diagram presents the common and unique characteristics of an argument. It is often useful in mapping and summarising the various perspectives.
institutional diagram	An institutional diagram helps understand the interactions between various individuals within a system. Power dynamics between various individuals/groups can be presented simply yet powerfully through it.
systems diagram	A systems diagram maps the logical flow of a particular idea and helps identify gaps in it. It is used quite widely to present complex problems and their multiple possible solutions.

pie charts	Pie charts are circular proportional representations of information. They are very useful in comparing relative information against a constant value (non-time based).
histograms	A histogram communicates frequency-based data at discrete intervals of time. Behaviors that can be understood through studying their frequency of occurrence are very commonly portrayed using them.
maps	Maps are symbolic representations of information that define space and the relationship of various elements within it. Geographical and non-geographical maps, both, express relationships between various things.
preference ranking and scoring	This assigns values to the preferences of the participants and translates those values as probabilities of actionable behavior patterns.
pair-wise ranking	Participants use this method to rank elements with respect to their highest priorities. The assigning of priorities helps participants build consensus as the ranking is decided upon collectively.
direct matrix ranking	DMR, as it is also popularly known, helps one identify priorities in defining an enquiry by unearthing a number of lists that can be used as filters. It is widely used in field surveys to understand people's intricate value systems.
ranked voting	Participants vote by assigning hierarchies to multiple elements without selecting a single 'winner'. This often helps to include different perspectives while making a collective decision.
wealth ranking	Ranking of wealth of households in a community happens in several ways. It helps capture a better sense of the socio-economic landscape of the community.
trends analysis	Patterns can be detected in order to understand better the behavior of elements in the past. Trends are always studied with data gathered over a period of time. It is equally widely used to forecast trends of the future.
transect	Collection of data along a physical path (called transect) helps better understand the realities on the ground. It is useful in helping gather reliable data when necessary.
presentations	Presentations communicate ideas and information from one group to another. They are often useful to initiate conversations amongst different communities, as well.

matrix	A matrix arranges elements of findings in a tabulated manner to help study their inter-relationships better.
simulations	Simulations help study the effect of interacting variables in an environment. They are achieved using computational theories and generated by powerful computers.
serious games	Serious games are designed in order to understand and map complex relationships between various socio-economic and political groups. They are also useful as tools of research to understand better the dynamics of communities within and with each other.

Sources: Compiled by authors based on sources found in "Further Resources" section at end of report.

Participatory methods provide an opportunity for groups who are often overlooked, especially the poor, and thus are central to a successful multi-stakeholder forum process. Planning is essential for them to be successful, as is follow up, and there is extensive literature available for those interested in reading about these processes in broader urban planning, health care, agricultural development, and budgeting, with key citations provided in the references section found at the end of this document.

Often, participatory methods work best with the use of a facilitator. This is especially the case when sensitive issues are being addressed, or in a highly politicized or divergent context. Ideally she/he would have experience in the use of participatory methods in the context of this forum, perhaps even with some of the organizations or groups involved. She/he would have the required language skills, and if multiple facilitators are used, the team should have good gender and ethnic balance. Most importantly, the facilitator must be seen as an impartial and honest broker, and thus is especially important if the planning body is viewed as having a particular point of view or vested interest. Opening acknowledging potential bias or conflict of interest is important should such exist -- for example, "I am from the Planning Agency".

In analysis of what participatory methods are to be used, the questions to be answered include:

- What are the objectives at this stage in the process?
- How will the method chosen contribute to meeting the objective(s) in an inclusive manner?
- Who is to participate? Will there be timely and adequate opportunities for all interested parties to participate? How will participation contribute to representation, particularly of the disadvantaged?
- What are the potential risks? How will these be addressed?
- What limitations of these participatory methods are foreseen?
- Whose responsibility is it to capture and disseminate the results?
- How are participatory methods to be integrated with other analysis and inputs? (adapted from Mayoux, 2001)

Questions to be answered once the method has been selected, and when a public event is involved, include:

- What is the objective or expected outcome of this event?
- Who should participate? Who are the key stakeholders to be invited? If part of the method is selected (as is suggested at least twice in the process – early on, and once there is a draft plan), how is the broader public informed?
- How long should the event(s) last? Where should it be held? Does the location and timing allow for a broad

range of participants to arrive and depart safely and affordably via public transport, biking, or walking?

- What content will be presented? In what format? How do participants provide their input – oral/ written, long/short, limited/open ended? What audio-visual aids and supplies might be needed?
- How to capture inputs and discussion? How are they later disseminated?
- How do organizers invoke participation?

## CASE STUDIES

### JABODETABEK, INDONESIA

1999 marked the beginning of an era of decentralization in Indonesia. The national government transferred control of transportation planning (among other activities) to the regional level. Local governments were forced to consider how to best carry out transport planning and institute policies while ensuring that stakeholder needs were met, performance was high-caliber, and local capacities were strengthened. In the case of Jabodetabek (the urban area surrounding Jakarta), the government opted to utilize participatory methods to achieve these goals.



Participatory planning meeting in Indonesia. Source: World Bank, 2012

Stakeholder meetings were the primary participatory tool used in this process. At these meetings, it was recognized that transportation is a complex issue affecting many social, economic, and environmental spheres. As a result, a variety of stakeholders, sometimes with no direct affiliation with transportation issues, were invited to attend. Among these included representatives from the Spatial Planning Agency (Dinas Tata Kota), Settlement Agency (Dinas Pemukiman), and the Public Works and Environmental Agency (Dinas Cipta Karya dan Lingkungan Hidup). According to participants, the meetings were very effective at allowing an open and collaborative exchange of ideas and working towards holistic development planning.

Additionally, an inter-sub-regional meeting was conducted, which provided an opportunity to share findings from the stakeholder meetings, identify common issues, and encourage further dialogue on these issues. Since this time, the government has also begun holding periodic public consultation meetings during the implementation phases of transport development projects (road construction, etc.). Participants at these meetings include village and district representatives, NGOs, and public leaders. During these meetings, the proposed plan is described, feedback is invited, and once consensus is reached, attendees pledge their commitment to the initiative. In addition to grassroots meetings, city-level open public forums have also been conducted. As a result of all of these efforts, public awareness of and enthusiasm for participatory planning have exceeded government expectations (Asri, 2005).

### CHICAGO, IL, USA

The Northeastern Illinois Planning Commission (NIPC) works to assist the local government in development research and planning to create sustainable urban transport policies for Chicago and its surrounding area. As an integral part of this process, it actively involves the community in its planning strategy. Among its objectives, the NIPC aims to engage residents of all ages and ethnicities (as well as define



Chicago ("Paint-the-town" technology). Source: Thomas, 2003

constraints and opportunities for engagement) and to work together to further develop transportation planning in the region. It then coordinates with government organizations to put the plan into practice.

The NIPC identifies public participation as an important part of the planning process because understanding the needs and values of the public helps bring engaged residents and relevant government officials together, which facilitates consensus-building efforts and improves the likelihood that a co-created development initiative will be widely accepted. The NIPC makes particular efforts to engage the following groups: residents, youth, under-represented groups, community leaders, elected officials, and development experts.

Participation is achieved in a variety of innovative ways. From a technology standpoint, it utilizes key pads and computer networks for polling and analyzing results, a “paint-the-town” program which allows users to design future development projects and gauge their impact on various sectors, a GIS-based modeling program, as well as web-based conferencing and survey tools. In addition, the NIPC also places a strong emphasis on facilitating group discussion in-person. Over a six-month period it conducted 120 work group meetings. The aim of these efforts is to make Northeastern Illinois, “globally competitive, a region of livable communities, known for its healthy natural environment, built on the diversity of its people, and governed collaboratively” (Thomas, 2003).

#### SAMPLE CASE

After the first Executive Committee meeting, the staff continued to compile information and broader outreach, even beyond the lists given by the committee members. They compiled documents such as past master plans, past maps and models, and studies that had been prepared for the Planning Authority for the web site and reading room. Given the small budget provided, the staff seeks inputs from various experts both in transport planning and participatory methods, and compiles them into lists. This information is distributed to committee members before the meeting so that they can prepare.

For the next Executive Committee meeting, the chair, after informal consultation with several other members, decides that several representatives of groups who expressed interest in participating in the Forum should be invited to join them. During the meeting, the agenda is to select participatory methods to work towards and arrive at common understandings, with the hope that these would produce a set of alternative policy and design options, along with tradeoffs between different solutions and approaches. They decide that a series of public meetings would be held in different locations, with the first set of meetings being capacity building workshops open to those interested (and obligatory for several of the government staff members), and a web site would be established where the public could input their comments (as well as have the materials from the capacity building workshops posted). The second round of participatory inputs would come through both larger and smaller public meetings, as well as individual meetings. They decide that they will not establish working groups at this point, but reconsider later if needed.

Given the sensitivities of many issues, private transport operators generally ask for individual meetings with the committee, and that their information be anonymized, and interestingly, so do several of the representatives of associations of informal settlement dwellers.

The executive committee runs a design charrette with its members and representatives of a wide range of stakeholders selected by its staff from those who submitted suggestions along with problems as inputs.

After several months of this process, with more than 500 stakeholders participating, the Executive Committee decides that it is time to compile the information.

## STEP 3 – ANALYZE AND SYNTHESIZE INFORMATION, OPINIONS, AND DATA GATHERED

- Form of public engagement: Transparency about process, and thus release of inputs, including documents, models, maps, data release, posters, and compilations of inputs provided via social media
- Goal(s): accurately and exhaustively gather, present, and analyze inputs, format, and present public inputs in an understandable and accessible manner for processing by team and broader constituency
- Participants: Planning team plus those believed useful to produce and communicate decisions and plan. This may include additional staff to help compile and analyze the information gathered in the previous step.
- Outcomes/outputs: Spreadsheet of compiled comments and inputs, and how they were addressed in the plan. Also, explanatory documents, plans, maps, list of alternatives, spreadsheet of tradeoffs
- Resources needed: Access to information gathered in all other steps, desire and resources to place information in public realm.

This step involves compiling, organizing, and presenting the inputs received during the various participatory processes so that all stakeholders can have access to them to help them contribute better to the process. This can take a substantial effort if there were many inputs, working groups, and/or methods and media of submission. The planning authority will need to decide how to handle certain issues such as whether all information submitted will be confidential or anonymized before compilation and distribution, the forms of releasing both the raw and processed inputs, and whether the information will be released gradually, or only at the end of each round of participation. This step is generally done by the planning team, aided by those needed in order to process the inputs, and also to format the information so that it is presented in ways that are accessible for all stakeholders and useful for those drafting the plan. In areas of multiple languages or high illiteracy, decisions must be taken about how to address these issues as well. The most important element here is a commitment to transparency and information sharing.

One would expect that not all comments will be consistent, and a useful task for those undertaking this step is to create a matrix or spreadsheet of tradeoffs (conceptual, budgetary, sequential) of comments received. This is likely to be a sensitive and contentious process, but is key to highlighting difficult decisions that must be confronted in the plan, and then in the communication of it to the broader public.

This essential step in the process is often overlooked, or just assumed as part of the planning process, but this guide highlights it, given its critical importance in an inclusive process. Oftentimes citizens feel that their inputs into a planning or feedback process enter into a black hole. Convincing citizens to participate requires convincing them that their inputs matter. One way to help ensure this is to use spreadsheets such as the ones below, and make them available publicly. (Note: these spreadsheets are to be used in the next step as well as this one.) While there are optional columns with additional information, the required columns are the comments and how the plan takes these into account, quite specifically. This introduces a visible and clear link between comments and their responses.

### EXTENSIVE SPREADSHEET

Date comment submitted	Comment	Event/Method of Submission	Submitted by whom?	How addressed in Plan? (to be addressed later in process)
15 January 2013	Example1	Public hearing	Person A, from Group B	Incorporated into Section a, paragraph B of plan

SIMPLE SPREADSHEET

COMMENT	HOW ADDRESSED IN PLAN
Example 1	Suggestion incorporation into section a, paragraph B of plan

In gathering information and data, inconsistent information and sources are often encountered. Here too, careful attention must be ensured so that different agencies and stakeholders are clear about what data are being used for preparation of the plan and policies. A similar matrix can be developed for data as for opinions to ensure that all are contributing their data and that there is common data being used for planning and decision-making.

Questions to be answered in this step include:

- Have all inputs been captured?
- Has the participation thus far been sufficient to meet objectives, or will more be needed before proceeding to the next step? Is there a need for additional input from other stakeholders? Additional input from other stakeholders?
- Are members of the executive committee or government agency satisfied with the process, analysis, inputs, and outputs thus far? If not, what additional work is required?
- Has all relevant data been captured? Is there a consistent data set accessible to and utilized by all stakeholders?

CASE STUDY

SAMPLE CASE

The stage sees frantic activity by the staff and Executive Committee. Data is compiled, documents organized, and spreadsheets are developed, as presented below. The Executive Committee, through email, decides that sufficient work and public input has been done so that work can start on writing up the Mobility Plan itself. Documents are posted on the web site, with hard copies made available in the reading rooms.

EXTENSIVE SPREADSHEET

Date comment submitted	Comment	Event/Method of Submission	Submitted by whom?	How addressed in Plan? (to be addressed later in process)
15 January 2013	Footpaths/sidewalks all around Central Secondary school are broken	Email	Person A, no affiliation	TO BE FILLED OUT IN NEXT STEP

## STEP 4 – DRAFT AND PRESENT PROPOSED PLAN

- Form of public engagement: Extensive information release. This could be in the form of a public meeting, document release, model release, and/or press release, taking the needs of the target stakeholders into account, remembering the need for alternative media, presentation, and possibly languages.
- Goal(s): Producing a draft plan and timeframe for approval and application, and then presenting and disseminating to broader public.
- Participants: Planning agency/committee, other key stakeholders the staff of the planning agency/committee wants to draw on, consultants in some cases, and once the draft plan is developed, the broader public
- Outcomes/outputs: Documents, plans, suggested steps forward, maps, lists of alternatives, spreadsheet of tradeoffs, all presented in multiple ways and media
- Resources needed: Visually appealing and understandable plan, including maps and other visual aids

This step is what most thinking about transport planning and participation addresses: coming up with the transport or mobility plan, and in a progressive space, perhaps including some public participation. The planning authority or committee – or often a consultant contracted on their behalf – produces a draft plan that may be shared with those deemed appropriate to comment on the draft. Sometimes this will include a public hearing, or a public distribution with a call for comments.

A key decision here is to decide how much iteration the forum leadership wants, but often time constraints determine this. If time is available (the ideal situation), steps two through four can be carried out iteratively until consensus is reached. However, often time is not available for several rounds of consultation, and consensus can be difficult to achieve even with time given the challenging tradeoffs. The lack of time can be offset by transparency and access, where key documents and outputs are readily available (web, public library, or open office) and comments are easy to submit (i.e. via the single point of contact) throughout the process.

## CASE STUDIES

### DURBAN, SOUTH AFRICA

Imagine Durban is a project that endeavors to develop a caring, sustainable, and livable city. With respect to mobility, it aims to create easy and affordable access to all services that its residents need in order to maintain a sustainable lifestyle. To this end, it has outlined a number of strategies in its action plan:

- Develop high density nodes and corridors
- Promote and encourage the provision and use of public transport
- Support development of non-motorized transport
- Ensure equitable and accessible location of retail and social facilities
- Ensure universal access to facilities and public transport
- Ensure access to housing and household services
- Promote access to information and develop communication networks (ImagineDurban, n.d.)



Durban (Engagement of Municipal officials.)  
Source: Imagine Durban FB, (2010)

Utilizing high traffic areas were seen as an opportunity to promote public transport, as higher patronage leads to greater cost effectiveness. Non-motorized transport such as walking and cycling was also seen as an important area to target, as it positively contributes to both personal and public health. Additionally, due to South Africa's history of apartheid, Imagine Durban felt it important to focus specifically on equitable access to facilities and public transport across all social groups (irrespective of age, ethnicity, or disability). Finally, Imagine Durban identified effective communication is critical, as it can increase efficiency by preventing unnecessary trips and can also improve livelihood options.

Between 2006 and 2008, Imagine Durban developed a set of objectives for the short- and medium-term. Within the next 10 years, it is the hope that all residents of Durban will spend less than 10% of their income on transport, all public transport facilities will be handicap-friendly, and all residents will have access to both housing and information technology. The 20-year goal is for everyone in Durban to reside within a 30-minute walking distance of every major public facility (school, library, clinic, etc.). The medium-term and long-term goals (20 and 50 years respectively) for the city are continuing to be developed.

#### SAMPLE CASE

After another six months of work, the Planners have a draft Urban Mobility plan. In addition to the plan, they fill in the last column of the spreadsheet tracking inputs and how the plan addresses them. The plan follows the structure explained in Guide 1 in this series, and puts people, not vehicles, at its center. Transport networks, especially those based on Non-motorized Transport, and public transport notes are emphasized, along with linkages to land use through Transit Oriented Development. The plan is posted on the web site, with coverage in traditional and social media.

#### EXTENSIVE SPREADSHEET

Date comment submitted	Comment	Event/Method of Submission	Submitted by whom?	How addressed in Plan? (to be addressed later in process)
15 January 2013	Footpaths/sidewalks all around Central Secondary school are broken	Email	Person A, no affiliation	Sidewalk improvements key to Urban Mobility (see Section X, paragraph Y)

Another round of public meetings is held, both in person and virtually, allowing stakeholders to present their inputs. In this sense, these planners are returning to Step 2 again, and after one round of hearings, believe that there is consensus on the Plan. Not everyone agrees with it, but because of the participatory nature of the process, stakeholders have understood the tradeoffs made and the decisions taken.

This Forum decides to evolve into a monitoring and evaluation group. Several members decide that they are less interested in this part of the process and leave the Executive Committee. But the smaller group decides to meet every 3 months during the planning process to receive updates from the Master Planning Executive Committee.