Participatory Planning of Housing and Community Development

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Abstract

This paper presents the historic and conceptually inherent links between housing and community development. The community development approach to housing development offers special opportunities. While the approach advances housing goals, at the same time it creates the essential conditions for broad-based sustainable development and scaling up of projects and programs, bearing economic, political, and social benefits. After considering the process of how this kind of transformative change can occur (drawing from examples in Morocco), the paper examines the participatory approach to housing and community development and provides descriptions of specific community planning methods. Finally, the implications on the role of planners and facilitators of participatory social change are considered, as well as how they are effectively trained. The paper describes a viable participatory approach for government and nongovernment agencies to advance projects of a specific sector (housing) as well as other sustainable projects that meet the essential needs of local communities.
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1.0 Intersections of Community Development and Housing Development

1.1 Historical and Conceptual Explanation

Community development is widely considered to be interdisciplinary and to have economic, social, political, cultural, environmental, technological, and other dimensions. Its historical and evolutionary roots are therefore traceable in the academic disciplines. The primary thread is the intention to benefit social issue being research, and to apply qualitative approach where the intended beneficiaries drive the planning and action research process. All of these disciplines contain approaches that seek to strengthen local community control and determination regarding their own development course.

In the United States, the modern phase of community development began with the urban discontent of the 1960s and its focus was on anti-poverty and training programs. “By the end of the century, it [community development] has matured into an enduring and growing sector of the American housing market that provides both affordable housing and related services to individuals and families with low and moderate incomes.” The application of community development to advance housing development is based on the essential premise that their intention is to improve living conditions and impact “the totality of human life.”

Definitions of community development stress the educational (or capacity-building) component, which is necessary in order for local people in a geographic area (that is, the majority or all people, but especially the marginalized poor, including those who lack the social networks to secure decent housing) to create their own projects, and for those projects to

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2 Ibid.
generate ongoing and multi-sectoral benefits for entire communities. This paper defines community development as a process of building the capacity of most or all the people of a community in order to manage development that addresses economic, social, political, and environmental objectives. The community is the decision-maker. Therefore, inclusive participation (including partnerships with public and civil agencies), grassroots democracy, and decentralization are implied in the concept of community development.

1.2 From Housing Development to Broad-Based Social Change

Given community development’s broad outlook to social change and its commitment to building the abilities of prospective beneficiaries to consider the whole and parts of society when planning change, the projects that local people identify through the process are therefore not necessarily sector specific, but when combined together seek social structural transformation through the linking projects into popular movements. Thus, a community development approach applied specifically to advance housing development may initially catalyze housing-related projects, but in time those projects link together and network, and citizens then begin to pursue additional projects in transportation and health services, for example. From a community development perspective, housing and development is a gateway initiative that then leads to further projects that may be outside the immediate housing sector industry, such as anti-crime efforts or organizing against industrial polluters.

Although projects based on the community development approach that have economic or housing goals initially could also give rise political activism, the overall experience – when successfully applied – strengthens national sovereignty. Community development increases interaction, creates social and cultural pluralism and encourages the formation of networks (horizontal and vertical), social movements, and coalitions. Greater representation from local

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11 Boothroyd et al., 2004:38


16 O’Gorman, 1995:211.

17 Ibid.


people and groups (including political, religious, ethnic and tribal groups\(^{21}\)) in planning and managing development initiatives is sought for the purpose of more effectively satisfying local needs while utilizing local resources, such as community labor and latent capabilities of people. When national governments assist these movements that are intended to help local people determine and implement priority development projects (in housing, poverty alleviation, education, health, environment, etc.), what they create in the process are diverse partnerships at all levels within their country. These partnerships – among government, civil society, communities and their organizations and private groups – lead to better information sharing more effective coordination between central governments and communities within regions.\(^{22}\)

Consequently, local communities seek to maintain these partnerships, including with the national level, because they help satisfy their human needs and better enable people to shape the institutions that govern them.\(^{23}\) They have a stake in maintaining the social system that is more responsive to them, sensitive to their interests, and equitable in the distribution of resources.

1.3 Case Examples: Sri Lanka and the Kingdom of Morocco

1.3.1 Sri Lanka and the Role of Nongovernment Organizations

Development specialist Norman Uphoff and his colleagues describe an example in Sri Lanka of the mutual reinforcement of local to national institutions while applying the community development approach. The Gal Oya irrigation project in that country developed an organizational structure that began as informal local groups that formed district-level associations, which then led to plans for a national federation, since the irrigation system covers a large area. In this process of building up the organizational tiers, a national system was finally created to manage irrigation in Sri Lanka and respond to needs expressed within a district. Uphoff et al. summarize findings in Asia of this approach to rural development management: “Small base-level groups, which can improve programs’ coherence and motivation while reducing transaction costs and problems of free riding, gain from being joined together in a larger structure. Our comparative study of rural development experience in sixteen Asian countries over a twenty-year period identified this as a key factor for success, in that such a structure of organization combined the advantages of solidarity [italics added] and the advantages of scale. Likewise, a quantified analysis of local organization experience found strong evidence that small base-level groups that are linked horizontally and vertically contribute much more to rural development than do larger ones.”\(^{24}\) In addition to emphasizing the new linkages among and between the administrative tiers of society that strengthen national unity, the observation also highlights the cost effective benefit of the community bottom-up approach, because of the utilizing of local resources and know-how, and local contributions toward implementing the development initiatives that meet local needs.


In this Sri Lankan case of scaling up, nongovernment organizations played an essential role. A critical outcome attributed to the development efforts of NGOs is that they bridge the gap between micro and macro levels. The ability to do so begins at the micro level, by replicating socio-economic and human development successes, having learned from prior experiences and with comparatively short start-up times. The capacity of NGOs to replicate successful programs is supported by their economic efficient operations, which have been cited to include the following elements: 1) reduced costs relative to government through competition among other organizations and shifting responsibility to grassroots organizations; 2) flexibility to quickly respond new information and changing circumstances; and 3) innovative ideas and practices in meeting community needs. Networks then develop, and, in time, so does the horizontal aggregation of resources. This process involves communities and their organizations (with varying missions, such as those affecting the environment, the status of women, peace, and human rights) linking together. The ability of NGOs to help forge these networks is attributable to them functioning as intermediaries. Scaling-up occurs as politics or policies are affected or sometimes challenged, such as when demands are put on the state and it is then held accountable for meeting them. In this way, the work of NGOs has been connected to improved governance.

**1.3.2 National “Participatory” Decentralization in Morocco**

The Kingdom of Morocco is an important example of a nation attempting to apply broad-based participatory community development to advance not only housing development but socio-economic development across the sectors. They are currently developing the specific details of a plan to transfer responsibilities and capacities (administrative, financial, and skills) from the capital of Rabat to sub-national levels to catalyze self-sustaining community development. In decentralized systems, all phases of development projects (from design through evaluation) occur closer to or by the beneficiaries themselves. Projects in education, job creation, and health, for example, are intended to respond directly to people’s self-described needs, as local people democratically exercise control over their own affairs.

Taken from public statements by H.M. King Mohammed VI since 2007, the principle elements of Morocco’s plan create a system that incorporates three distinct organizational arrangements of decentralization. It includes: 1) “devolution,” or the transfer of power to lower-levels within ministries; 2) “deconcentration,” or having sub-national civil, public, and private institutions work together while the national level contributes financially or know-how; and 3) delegation or the “participatory method,” whereby, as the king explains, “citizens are the engine

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27 Green and Haines, 2002:218-9
28 Ibid.
for and ultimate objective of all initiatives”\(^{33}\) (it is also “used to address the defining issues of the nation”\(^{33}\)). The three arrangements combined create a system designed to advance community-driven development, assisted by sub-national government, civil, and private partnership, and with support from the national level. The model functions to mobilize national resources toward locally managed projects that are identified in participatory democratic processes. The Moroccan organizational arrangement necessitates people’s direct participation in decisions to enable their ownership of projects and a stake in the new system. Without this, it is highly improbable that a sustainably productive decentralized system can be achieved in the Sahara or anywhere else for that matter.

The level of success of Moroccan decentralization, however, will largely depend on which sub-national tier will be the greatest beneficiary of Rabat’s transfer of authority to plan projects, approve budgets, and apply capacities to implement local development and social change. In Morocco, the sub-national tier best positioned and able to create the most broad-based participation is the communal level – which is the most local administrative tier. The kingdom is made up of approximately 1,500 communes, each with an elected assembly of officials. Their Charter already requires community participation in the creation of development plans that are sent to the ministries of Interior and Finance. Training assembly members in applying participatory community planning methods (described in more detail below), and giving budgetary priority to communities’ identified projects, will create a decentralized system able to establish projects aligned with people’s self-interests. Later, if necessary, recentralizing certain management responsibilities from communes to a higher sub-national tier could always be done if problems of coordination emerge, for example.

To summarize, the community development approach – and particularly the participatory method – applied to advance housing development not only offers the opportunity to advance the specific goals of that sector, but also builds the capacities at the local community level to determine, implement, and manage projects in other areas, including in, for example, job creation, education, public health, and preserving the natural environment. The new projects at the local level link together, form a network, and have the opportunity to then go to scale. Further, the participatory democratic way of local communities’ identifying development initiatives that are intended to benefit them, does increase political awareness and even the desire among some people to further participate in political processes. However, the framework within which this occurs is informed by inclusion, partnerships among local to national public and private groups, and is based on dialogue and mutual gain. Therefore, the participatory local development approach has been tied to advancing national sovereignty because of the new relationships that are created among and between all levels of society, the satisfaction of the interests and needs of local communities, and their appreciation they gain toward the institutions that have helped to make the positive development experiences possible.

2.0 Participatory Community Development and the Role of Planners

2.1 Description of Participatory Development and Its Methods

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\(^{33}\) King Mohammed VI (30 July 2009) “Full text of the King’s Speech on the 10\(^{th}\) Anniversary of Throne Day,” [http://www.map.ma/eng/sections/speeches/full_text_of_h.m._ki/view](http://www.map.ma/eng/sections/speeches/full_text_of_h.m._ki/view).

The participatory development approach – which Morocco is working to apply toward the country’s decentralization, as well as other nations of the world and their national civil society organizations, in addition to international development agencies – has attracted growing attention since the late 1960s. However, it was not until the 1980s that the concept of “participation” became an indelible part of development discourse. Participation was a buzzword in the 1990s and is now considered on the cutting edge of development practice. The participatory approach to community development is currently, and increasingly, being applied to almost all social activity, sectors, or domains.

Participatory methods include information-gathering activities that engage entire communities in dialogue as they conduct their own analyses toward creating action plans for projects that reflect their priorities. Participatory methods typically utilize matrix scoring and ranking to help prioritize development opportunities. Also used are visual forms of analysis, such as mapping locality, household well-being, risk identification, and community assets. Diagrams identify key institutions that support development, the relationships among them, work activities across seasons, and historical timelines (see Appendix 1 for descriptions of six participatory methods). Participatory development is composed of families or groups of methods. The Planning Assistance Kit, for example, is a made up of a series of worksheets and activities designed specifically to assist community organizations in the physical planning, implementation, and management of their housing. Other families of participatory methods are designed for rural agricultural communities, for example. What is important is that from the community-generated information, the intended beneficiaries make decisions regarding future projects.

Methods of participatory development are created in recognition of the potential creativity of communities and marginalized groups, and their views, expressions of identity, and needs. Local communities understand local conditions and are able to monitor activities. Since the communities do their own investigation, analysis, and planning, their knowledge is more relevant and “authentic.” Participatory development builds and codifies local knowledge to support communities’ decision-making processes regarding development that affects their lives.

Participatory methods generally prefer visuals and symbols over verbal data generated by interviews and questionnaire surveys with predetermined sets of questions. The verbal mode still plays an important role in these methods by supplementing the visuals with explanations and clarifications of the issue being presented. The visuals are simple devices that enable the presentation of information in understandable forms. In this way, local people without literacy skills or who may be inarticulate can participate and express their priorities and experiences.

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38 Brohman, 1996:207.
2.2 Nongovernment Organizations Informed by Participatory Development

Nongovernment organizations (as well as government agencies and business groups) that are committed to the participatory approach are those that enlist people’s ideas and material contributions for development interventions. The goals of local communities that NGOs help to achieve reflect local people’s interests more so than do government-driven initiatives; they also are able to utilize indigenous knowledge and other local resources. Responding to the interests of local people reflects the cultural sensitivity of NGOs and generates local support of their work, such as seen through increased membership. NGOs mobilize communities; that is, they bring together local people into groups to discuss and implement development projects. NGOs are often credited with providing essential functions that enable meeting community goals, which, in turn, feeds back to the local-level institutions themselves by strengthening their capacities to improve development activities. The resources NGOs help marshal for development include a mix of educational, technical, and material support.

Since existing NGOs and government agencies are part of the participatory process, in time the approach comes to be incorporated into the work of these institutions. These internal institutional changes or reforms may include more flexible accounting procedures and increased decentralizing of responsibility. Institutions that grow and change in a way consistent with the participatory ideals form new cooperative relationships, gain public and private support, and become more productive, adaptive, socially responsible, and have a relatively higher degree of employee satisfaction and loyalty.

Local participatory organizing can be initiated by range of interest and resident groups. For example, “public housing authorities may support tenant organizations promoting resident participation in property maintenance or anti-crime efforts.” The kind of group and their mission that catalyzes the organizing certainly influences the issues that they are dedicated to addressing and the means that they employ. To catalyze new housing or development initiatives, local nongovernment groups need to be strengthened, and the role of planners need to be considered along with their participatory training. Catalyzing broad-based participatory community development, just as being planned in Morocco, requires an ever growing supply of planners and field workers.

2.3 The Role of Planners in the Participatory Model

46 Rondinelli, 1993:158-177.
Participatory development requires: 1) the determination by local people – through dialogue and consensus and assisted by skilled “facilitators” – of their development priorities and plan of action to achieve them, and 2) funds to implement community-designed projects. It is important to note that references to “facilitators” in participatory development are most often called “planners” in housing and development. The professionals who work at the local level and apply with communities planning activities that assist groups in their evaluation of their circumstances and the determination of projects that meet their needs, are referred to by a number of titles, including: animator, catalyst, change agent, consultant, co-learner, convenors, extension agent, field worker, information broker, intermediary, interventionist, learner, mediator, outside intellectual, planner-researcher, and researcher.

“Facilitators” of participatory methods are necessary to help organize local community meetings, ensure broad participation, ask questions, manage conflicts, and help maintain a productive and informative experience. Brohman (1996) explains that “facilitators are catalysts for change and information brokers rather than decision makers or information givers; they seek to build confidence and self-reliance, raise consciousness, develop critical and analytical skills, and promote participatory dialogue and democratic practices.”650 Not only do they act as a neutral third-party during community meetings, but they also serve as bridge between: people on the one hand, and government, service institutions, and technicians, on the other; among community organizations, networks and unions to get information and draw attention to policy alternatives that serve the public; and NGOs, academic institutions, government extension workers, and local consulting firms.

Other essential functions of participatory facilitators or planners are included in the following table:

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<tr>
<th>Functions of Participatory Development Facilitators/Planners</th>
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<tr>
<td>Build confidence and self-reliance, raise consciousness, develop critical and analytical skills, and promote participatory dialogue and democratic practices64</td>
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<td>Consider and explain macro factors that affect projects65</td>
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<tr>
<td>Encourage local people improvise methods for themselves</td>
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<td>Ensure continuity of personnel and supportive network66</td>
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<td>Expect citizens to be uncertain and uninformed about policy opportunities and believe other know better – planners need to learn to counteract against this sense of powerlessness67</td>
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50 Brohman, 1996: 266.
54 Brohman, 1996: 255.
Help communities take qualitative steps towards the transformation of society\textsuperscript{58}

Help people organize their own institutions\textsuperscript{59}

Hold intensive discussions with individual families from different wealth ranks\textsuperscript{60}

Inform the beneficiaries of what government resources may be available for given activities\textsuperscript{61}

Prepare communities for initiatives in terms of social, cultural, financial, and technological factors\textsuperscript{62}

Provide initiative\textsuperscript{63}

Provide support for initiatives and to make available resources\textsuperscript{64}

Recognize and support diversity, complexity, and multiple realities\textsuperscript{65}

Release creativity of the people\textsuperscript{66}

Remove barriers to participation\textsuperscript{67}

Understand the consequences of excluding women and search for ways to include women\textsuperscript{68}

Understand the needs of the poor, identify what the community considers poverty and how it manifests itself, understand the perceptions of different categories of people and their priorities\textsuperscript{69}

Understand power relations, which improve analyses and further empower citizens and community action\textsuperscript{70}

Successful facilitators of participatory development are nondirective or nonauthoritarian with communities with whom they work and require human qualities (in addition to technical and organizational skills). They interact closely with social groups, and are: compassionate, respectful, sympathetic toward the disadvantaged, sensitive to organizational and political environments, interested in learning, imaginative, patient, and reflexive. They conduct self-criticism and self-learning, cultivate social skills and intuition, establish rapport, exercise restraint, have humility and common sense, inspire trust, listen, learn, perceive the potential of people, probe, promote positive attitudes, question, speak the language, understand the culture, and watch. They have an abiding commitment help people achieve a better standard of living.

\textsuperscript{57} Forester, 1989:80-81.

\textsuperscript{58} O’Gorman, 1995:215.


\textsuperscript{60} Ibid.

\textsuperscript{61} Makumbe, 1996:22.


\textsuperscript{68} Kalyalya et al, 1988:132.

\textsuperscript{69} Hagmann, 1999:9.

\textsuperscript{70} Forester, 1989:27.
through their own efforts.\textsuperscript{71} They are, in sum, “a specialist in the relationships between people.”\textsuperscript{72} These important personal attributes are suggested to be more important than formal qualifications.\textsuperscript{73} Women facilitators are typically in a better position to work with women.\textsuperscript{74}

2.4 Conducting Participatory Training

To enable community development that advances housing development followed by other priority initiatives of local communities to take hold and make a difference in people’s lives, it is necessary that local representatives and technicians of government and NGOs working directly with local communities receive training in applying the participatory method. Which professional groups to train first is an important strategic calculation.

Training facilitators who actually live with the communities they serve may be the most efficient, even necessary way, to maintain the momentum of development initiatives. For example, forestry guards of Morocco’s High Commission of Waters and Forests are one of many professional groups that interface with local rural communities. They are in a viable position to assist development because they live in – and are often from – the rural villages neighboring Morocco’s forests, national parks, and areas that have been identified as environmentally important. Of course, participatory skills should also be transferred to extension workers of the Ministries of Agriculture, Education, Handicrafts and Social Economy, Public Health, Youth and Sport, and others. School teachers are also well placed to help catalyze local development.

Provincial and local politicians have a significant role to play in the development of their jurisdictions. Political representatives can have a major influence on the extent to which socioeconomic and environmental projects are realized. Politicians’ participatory training will provide an informative experience that will increasingly guide their political campaigns and how they govern.

The creation of training centers is a necessary step. Centers based at universities have two main goals: (1) to provide training programs (for students, faculty, government and NGO workers, retirees, teachers, and citizens) in participatory development planning and consensus building; and (2) to engage rural and urban communities in their own socioeconomic development through experiential field-based training, including project proposal development and fund raising. Participatory experiences training programs are designed to instill in participants a sense of empowerment, and to give them the tools they need to bring about real socioeconomic change in their own lives, communities, and country. A center at a university can also target training programs for the public.

In Morocco, one such training center was launched in 2008 at Hassan II University in Mohammedia, in partnership with the High Atlas Foundation. Since community development meetings and processes require facilitators, and facilitators need to be trained, and university students among others have shown to have the social commitment and disposition to be

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\item \textsuperscript{72} Meister quoted in Ibid.:152.
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effective facilitators of community development – locating training centers at universities is clearly a win-win program. Goals of a community development training center located at a university can include:

1. Train in facilitating local community planning meetings that create carefully designed development projects based on local priorities.
2. Help raise and allocate funding for development projects that are designed during community planning meetings.
3. Create partnerships with government and non-government agencies to help carry out community goals.
4. Provide ongoing workshops to transfer skills in effective development management, project implementation, and fundraising.
5. Support research, writing, and publishing in order to build and share knowledge on sustainable development.
6. Organize symposia, events, and public education campaigns that inspire support for the Center’s mission and activities.
7. Provide internships, fellowships, and volunteer opportunities in order for youth to gain practical experience and skills.

The experiential pedagogical approach to training has shown in cases worldwide to effectively transfer the needed skills to the trainee-facilitators. Training facilitators in participatory development planning activities is most effectively done when it is conducted in an authentic setting with community members. Experiential-based training involves trainees working with communities and applying interactive methods that help local people plan and implement socio-economic development projects. A benefit of this is that the training program itself will further the development of the participating communities.

3.0 Conclusion

There are of course significant challenges to effectively apply participatory community development, the range of which is not covered in this paper. However, it is clear that the participatory approach is globally on the ascendancy, and that it is empirically linked to successful development experiences. Participatory training is intended to occur experientially, which enables the transference of skills with participants so as to help ensure that they are able to apply the techniques in the future. In addition, experiential training assists the communities participating in the field workshop to implement their priority projects that they have identified during the training experience. The expectations of participatory planners or facilitators are significant, on technical, organizational, and personnel levels. The ability to be effective at this vital position can however be transferred.

From the participatory perspective, housing development represents an initial project area that is intended to continue and branch out to other project areas, link and network with other local community projects of similar intent and perspective, and scale up with the creation of new associations and their gradual effect on policy. The process occurs through a gradual, inclusive, cooperative, and nonviolent manner that in time builds national unity and sovereignty.