

PLANNING STRATEGICALLY

Guidelines for the Application of the Strategic Planning Process in the Preparation of the Comprehensive Land Use Plan (CLUP) and to Important Urban Area Issues and Problems



HLURB



Housing and Land Use Regulatory Board
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SAGRIC International Pty. Ltd
Managing Agent

Table of Contents

Abbreviations

Resolution of the Board of Commissioners

Foreword	1
1. Introduction	3
1.1 <i>Rationale/Objectives</i>	3
1.2 <i>Scope and Limitation</i>	4
2. Strategic Planning	6
2.1 <i>What is Strategic Planning</i>	6
2.1.1 How Strategic Planning Differs from Other Forms of planning.....	9
2.1.2 Fundamental Requirements for Successful Strategic Planning for Cities and Regions.....	10
2.2 <i>Benefits of Strategic Planning</i>	11
2.3 <i>The Strategic Planning Cycle</i>	12
2.4 <i>Strategic Planning and Gender</i>	14
2.5 <i>Strategic Planning Applied to the CLUP</i>	15
2.5.1 The Comprehensive Land Use Plan (CLUP).....	15
2.5.2 How Strategic Planning Helps Make the CLUP More Responsive to Community Needs	19
2.5.3 Implementing the CLUP: the LGU Budget, the LDIP and Financing the "Gap"	19
2.5.4 The Strategic CLUP	25
3. The Strategic Planning Guidelines	31
3.1 <i>How to Get the Best Results from the Process</i>	31
3.1.1 Positive Pro-active Approach.....	32
3.1.2 Getting Organized.....	32
3.1.3 Participation and Consultation	32
3.1.4 Data	33
3.1.5 Flexibility	33
3.1.6 Communication	33
3.2 <i>Basic Steps of Strategic Planning Process in the Preparation or Revision of CLUP</i>	34
3.3 <i>Checklist for the Preparation of the Strategic CLUP</i>	35

4. Community Consultation in the Strategic Planning Process.....	43
4.1 <i>Definition of 'Consultation'</i>	43
4.2 <i>Benefits of Community Consultation</i>	45
4.3 <i>Designing a Consultation Program</i>	46
4.3.1 <i>Why Consult: Identifying the Purpose</i>	46
4.3.2 <i>Who to Consult</i>	48
4.3.3 <i>When to Consult</i>	50
4.3.4 <i>How to Consult</i>	52
4.3.5 <i>Evaluating the Consultation Process</i>	62
4.4 <i>Principles of Effective Consultation</i>	63
5. Urban Area Planning.....	65
5.1 <i>Thinking Strategically</i>	65
5.2 <i>Typical Urban Planning Issues</i>	65
5.2.1 <i>Urban Blight</i>	65
5.2.2 <i>Malls – The Solution or The Problem</i>	66
5.2.3 <i>Built Form - Urban Design Standards (Non – residential Areas)</i>	69
5.2.4 <i>Residential Development – Issues and Standards</i>	70
5.2.5 <i>Housing Problems – Density</i>	74
5.2.6 <i>Loss of Historic or Heritage Sites and Buildings</i>	76
5.2.7 <i>Poor Physical Planning of The LGU</i>	79
5.2.8 <i>Inadequate Open Space or Green Areas</i>	80
5.2.9 <i>Over-simplistic Land Use Plans, Maps or Guidelines</i>	82
5.2.10 <i>Dealing with Mixed Uses</i>	82
5.2.11 <i>Dealing with Non-conforming Uses (NCUs)</i>	85
5.2.12 <i>Buffer Areas between Uses or Zones</i>	86
5.2.13 <i>Urban Transportation Issues</i>	86
5.2.14 <i>Service Provision Difficulties</i>	92
5.2.15 <i>Un-sustained or Un-maintained Infrastructure Projects</i>	95
5.2.16 <i>Developer Contributions: Social Infrastructure Funding</i>	96
5.2.17 <i>Policy Implementation Difficulties Due to Cultural Considerations or Norms</i>	97
5.2.18 <i>Other Issues</i>	97
6. Development control / Assessment planning.....	102
6.1 <i>Reinforcing the Relationships</i>	102
6.1.1 <i>Ecologically Sustainable Development (ESD)</i>	102
6.1.2 <i>Amenity</i>	104
6.1.3 <i>Net Community Benefit</i>	104
6.1.4 <i>Consultation</i>	104
6.2 <i>Decision Guidelines</i>	105
Project Support.....	113
References	114

Abbreviations

AusAID	Australian Agency for International Development
BDC	Barangay Development Council
BOT	Build, Operate, Transfer
CBD	Central Business District
CDC	City Development Council
CLUP	Comprehensive Land Use Plan
CPDO	City Planning and Development Office
DBM	Department of Budget and Management
DENR	Department of Environment and Natural Resources
DILG	Department of the Interior and Local Government
DPWH	Department of Public Works and Highways
EIA	Environmental Impact Assessment
EO	Executive Order
GFR	Guidelines in the Formulation/Revision of the CLUP
GIS	Geographic Information System
GOP	Government of the Philippines
HLURB	Housing and Land Use Regulatory Board
IRA	Internal Revenue Allotment
IRR	Implementing Rules and Regulations
LB	Liga ng mga Barangay
LDIP	Local Development Investment Program
LGC	Local Government Code
LGU	Local Government Unit
LIS	Land Information System
MIS	Management Information System
MMDA	Metro Manila Development Authority
MPDO	Municipal Planning and Development Office
NEDA	National Economic and Development Authority
NGA	National Government Agencies
NGO	Non-Government Organization
PAGF	Philippines – Australian Governance Facility
PPFP	Provincial Physical Framework Plan
PPP	Plans/Programs/Projects
PRMDP	Philippines Regional Municipal Development Project
PSC	Project Steering Committee
RA	Republic Act
RPPF	Regional Physical Framework Plan
SB	Sangguniang Bayan
SP	Sangguniang Panlungsod
SWOT	Strengths-Weaknesses-Opportunities-Threats (Analysis)
TWG	Technical Working Group
ZO	Zoning Ordinance

Resolution of the Board of Commissioners



Republic of the Philippines
Office of the President
Housing and Urban Development Coordinating Council
HOUSING AND LAND USE REGULATORY BOARD



Board Resolution No. 714
Series of 2001

APPROVING THE GUIDELINES ON THE APPLICATION OF STRATEGIC PLANNING PROCESS TO THE PREPARATION OF COMPREHENSIVE LAND USE PLANS (PLANNING STRATEGICALLY)

WHEREAS, the Housing and Land Use Regulatory Board (HLURB) is mandated to promulgate planning and zoning standards and guidelines;

WHEREAS, the government supports the government's policy to promote/ensure good governance involving the principles of participation, equity, efficiency, transparency and accountability;

WHEREAS, the existing ten volume Guidelines for the Formulation/Revision of Comprehensive Land Use Plans (CLUPs) of HLURB is being used for cities and municipalities and hence do not adequately cater for the special land use demands, issues and opportunities faced by the country's larger and rapidly expanding cities;

WHEREAS, one of the problems confronting the governance of major urban areas is the inadequacy of existing HLURB guidelines as they relate to the challenges of strategic planning and urban management;

WHEREAS, another problem that needs to be addressed in the context of good governance is the absence of guidelines on the conduct of public consultation;

WHEREAS, to address these issues and problems, HLURB entered into an activity agreement with the AusAID through the PAGF on a project entitled "Guidelines for Strategic Planning in Urban Areas Project";

WHEREAS, said project includes the preparation of guidelines to assist city LGUs in revising/formulating a more responsive CLUPs in respect to strategic planning anchored on genuine community participation and the enhancement of the planning skills of HLURB staff;

Acknowledgement

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1. Introduction

1.1 Rationale/Objectives

The Constitution of the Philippines and a succession of codes, particularly the Local Government Code (LGC), clearly point the direction to *planning for the community*. This is to be achieved by the continuing devolution of powers and responsibilities to the LGUs. The responsibilities of the LGUs include land use planning and development control consistent with national and provincial policies. The national government is promoting responsive, responsible, open and accountable local government.

Good governance, under the leadership of the mayor and Sangguniang Panglungsod (SP) will significantly assist the achievement of the government's objectives.

In land use planning, the City Planning and Development Office (CPDO) plays an important role. The CPDO is responsible for the preparation of the CLUP. The CLUP is the instrument specified in the LGC as the means to identify the community's needs, and translate them into achievable policies and plans, programs, and projects (PPP). The CPDO also plays the important role of 'community watchdog' and is responsible for safeguarding local amenity and community standards through the application and enforcement of the LGU's rules, regulations, and guidelines.

Planning Strategically has been developed as a guide to assist LGUs and HLURB officers to prepare more responsive CLUPs using strategic thinking and processes. It also guides land use planners on how to consider and deal with 'strategic' (i.e. significant or important) urban area issues.

In a changing dynamic global environment, that now impacts right down to the local level, the application of strategic thinking and strategic planning systems will positively aid the local planner to meet the consequent challenges.

The results of good strategic planning are the identification and eventual satisfaction of the community's needs and wishes for a better quality of life.

1.2 Scope and Limitation

Planning Strategically was prepared as the governing guideline to facilitate the better application of the 10 volumes of existing HLURB planning guidelines. This **Guidelines** should be read first, **before** commencing the preparation of a new CLUP or the revision of an existing CLUP.

Although the document is intended as a tool to aid planning for highly urbanized or rapidly urbanizing areas, it should be noted that the principles are equally valid for the planning of predominantly rural municipalities.

This document does not seek to define urban growth or urban area (either spatially or by population thresholds). However, as an example, any LGU having one or more urban areas (village, town, suburb, or city) with a population of more than 50,000 people will benefit from the application of these **Guidelines** to resolve planning problems in the preparation of CLUPs.

This document comprises six sections. Section 1, the Introduction, is self-explanatory. Section 2 is a background to strategic planning and its relationship to the CLUP process. Section 3 details the process and its application to the actual preparation, amendment or update of the CLUP. Community consultation is an important and integral part of good strategic planning, and so Section 4 deals exclusively with this important element. Section 5 links the systematic approach to the consideration or resolution of actual strategic (i.e. significant or important) issues or problems common within the urban areas of metropolitan Manila, provincial cities, and other urban areas. Section 6 provides guidance on some fundamental planning principles and their relevance in considering particular land use or development applications.

Finally, this is not a prescriptive document. Rather, it aims to be a vehicle for encouraging lateral creativity in response to increasing urban growth pressures and problems: It works within the framework of existing government policies and sound planning principles and the legal framework of the existing CLUP process.

Note however that many sectoral or thematic issues (as identified in Section 5) can be addressed separately (external to the CLUP process) using the strategic principles identified in this document. However, such applications will be at the discretion and judgement of interested LGUs.

A number of key terms appear regularly throughout this document and so it is useful to define these terms as follows:

Amenity: Refer to Section 6.

Community: A group or number of people who (for the purposes of land use planning) generally live within a physically identified area. In some cases the term can be applied to people who have a common interest (community of interest). There is no population threshold that defines community – it may be large or small and can often be influenced by the

nature of the issue being considered. Community is always included within the term “stakeholder”.

Consultation: Refer to Section 4.

Developer: A person, a group of people, or a company undertaking the development of land or buildings (including demolition or restoration) usually for profit. Non-profit organizations can be developers, as can LGUs or government agencies, although this is less common.

Development: Includes construction, demolition, and restoration when applied to buildings or physical structures. It also includes significant modification to the topography (land form) as may result from excavation, filling, mining and other similar activities.

Ecologically Sustainable Development (ESD): Refer to Section 6.

Stakeholder(s): Includes at least the following:

- The LGU serving the area;
- The community (as previously defined);
- Non-resident land or property owners;
- Non-resident employees or workers (including street/sidewalk vendors);
- Resident and non-resident land or property developers;
- Government or quasi-government agencies (NGAs) or departments providing a public service within the area (e.g. DENR, DILG, NEDA, etc);
- Private utility companies (e.g. water, telecommunications, sewerage, electricity) providing a service within the area;
- Non-government organizations/agencies (NGOs) representing particular interest groups resident or employed within the area;
- Any other person or group (either public or private) whose activities and decisions can have an impact (either beneficial or adverse) on any of the other stakeholders within the area

Strategic Planning: Refer to Section 2.

Net Community Benefit (NCB): Refer to Section 6.

2. Strategic Planning

2.1 What is Strategic Planning

Strategic planning is a process for long-term planning.

It is a continuous and systematic process during which people and organizations (community/stakeholders) make decisions about *future* outcomes, how they are to be achieved, and how their success (or otherwise) is to be measured and evaluated (Westerman, 1998).

It is a way of producing *decisions and actions* that shape and guide a *system*. That *system* can be the nation, the region, provincial or local or a *sector or function* such as transport, health, education, or even public (such as LGUs or line agencies) or private organizations. Within an LGU it can be applied at the widest spatial level down to barangay level, and even the larger subdivisions (village level). Likewise it can be applied to a specific sector or particular functional application.

The following insert and planning model concisely encapsulates the significance of Strategic Planning.

Creating our Future

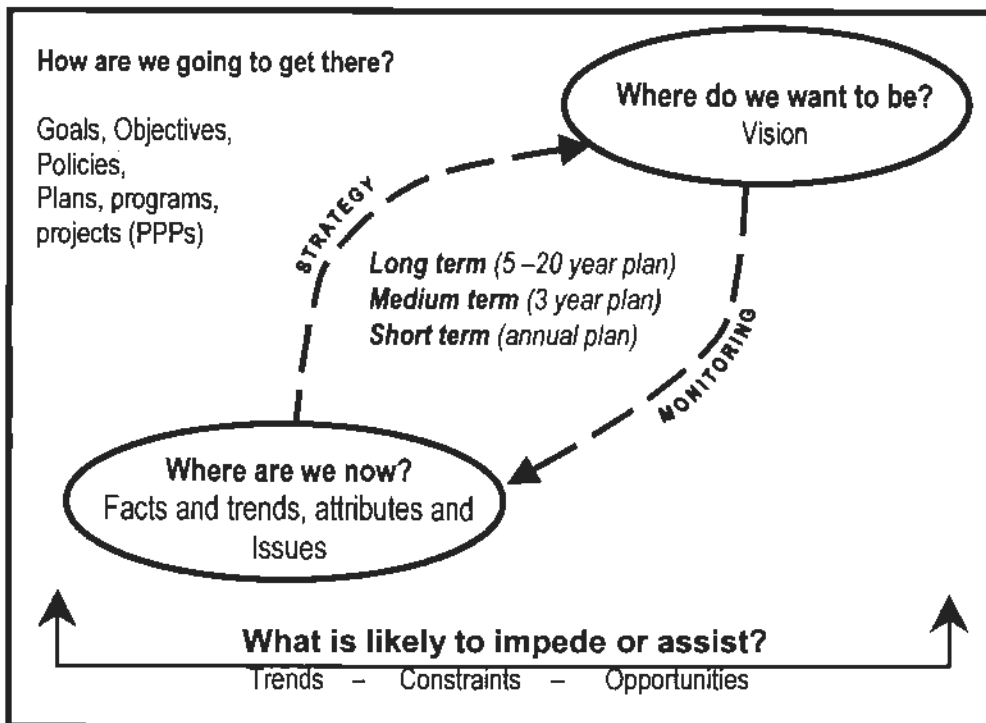
<p>Strategic planning is about looking to create the future rather than reacting to change. It is about being clear about what we want our future to look like and being strategic on how we get there.</p>	<p><i>'If you don't know where you are going, you'll probably end up some place else.'</i></p> <p><i>Confucius</i></p>
<p>Dr Peter Ellyard, the former Australian Commissioner for the Future, differentiates between 'probable' and 'preferred' futures.</p> <ul style="list-style-type: none"> • A probable future is one which accepts / expects the future to be a logical progression of the current situation based on existing trends. It asks 'What will the future be like'? Efforts focus on addressing existing problems. • A preferred future is one that we can proactively shape by using creative forward thinking. It asks 'What should the future be like'? Efforts focus on having a clear vision of the future and implementing strategies to achieve this. <p><i>'The future is not some place we are going to, but one we are creating. The paths to it are not found but made, and the making of those pathways changes both the maker and the destination'</i></p> <p><i>Dr Peter Ellyard</i></p>	

Essential Components of Strategic Planning

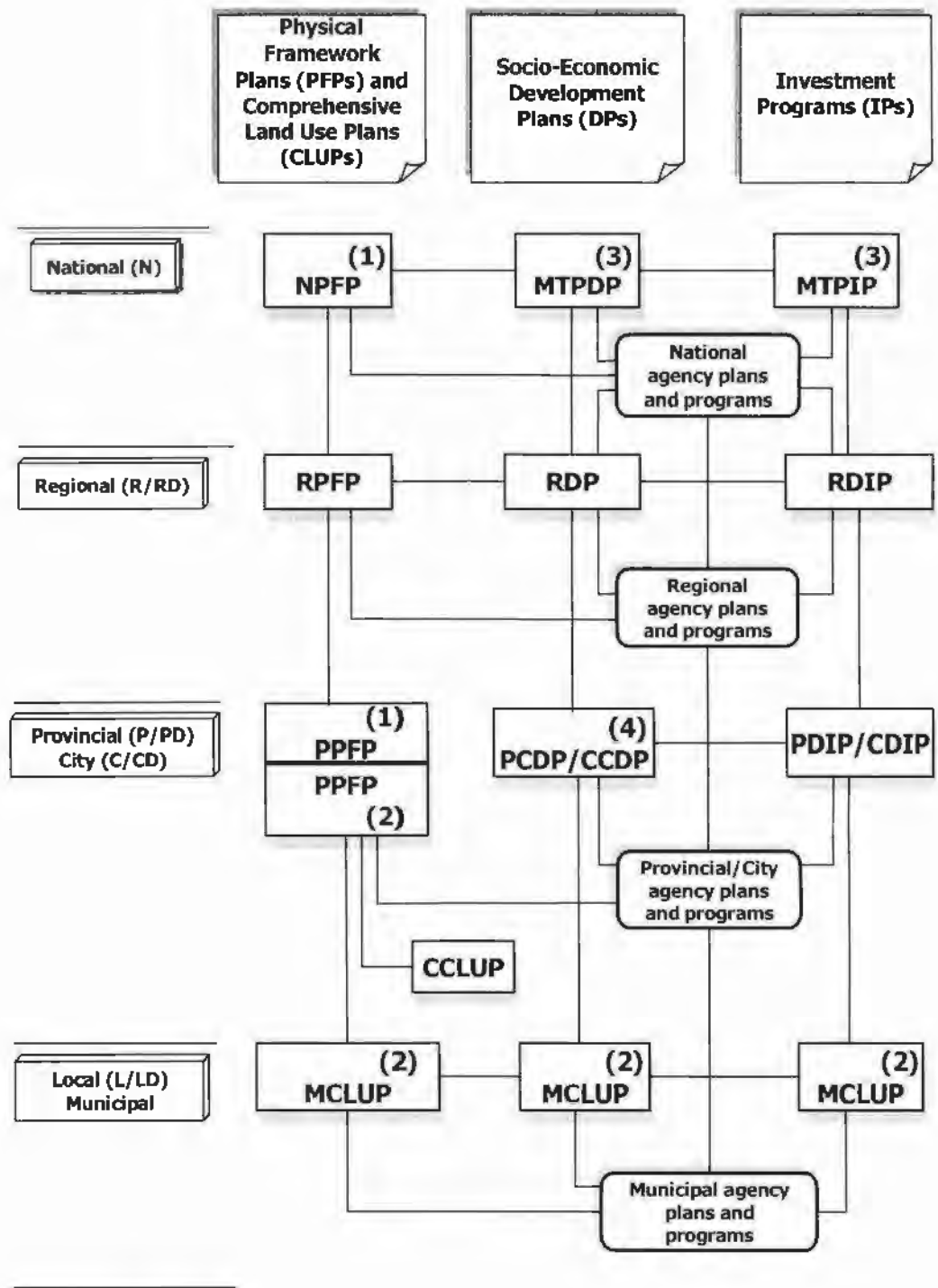
COMPONENT	DESCRIPTION
Vision	Where do you want to be in a particular time?
Existing condition	Where are you now?
Strategy	How do you achieve your vision?
Monitoring	How is the strategy performing having regard to changing circumstances?

These elements are further discussed in Section 3.

Strategic Planning Model



The Government (GOP) already has a well-defined integrated framework of plans incorporating many elements of the strategic process. However, they fall short mostly in the extent of community and stakeholder participation and consultation. Hence, many of the important policies or action directives from these plans fail to be implemented (or even acknowledged) because they have no genuine public or agency ownership. The linkages and relationships of this integrated framework are shown in Figure 1.



- Notes: (1) PFP = (N/R/P) Physical Framework Plan
 (2) CLUP = (P/C/M) Comprehensive Land Use Plan
 (3) MTP = Medium Term Philippine (DP and IP)
 (4) CDP = (P/C/M) Comprehensive Development Plan

Figure 1 HIERARCHY AND LINKAGES OF PLANS

2.1.1 How Strategic Planning Differs from Other Forms of planning

Strategic Planning is not a magic formula, or process, that has suddenly been invented by urban planners or planning academicians. It actually evolved during the 1960's to 1970's through the corporate world, where it is now common practice.

More recently, however, it has gained credibility within the public sector where its application by governments and communities has demonstrated its value in managing rapidly changing economic, social, and environmental conditions. It is seen as an ideal planning instrument for LGUs beset by the demands for an increasing range of services with limited budgets.

Strategic Planning is distinguished from other forms of planning through its:

- Emphasis on action and implementation;
- Participation by key decision-makers;
- Concentration on the really important issues or needs, as perceived by the community or organization; and
- The allocation of limited resources (usually money in the case of LGUs) to critical areas or functions.

The framework for strategic planning tends to be very similar regardless of the field of application – physical or environmental, economic, social, or organizational – or the organization undertaking it.

The contemporary approach to Strategic Planning significantly includes different features from that of the 1970's namely:

- It is firmly based on economics and the need to deploy limited resources efficiently and effectively;
- It is more selective, concentrating on achieving a limited number of carefully chosen objectives in any specified cycle or period, and is based on the aspirations and priorities of the community; and
- The participation of community and special interest groups in the Strategic Planning process.

In the 1960's and 1970's, planning was almost exclusively the domain of the planning professionals. Public consultation was ceremonial. The ultimate outcomes in land use terms were the static master plans and inflexible development control instruments (ordinances) that ultimately proved incapable of responding adequately, or quickly enough to the pace of change.

Today, consultation is regarded as an integral part of the planning process. It must relate to the needs of the community and the business organizations that will be responsible for implementing the strategy.

Sometimes professionals and politicians (i.e. the key decision-makers) tend to downplay the importance of genuine participation or consultation. Such an approach will have similar results as those that resulted from the traditional form of consultation generally made in the preparation of the older CLUPs. The current approach provides for consultations with special interest groups and experts and includes the presentation of the CLUP at the Open Public Hearing near the conclusion of the planning process.

Ultimately the traditional approach negated the intention of giving legitimacy to the CLUP. The community and stakeholders felt excluded and hence acknowledged no real ownership of the Plan. The politicians likewise felt no commitment to the community to implement the Plan's objectives or programs. The consequence was the continuation of often fiscally inefficient short-term planning and resultant ad-hoc development.

Therefore, one of the most important steps in the Strategic Planning process is to ensure that all of the stakeholders participate fully in the process and thereafter accepts ownership of the Plan.

This document supports and promotes such an approach.

However, notwithstanding the recommendations in any step in the **Guidelines** document, the extent and nature of any participation and consultation must be the responsibility of each LGU. This **Guidelines** can only establish the framework for a process. It does not prescribe the nature of every step. It aims to direct and guide the LGUs committed to the concept of full empowerment for their citizens, adopt the approach that includes the widest community participation.

2.1.2 Fundamental Requirements for Successful Strategic Planning for Cities and Regions

Experience from around the world suggests four fundamental requirements for successful Strategic Planning for cities and regions:

- Acceptance by *all* levels of government of the need for long-term commitment to action and the coordination of planning and investment in land use and infrastructure;
- A workable balance between short-term results and long-term vision; setting priorities for required tasks and effective resource deployment;
- Integrated planning at national, regional, metropolitan and local levels, as well as in economic/financial, physical/environmental, socio-cultural and organizational fields;
- An organization which is in a position to formulate and implement a strategic plan and its tactical/operational programs, and to ensure provision of the financial and other resources required.

(Source: Strategic Planning for Metropolis, Vol. 1, 1993)

2.2 Benefits of Strategic Planning

Organizations undertake Strategic Planning for varied reasons. Commercial or corporate organizations have understood its benefits for many years. By contrast, government organizations (especially LGUs) have been slower to embrace the concept.

However, the rapidly changing global environment has initiated a re-evaluation of this planning concept as a more responsive approach to planning and organization altogether.

In Australia, for example, councils (their LGUs), function like a corporate board of directors, concentrating on policy and strategy matters to guide local government direction. Meanwhile, a non-elected officer of the council who functions as the Chief Executive, is responsible for day-to-day operational matters.

In the Philippine setting, the Sanggunian, the local council, is also tasked to formulate policies and strategies for the LGUs. Due to the growing communities under the administration of the SPs, an active public consultation pushed by Strategic Planning offers the SP and its elected members the benefit of keeping in touch with the electorate.

It is argued by a number of recognized authors (Steiner, Barry, et al) that Strategic Planning can provide the following benefits for an organization:

- Clarifies its future and provides a long-term direction (a vision) to guide actions;
- Provides the opportunity for extensive public participation and consultation which in turn:
 - Promotes a sense of community spirit, identity, and ownership;
 - Ensures that the community's aspirations are accurately reflected;
 - Promotes confidence in the planning process while gathering support for the activities of the SP, CDC, and the LGU staff;
- Establishes priorities for action and resource deployment;
- Ensures a coordinated approach to the planning and provision of services;
- Limits ad hoc and crisis decision making;
- Makes the most effective use of resources;
- Provides a benchmark to measure achievement;
- Provides a clear and justifiable basis for decision-making;
- Deals effectively with rapidly changing circumstances;
- Provides "certainty" for the stakeholders (LGU, public & private sector, developers, the public);

- Enables the delegation of responsibility and therefore the exercise of maximum discretion in the areas under organizational control;
- Links strategy to budget;
- Solves major organizational problems;
- Improves organizational performance;
- Builds teamwork and expertise.

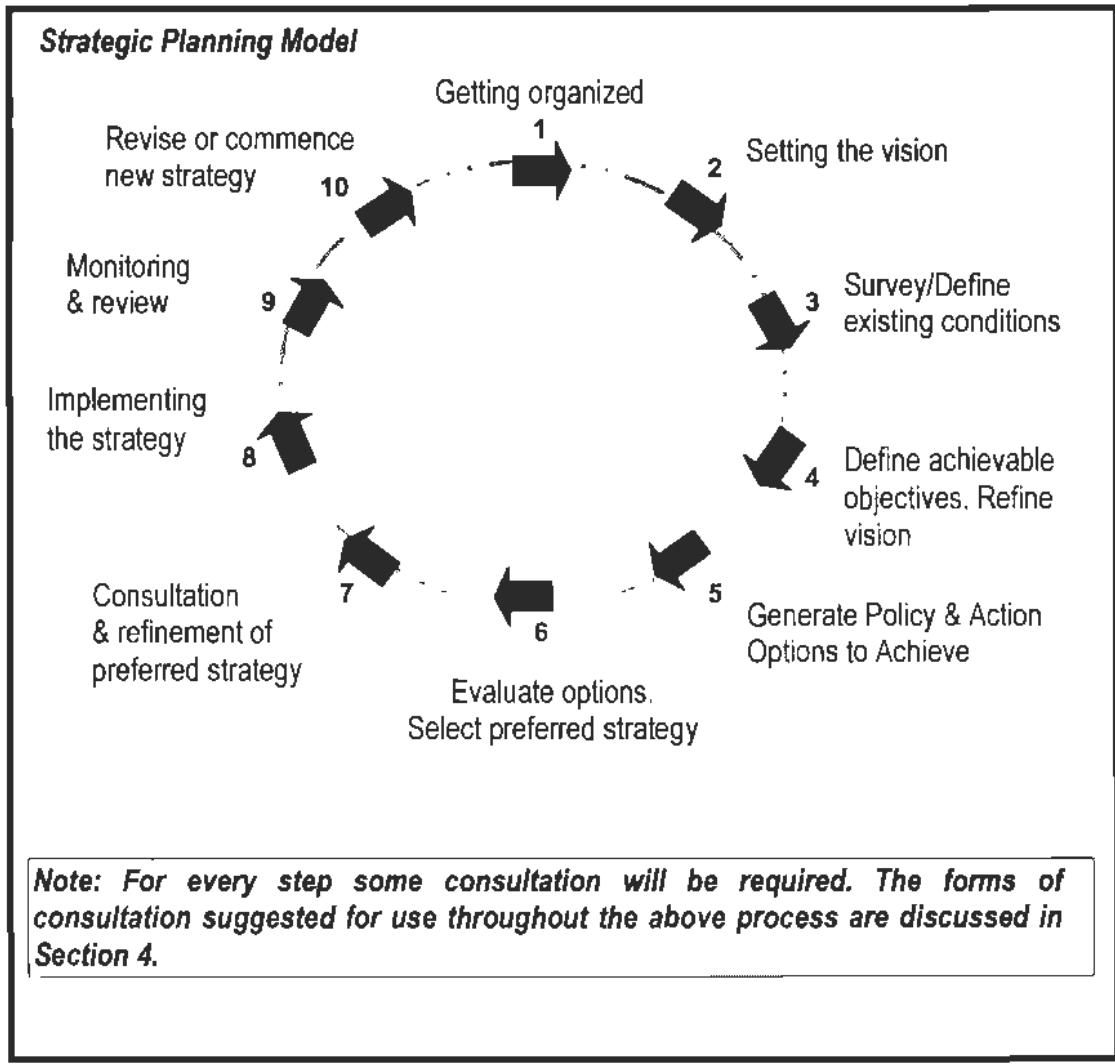
2.3 The Strategic Planning Cycle

Strategic Planning is not about straight line projection to achieve more of the same. It is about projecting for a desired future for the benefit of the community. It is about planning for, and managing the rapid pace of change. Therefore, to be successful it needs to be underpinned by a long-term, yet realistic vision.

It must be recognized and accepted from the outset that change, or achievement of the vision, has a price that has to be paid. It must include not only the known gaps in the present societal structure, but the additional PPPs that will make the difference between “more of the same” and the desired future.

Adoption of a vision therefore commits both the LGU and its community to identifying revenue sources and seriously planning for its achievement. The best strategic CLUP is little more than a “toothless tiger” unless the LGU integrates its targets into the annual and medium term fiscal planning cycle. This in turn makes it a plan that is apolitical and can be embraced by succeeding administrations with little more than fine tuning of prioritized PPPs in recognition of evolving circumstances.

While a variety of different approaches to Strategic Planning have emerged in recent years, they all exhibit similar basic characteristics such as in the following model.



It is evident that the tasks (or steps) in this model are part of a cyclical process. This is consistent with contemporary practice recognizing the inter-relationship between activities and acknowledging that completion of the cycle is merely the beginning of a new cycle. A new cycle will enable an update of the CLUP, or other strategic plan, to include feedback from the monitoring and review phase thus recognizing changed circumstances and priorities.

This, of course, is a simplification. Rapidly changing circumstances may necessitate earlier reviews of a CLUP than its intended time frame. The strategic process is ideal for such reprocessing. The former days of static long-term master planning have little meaningful relevance in today's environment.

While theoretically it seems reasonable for analysis, diagnosis, and forecasting to precede the formulation of alternatives, experience shows that

it may sometimes be necessary to design some hypothetical solutions before a full understanding of the key issues can be achieved. Also, some planners will insist that the formulation of goals and objectives should precede data collection and analysis. Others will encourage that it should be undertaken in several stages. Such differences in application merely reflect personal attitudes but do not dilute the essential validity of the overall cycle.

It should also be understood that in many cases there may be no need to undertake all of the tasks in the various identified stages, nor in the depicted order. Short-cuts are justifiable depending on the circumstances, nature of a particular task, and time constraints.

Recognizing that this **Guidelines** manual is just a set of *guidelines*, each LGU should use them in such form or detail as fits the proposed application.

2.4 Strategic Planning and Gender

Strategic Planning or development planning is in reality *not* gender-neutral. There is the theoretical assumption that when resources reach the community, the benefits will accrue equally to the entire population. This assumption has been proven false over the years by a great deal of research. It shows a lack of understanding of the dynamics inside the household and the community as a whole. It has historically ignored the very significant “unpaid” (and therefore unmeasured in economic statistics) work that women undertake. This kind of planning makes planning gender blind because ignoring 50% of the economically active population will not lead to equitable development.

People-centered development requires more than precise information about who the people are! The people are not a homogenous group. They are comprised of men and women. To put gender in its proper perspective, the activities of men and women should be addressed separately. Men and women play different roles and they have different needs. Yet these needs are often ignored or misrepresented by planners and decision-makers.

Development affects men and women differently, and satisfying their needs will have different impacts on plans and projects. As the two key stakeholders, both men and women must be involved in identifying problems and solutions if the interest of the community as a whole is the target of planning and development. Without women’s inclusion in planning, both as agents and beneficiaries, genuine development is not possible.

The Strategic Planning process (if applied properly) can empower the disadvantaged sections of the community by providing formal access to the planning and decision making cycle through participatory consultation. However, for this to be realized, planners and decision-makers must *consciously and specifically* target women and other disadvantaged groups to participate fully, and ensure that their views and concerns are given the equal consideration that they have a right to expect.

2.5 Strategic Planning Applied to the CLUP

2.5.1 The Comprehensive Land Use Plan (CLUP)

2.5.1.1 Approaches to CLUP Formulation

The local government units can adopt either of two methodologies:

- **Bottom to top approach (integration of Barangay Development Plans);**
- **Top to bottom approach.**

Under the Local Government Code of 1991, the Local Development Councils (LDC), or in the case of barangay, the Barangay Development Councils (BDC) are tasked to prepare Barangay Development Plans (BDP) to be submitted to the Sangguniang Barangay (SB) for review and approval.

Thus, the integration of BDPs into the city or municipal plan is one methodology that the LGUs can adopt as a source of local input into the formulation of the city or municipal CLUP.

The integration aims to harmonize development goals and objectives of all barangays consistent with city or municipal goals and objectives. It also identifies and reconciles inconsistencies and incompatibilities in land use proposals among adjacent barangays.

The BDP process also provides an ideal opportunity for the barangay communities to influence the nature, scale, and future quality of their living environment. Additionally it also enables the community to contribute to the debate about the nature and scale of development in its community. Ultimately, the BDP (as an integral component of the CLUP) is the ideal planning tool for realizing the government's agenda for community empowerment. It can provide the benchmark of the accountability that will result in local government politics.

In the absence of barangay and municipal development plans, the local planner should adopt the top-to-bottom approach to planning.

The two approaches may be taken concurrently provided it is understood that the BDPs are only relevant to the CLUP as valuable but limited inputs. A consolidation of many BDPs does not constitute a strategic approach to planning.

In all cases for the Strategic Planning process, the top-to-bottom approach combining the BDPs (bottom-to-top approach) as valuable input is recommended to be utilized. The approaches are shown in general form in Figure 2.

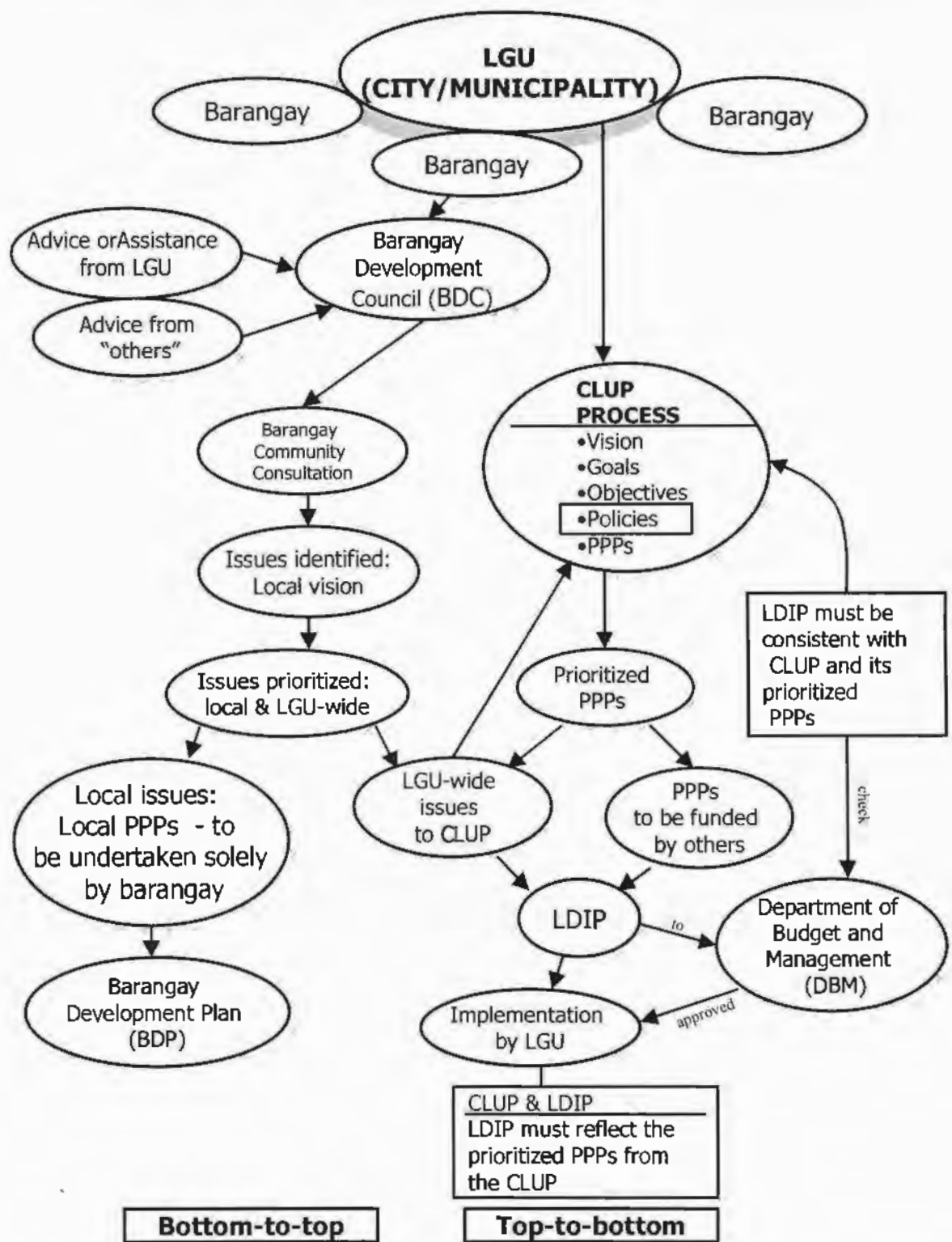


Figure 2 **APPROACHES TO CLUP PREPARATON**

2.5.1.2 Obligation and Commitment

The legal obligation of LGUs to prepare CLUPs is part of the national government's drive to enhance the autonomy and empowerment of the LGUs.

Such empowerment is further legitimized through the extensive community consultation undertaken in the Strategic Planning process which produces the CLUP as the long-term aspirations and visions of the community. Local autonomy can be even further strengthened down into the barangay level through the preparation and application of the BDPs.

The CLUP is therefore not a sterile document. It is based on law and as such *the LGU cannot ignore its obligation to implement its CLUP*. Therefore it is important that the LGU undertakes the necessary administrative steps to ensure its implementation. This will certainly include the translation of the prioritized PPPs into the LDIP, and may also require consequential administrative/organizational changes to facilitate implementation.

It is also important to understand the relationship of the Zoning Ordinance (ZO) to the CLUP. As the statutory regulatory tool for land-use, the objectives in the ordinance must be consistent with the policies of the CLUP. In the consideration of development applications where discretionary decision-making is required, decisions must be consistent with the policies of the CLUP, and the land-use objectives of the ZO.

The Department of Budget and Management (DBM) has an equally important role in the process. It is the agency that approves the Local Development Investment Plans (LDIPs). It must ensure that it only approves those LDIPs that genuinely reflect the policies and outcomes of the lawfully adopted CLUP. The DBM is responsible for looking deeper than just the financial aspects of submitted LDIPs.

The proper coordination of all approval processes will ensure the straightforward implementation of the CLUP. It will at least limit the chances for the political opportunism that occasionally sidetracks the implementation of the CLUPs in favor of different agendas. It will provide a level of apolitical certainty that will benefit all stakeholders. It will also establish the performance criteria to measure LGU administrations at election times.

Figure 3 shows the obligatory relationships that are derived from Article 41 of the Implementing Rules and Regulations of the Local Government Code of 1991 (RA 7160). It also illustrates the important connection between CLUP, LGU budget, the LDIP and DBM. The important sequence of relationships include:

- The empowering legislation (Article 41 of the IRR of the LGC);
- The CLUP – representing the long-term vision of the community and stakeholders to an improved and enhanced future;
- Consistent application of the policies of the CLUP, and the implementation of its prioritized PPPs through the LGU's budget and other revenue streams;

2.5.2 How Strategic Planning Helps Make the CLUP More Responsive to Community Needs

- Its emphasis on genuine proactive participatory consultation can provide the level of community ownership and legitimacy that will force apolitical (bipartisan or multi-party) commitment from the LGUs' elected members irrespective of political changes. It is the community's and stakeholders' belief (ownership) in the strategically based CLUP that will ensure the realization of its objectives and projects and demand political and administrative accountability for its implementation;
- The Strategic Planning process will enable the updating or revision of CLUPs without the need for substantial data gathering. Usefully, the process will also identify LGU data shortages and other issues. These can in turn become priorities for future resolution;
- The Strategic Planning approach provides for rational horizontal and vertical integration of the separate sector sub-strategies of the CLUP. Integration enables a more valid prioritization of programs, projects, and plans (PPPs) and other identified issues, and hence the more relevant disbursement of budgets to meet community expectations;
- A strategically prepared CLUP provides a comprehensive overall development framework to guide the LGU towards the achievement of the community and stakeholder vision and a better quality of life;
- The strategic CLUP also provides the basis for the most rational and effective use of the nation's scarcest resource – land;
- Importantly, a good strategic CLUP provide the "*planning certainty*" that the community and stakeholders need for confident and predictable decision-making. A well planned and strongly administered CLUP will limit the worst excesses of speculation and the consequent planning disasters that often follow. Hence, the long-term social, environmental and financial costs to the community will be minimized.

2.5.3 Implementing the CLUP: the LGU Budget, the LDIP and Financing the "Gap"

2.5.3.1 The LGU Budget

The CLUP is one of the LGU's most important planning documents. The programs, plans, and projects (PPPs) in the CLUP largely represent the outcomes most likely to achieve the LGU's vision, These also effectively reflect the community's and stakeholders' aspirations to an improved quality of life. Therefore, following its adoption by the SP and approval by the HLURB, the LGU has the important responsibility of financing the implementation of its CLUP.

It is important for the LGU's elected representatives and officers to understand this legal obligation from the outset and so Senior officers of the LGU's Finance Department should be included in any TWG or Project Steering Committee (PSC). It is important for the Finance Department to be

the cost implications of the identified PPPs as it can then start preparing for their implementation as soon as possible after approval of the CLUP, or the identification of alternative sources for funding the PPPs. Figure 3 illustrates these relationships.

To enhance transparency in the budget process it is advisable for LGU's to present the budget allocation at least according to the following:

- Allocation for annual operations and maintenance (O & M). Note that this allocation must be increased annually to provide for on-going maintenance of assets (e.g. buildings, roads, or other physical infrastructure) resulting from the completion of each of the PPPs adopted in the CLUP;
- Allocation for those prioritized PPPs in the CLUP that will be financed solely from the LGU's recurrent budget, or through LGU loans such as BOT, or other forms of financing;
- Estimated cost of those prioritized PPPs that will be financed entirely by non-LGU sources (e.g. national departments/agencies; privatized utility companies; foreign grants, etc);

In this way the PPPs from the CLUP can be easily translated into the LDIP to produce an understandable LDIP showing the responsibility "streams" for implementation.

When approving the LDIP, the DBM must remember that it too has a responsibility to ensure that the LDIP is not only fiscally sound but that it truly represents the priorities of the CLUP, and not some other priorities.

Figure 4 illustrates the necessary close linkages between the CLUP and Budget.

2.5.3.2 Financing the “Gap”

Examination of the CLUPs and the LDIPs of many LGUs will often highlight a significant gap that needs to be financed by means other than the traditional income base of the LGU (taxes, licenses, IRA, etc).

It is important to understand this gap. The gap represents the difference between projected revenues available through normal means and the estimated cost of the PPPs identified in the CLUP.

Since the CLUP should truly represent the community’s aspirations and visions, financing the gap is an important task for the LGU, if the standard of living of the community is to be enhanced.

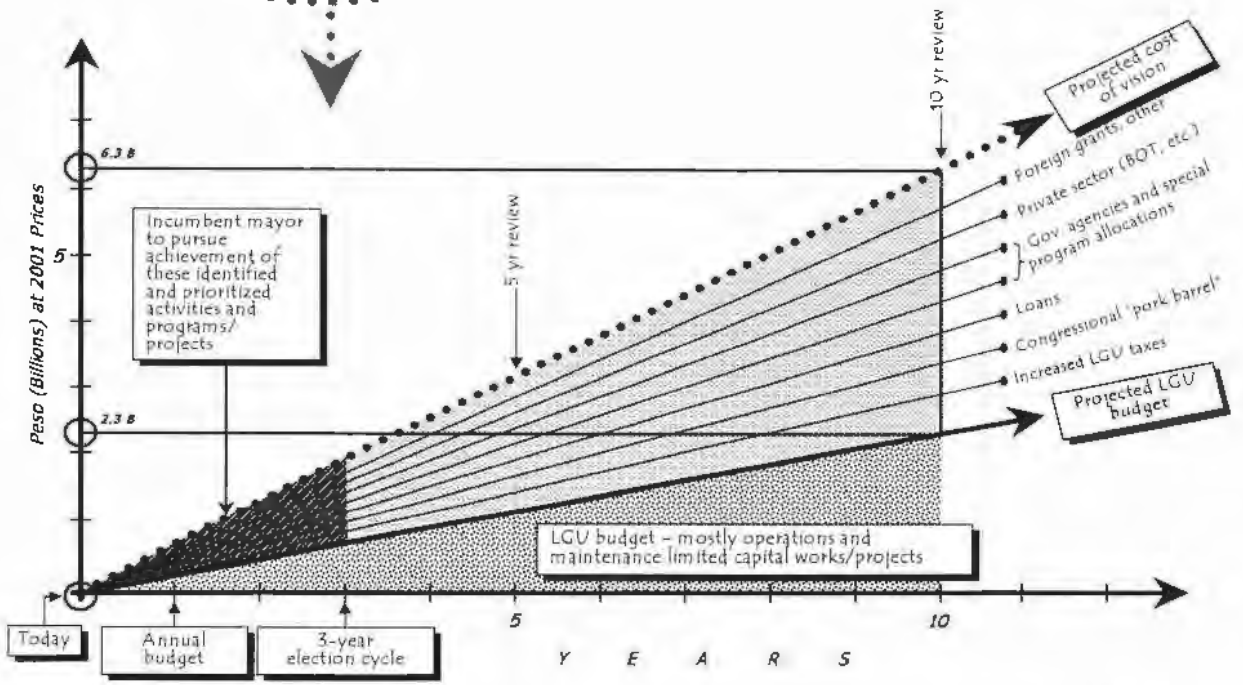
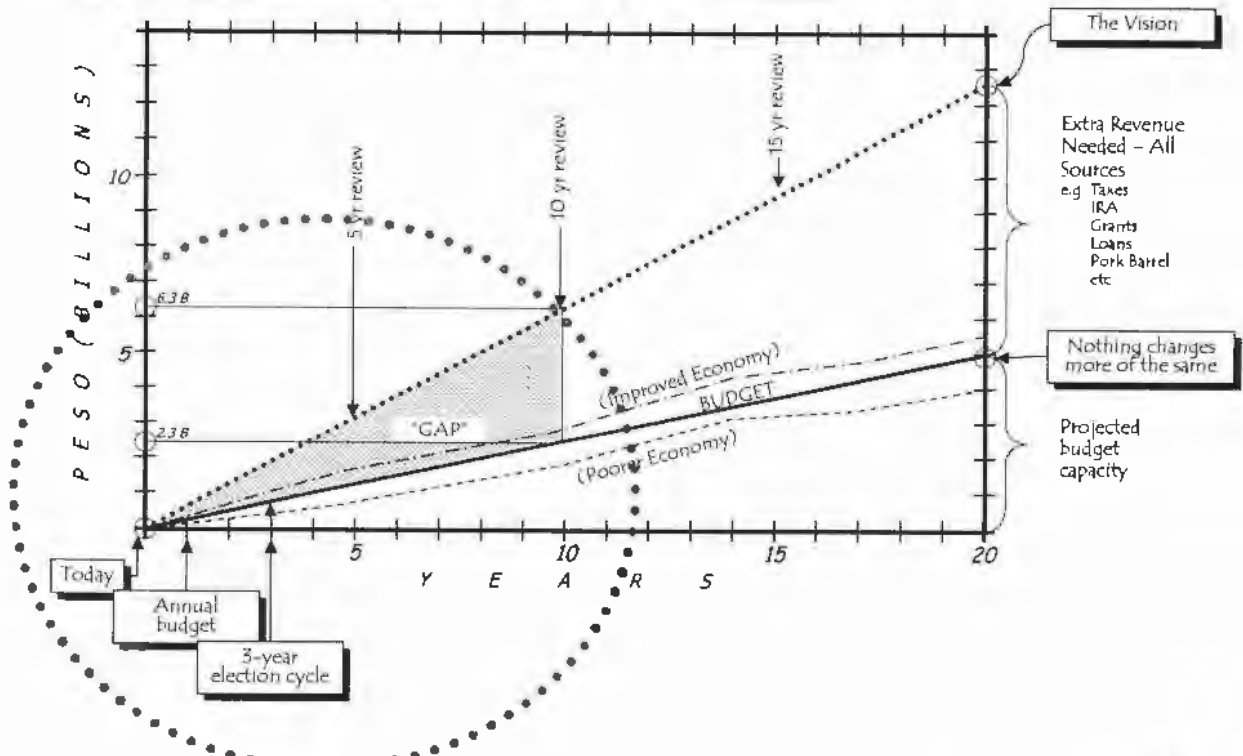
Financing the gap will be a major challenge to the mayor and the members of the SP. Their efforts can be used by the community as a benchmark to judge their performance, and that of the LGU officers, at any time.

Implementation of the CLUP is the LGU’s main priority. Its implementation should be accepted by all politicians (national, provincial and local) as one of the main challenges of their elected terms. It is the ideal ‘non-partisan’ platform where they can base their future campaigns. A well-executed CLUP having the legitimacy of extensive community participation provides the opportunity for local politics to move from personality-based to constructive policy-based issues.

The real challenge for the mayor and the members of the SP is to explore every means of financing the “gap”. It will include the traditional options of expanding the tax base, more efficient licensing, maximizing organizational efficiencies, and private sector financing. More importantly, it must include effective lobbying to ensure every available peso of funding from national government and its agencies. Further, this responsibility will include briefing congressmen or congresswomen on the importance of directing discretionary funds to the prioritized PPPs of the CLUPs and LDIPs of the LGUs in their districts, rather than to their signature projects.

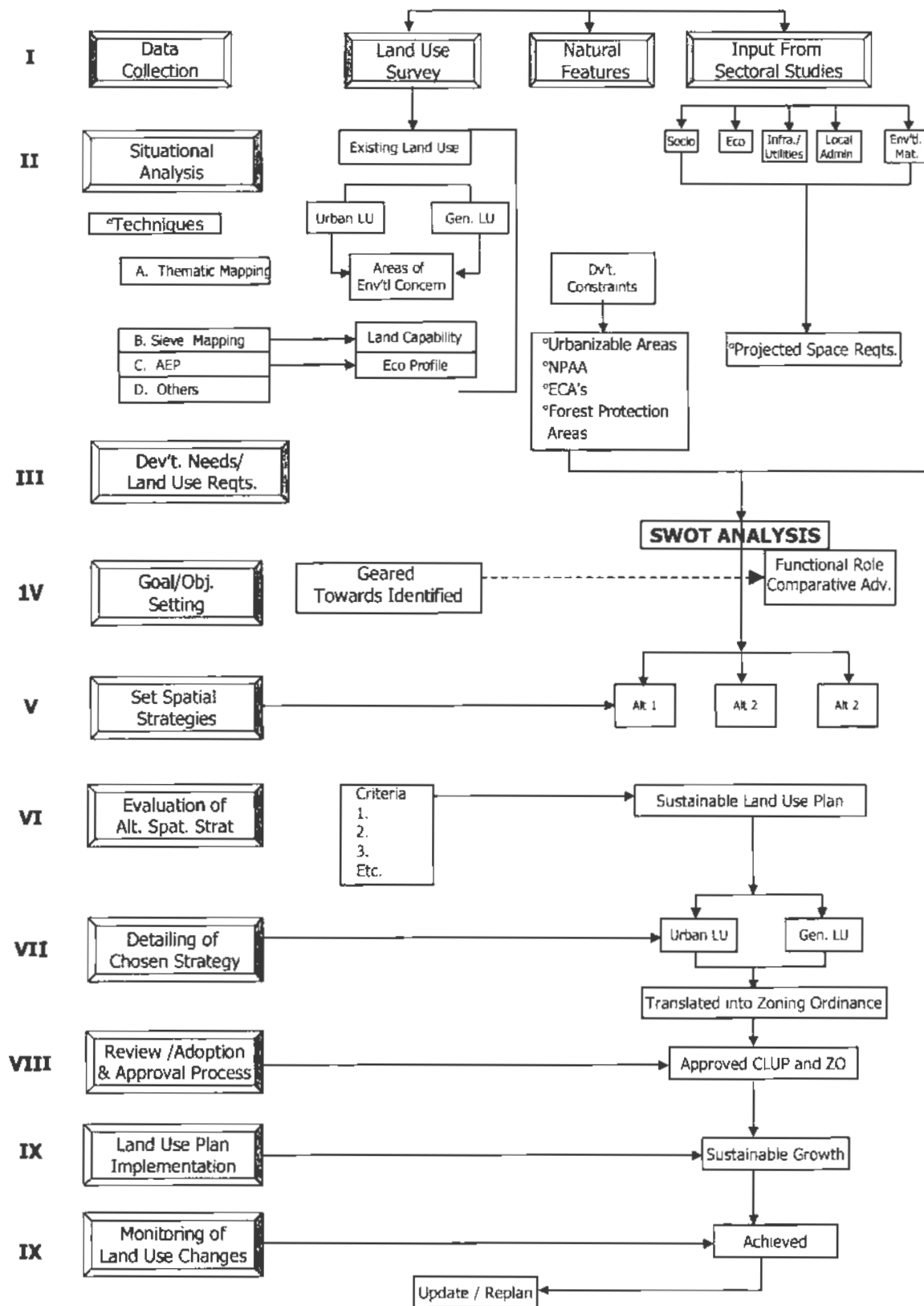
Figure 5 provides an illustration of the significance of the “gap” to LGUs.

CLUP: QUALITY OF LIFE INDICATOR – 20 YR. VISION



FINANCING THE "GAP"

Figure 5 **QUALITY OF LIFE INDICATOR**



AEP – Area Ecological Profiling
 NPAA – Network of Protected Agricultural Areas
 ECA – Environmentally Critical Areas

Figure 6 THE CURRENT CLUP PROCESS

2.5.4 The Strategic CLUP

Figure 6 shows the process currently recommended for the preparation of the CLUP (HLURB Guidelines, Volume 5, page 32). The process prescribes only one formal public consultation session at the *conclusion* of the planning process. Otherwise, consultation is confined to representative groups, public/private institutions, and selected/nominated experts (either from the LGU or elsewhere) during the preparation of the component sector plans.

This process tends to stratify planning within sectors and discourages wider community involvement. There is no clear path to the creation of a genuine community vision. It is difficult to achieve meaningful cross-sector horizontal and vertical integration without first having an over-riding LGU vision. The “vision” generally resulting under the current process is usually the amalgamation of the sector goals. While such a vision may be perfectly adequate, it lacks the legitimacy bestowed by the wider community’s participation.

Many of the existing processes for the formulation of a CLUP (Figure 6 from HLURB Guidelines, Volume 5) will not change significantly in the preparation of a CLUP using this **Guidelines**. In particular, data collection (including relevant sector data), land use surveys, situation analysis and sieve mapping are all very important activities in any planning exercise. Once these activities have been undertaken, the LGU should develop systems for their storage (preferably electronically or digitally - GIS/MIS) and conduct regular updates.

Figure 8 shows how the Strategic CLUP process works for the preparation of a new CLUP, while Figure 9 shows the process for periodic revision or update. Note that the ease which the CLUP can be updated will depend on the commitment of the LGU to the storage, maintenance, and ongoing updating of data.

The sieve mapping will naturally include all identified development constraints. However, the emphasis will change, to:

- Provide for a variety of opportunities for community and stakeholder participation throughout the process, and in particular extensive early participation in the development of an LGU’s vision. The vision should inform the subsequent development of sector goals rather than sector goals being converted into a vision (i.e. the “dog should wag its tail” rather than the “tail wagging the dog”!);
- Simplify the process for achieving the vision (e.g. goals, objectives, etc), and reinforce this process to provide policies. Policies will be the basis for “driving” both the implementation of the PPPs identified in the CLUP process and the consequent land use plan. The policies will therefore also guide the land use objectives within the ZO. They will also provide the necessary guidance for officers required to exercise

discretion or impose conditions on development applications. When the LGU adopts and implements its CLUP, the consistent application of the policies by the elected officials and the officers provides the *planning certainty* that all stakeholders and developers seek. Figure 7 shows how the core policy development process works. Key definitions are included in the Table to Figure 7.

- Spatial strategies should not be set on the basis of long outmoded theoretical spatial models. Nor should it be assumed that the extrapolation of population growth into theoretical land requirements must necessarily, or automatically, lead to physical expansion of the city's or urban area's edges. That may well be an option, as may the application of a particular spatial model but only if the urban growth policy that results from the integration of the sector policies supports such an approach. Land is a finite and scarce resource. There is a need to retain and improve the quality, and production from agricultural lands. There is no such thing as unproductive agricultural land. There is an acknowledged need to retain (if not expand) areas of ecological or environmental significance. Hence, the LGU's spatial strategies should be geared towards maximizing existing in-fill opportunities and increasing densities within the existing urban core. Only lastly should the LGU consider urban expansion in the least productive (or least significant) areas that are capable of being serviced by infrastructure and utilities most efficiently and economically.
- The Land Use Plan and the Zoning Ordinance will be seen as "outputs" of the CLUP and not the sole basis for the CLUP. The CLUP is the LGU's complete multi-sector policy/strategy document, not just a process towards zoning land and identifying capital works projects.
- PPPs should no longer to be limited to infrastructure or physical construction projects. There is nothing wrong with identifying and undertaking further planning studies or other investigations as valid outcomes of a CLUP. This is a recognized and legitimate outcome of *strategic thinking*.

DEFINITION OF TERMS – Table to figure 7

VISION	A “ dream ” for a <u>desired</u> future. May be long-term or short-term, or even issue specific. Should include a time frame (say 5, 10, 20 or longer years).
GOALS	Are “ ideals/ends ” that will <u>guide</u> the CLUP towards achievement of the Vision.
OBJECTIVES	Quantitative: these include the quantitative (objective) and time - related outcomes desired. Qualitative: these are usually more flexible and not “restricted” by quantity, time, or other criteria. They are more likely to reflect “qualitative” (subjective) considerations.
POLICIES	A “ course of action ” <u>repeated consistently</u> by the LGU (elected representatives and officers) to achieve the objectives. They should be written as statements of <u>intent</u> of the LGU.
PLANS/PROJECTS/ PROGRAMS (PPPs)	May include specific physical construction or infrastructure projects, administrative or organizational re-structuring, social programs, future studies, thematic or specific issue strategic plans. They must be consistent with LGU Policies, and help to achieve the Objectives.

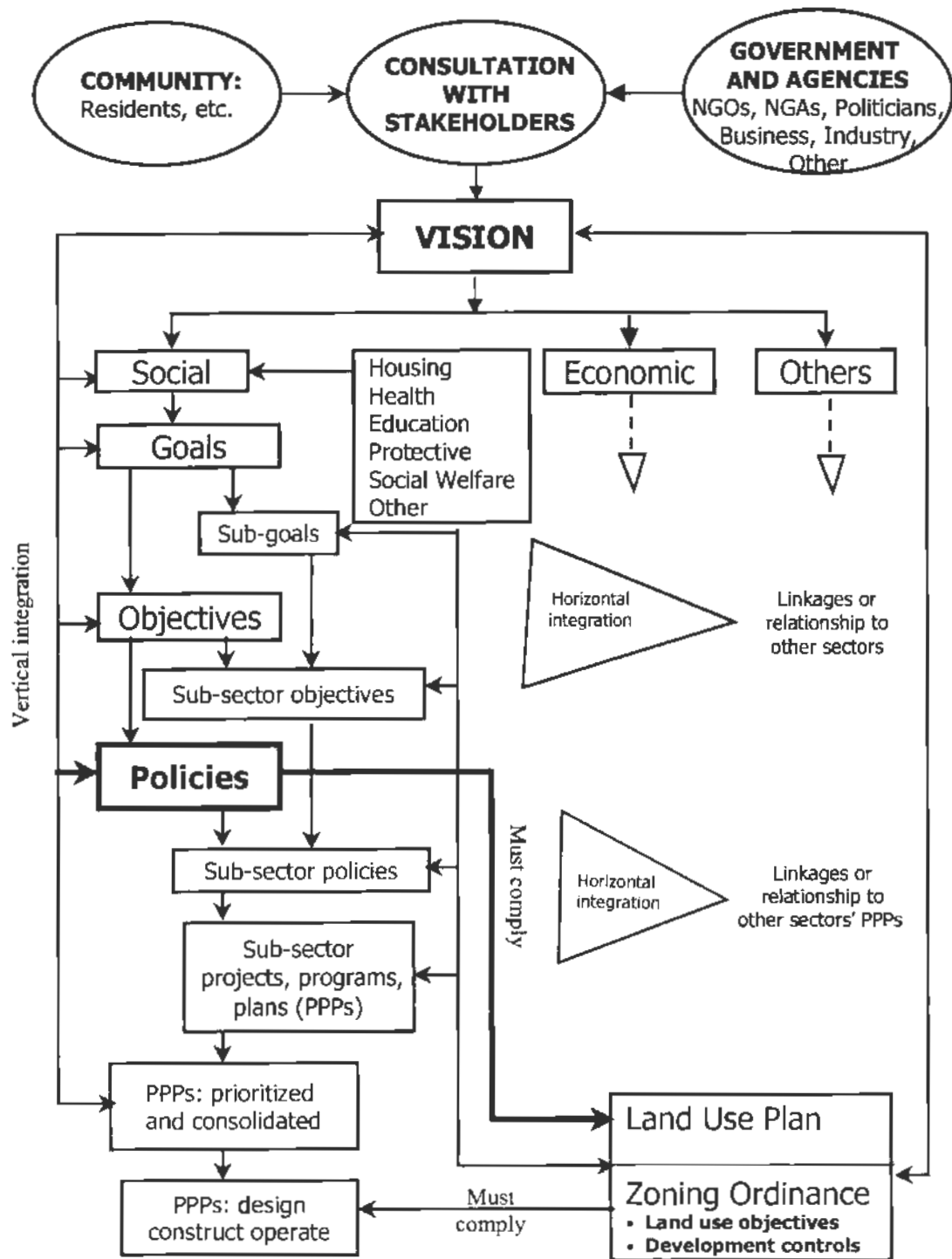


Figure 7 STRATEGIC CLUP PROCESS STEPS 2, 4, and 5

STEPS

STEPS

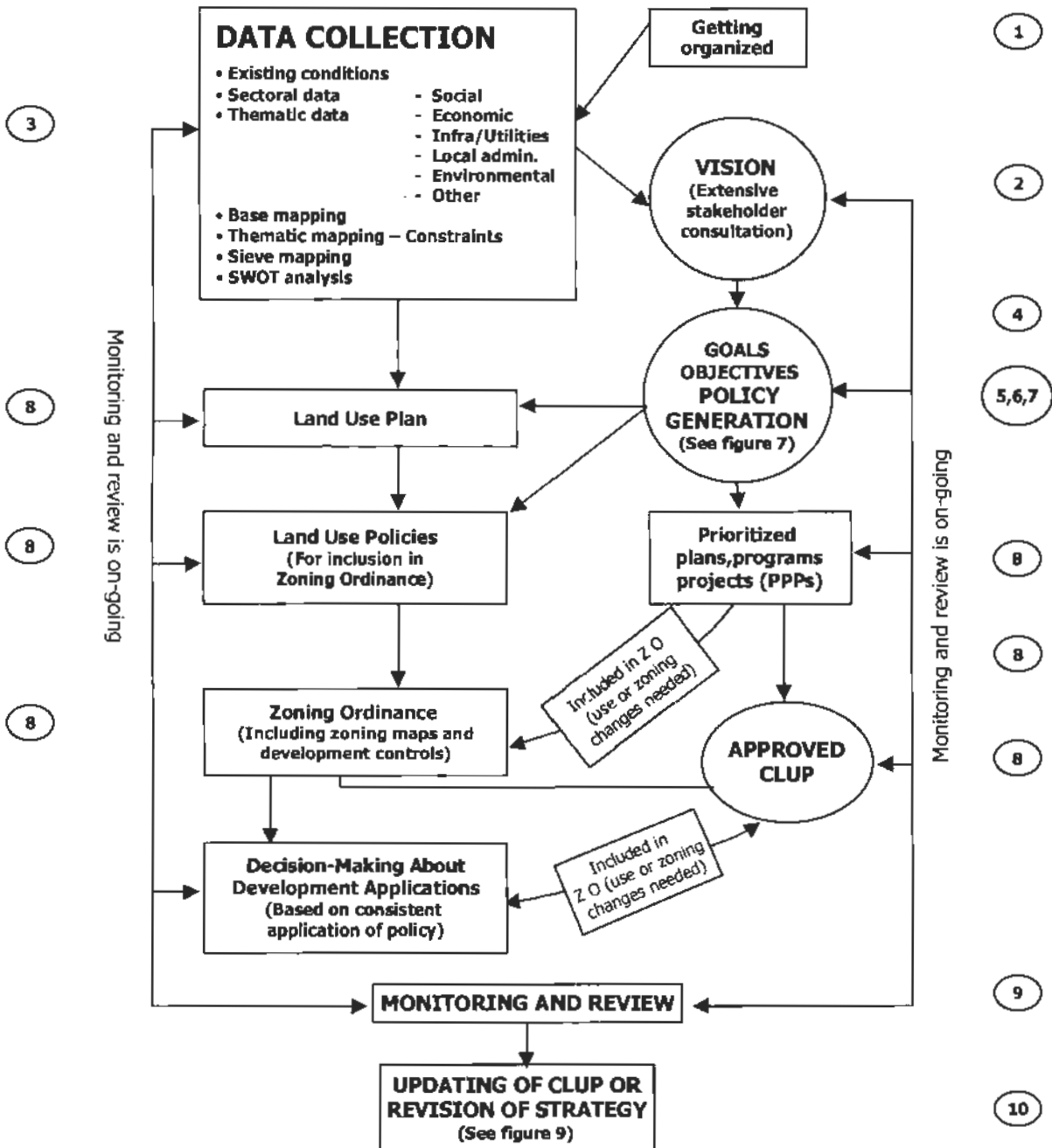


Figure 8 PREPARATION OF STRATEGIC CLUP

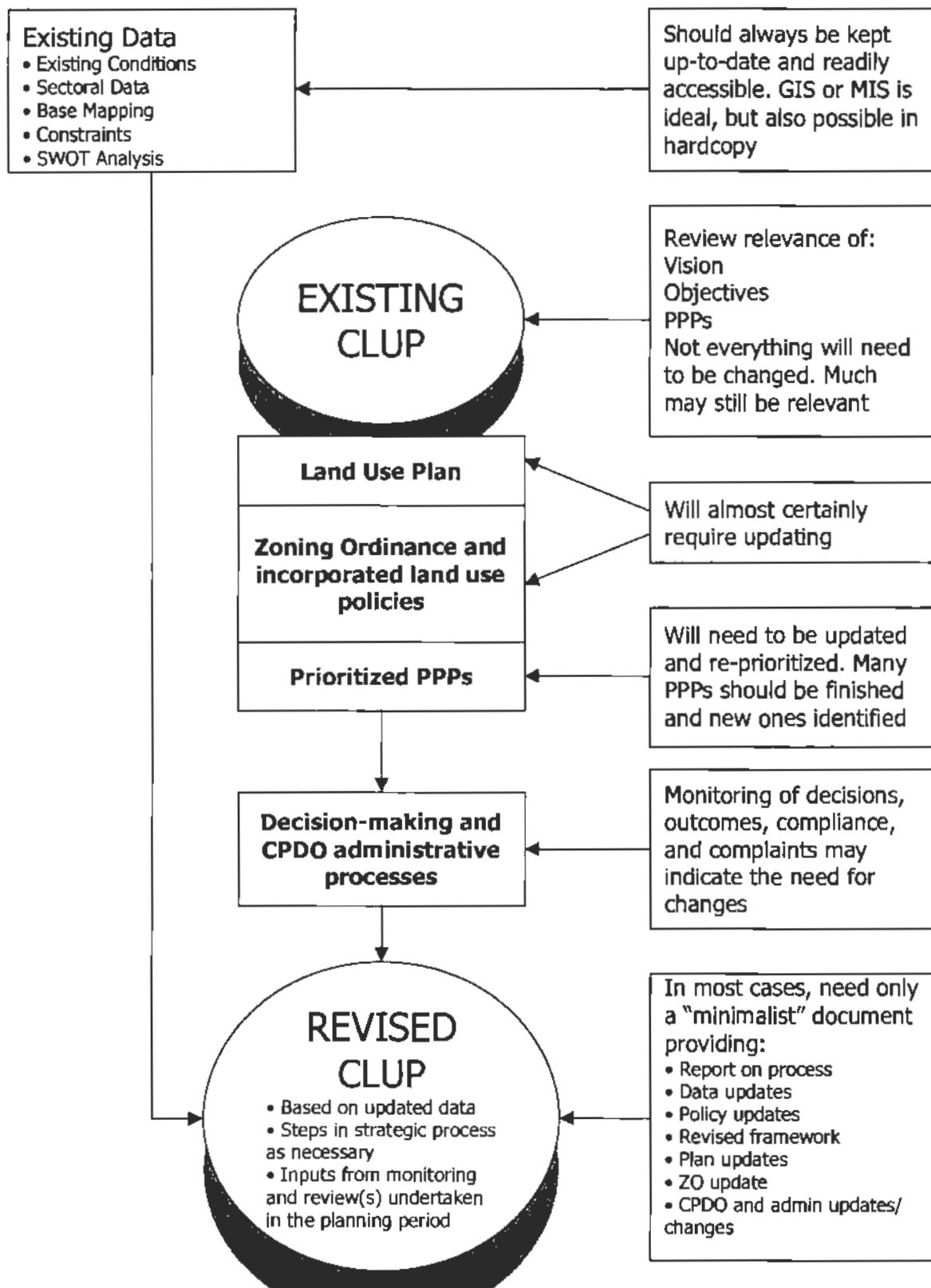


Figure 9 **UPDATING OR REVISING AN EXISTING CLUP**

3. The Strategic Planning Guidelines

As introduced in Section 2, the following are the essential components of Strategic Planning

COMPONENT	DESCRIPTION
VISION	<p>WHERE DO YOU WANT TO BE IN A PARTICULAR TIME?</p> <p>- the preferred future environment.</p>
EXISTING CONDITION	<p>WHERE ARE YOU NOW?</p> <p>- the existing/current environment/situation.</p>
STRATEGY	<p>HOW DO YOU ACHIEVE YOUR VISION?</p> <p>- policies and actions to achieve the vision based on analysis of opportunities and constraints and the analysis of projections and scenarios for the future.</p>
MONITORING	<p>HOW IS THE STRATEGY PERFORMING HAVING REGARD TO CHANGING CIRCUMSTANCES?</p> <p>- monitoring and review.</p>

3.1 How to Get the Best Results from the Process

The Strategic Planning process is indicated as a 10-step process addressing the four major elements of Vision, Existing Conditions, Strategy, and Monitoring. Planners/users should remember though that the process is flexible and the “steps” can be interchangeable. (Process is outlined on page 34.)

How, and to what extent, the steps are used will depend on the *complexity* of the sector or the theme being examined. The TWG, other committee, or task force established to undertake or manage the preparation of the project (i.e. the CLUP, its partial update, or any other planning issue) is also expected to consider the steps required to undertake it.

Steps 2 and 3 (*Setting the Vision & Defining Existing Conditions*) are always *interchangeable*. The order of application will vary from place to place and applicable circumstances, and even on local preferences or customs.

The preparation of forecasts or projections in Step 3 (*Defining Existing Conditions*) should reduce the need for too much additional analysis in Step 5 (*Generating Options For Policy & Actions*).

Thus, with the application of common sense and creative thinking the process can be modified to suit the magnitude or complexity of the task. The following additional points may also be helpful for LGU and other planning officers either preparing a CLUP for the first time or undertaking a major update:

3.1.1 Positive Pro-active Approach

The CLUP is intended to guide the development of the LGU into the *future* based on a common (community supported) vision, so:

- **Be positive.** Look for innovative solutions to problems (including project financing) rather than dwelling on difficulties and excuses;
- **Political support.** Make sure the mayor and other city or regional politicians are briefed not only about the LGU's responsibility to prepare a CLUP, but also the advantages to the LGU and themselves in "championing" the task.

3.1.2 Getting Organized

- Ensure the active involvement of the mayor and the members of the SP. They can be assigned to head various committees or groups. This will lead them to develop interest and ownership in the Plan while learning something about Strategic Planning and its benefits for the LGU and community;
- Always ensure that community representation is offered to groups who do not always have representation within community decision-making forums;
- The Technical Working Group (TWG) managing the CLUP should always appoint an impartial, firm, respected community leader to sit as chairperson. The only interest of the chairperson should be *the public interest*;
- Remember that the purpose of the TWG is to guide the project, not to do the work itself;
- It can be most effective to harness the energies of the community or particular interest groups to undertake survey or research work on the project, and deliver it through the TWG.

3.1.3 Participation and Consultation

- Community participation and genuine consultation are the key to successful Strategic Planning. These are also the basis to successful and meaningful local governance;
- Remember, almost every step in the process requires (or will benefit from) some form of consultation or community participation. The extent

and nature of the consultation that may be required will be dependent on the extent and nature of the proposed task;

- For superior urban planning outcomes, the **earlier** the consultation the better. Time spent in **early** consultation (regarding various planning issues or development applications) can save significant time and money later. It may also avoid lengthy disputes or litigation;
- Consultation provides an effective two-way education forum. Officers can learn much from the community, and vice versa.

3.1.4 Data

- Accurate data is a vital input into any planning activity. Once data has been gathered, analyzed and projected, it should be properly catalogued and stored (either as hard copy or electronically), and thereafter should be updated regularly;
- If data is not readily available, the **HLURB Guidelines** provide useful methods for collecting various data;
- The community can be one of the most valuable sources of data;
- Forecasts and alternatives can still be generated with inadequate or imperfect data, but the deficiencies and assumptions should be noted.

3.1.5 Flexibility

- Be flexible in your application and use of the **Guidelines**. The name says it all! It is not a prescriptive document – rather, a guide. If you already use a similar process, or have a process that works better for you, by all means use it;
- Adapt, improvise, and look for better solutions wherever possible. Use techniques or solutions that have worked well in your environment or community, especially in community participation and consultation.

3.1.6 Communication

- Communication with **all** stakeholders is a vital element in the successful preparation of any CLUP or other strategic plan.
- Develop a communication plan early in the process, using whatever means appropriate for internal (within the LGU) and external communication. You may need to set aside a separate budget for communications;
- When developing a communications plan, ensure that your political leaders are the spokespersons delivering the messages. This will have obvious benefits for the project;
- Don't forget that poor communication leads to rumors, resentment, and cynicism. Poor communication contributes to public rejection or the ultimate failure of the CLUP or any strategic plan.

3.2 Basic Steps of Strategic Planning Process in the Preparation or Revision of CLUP

Step 1	<p><u>Getting organized</u> This is to be initiated by the planning office (PO) to ensure that planning activities have the proper administrative, technical and financial support.</p>
Step 2	<p><u>Setting the vision</u> This enables the community is to articulate the kind of future it prefers.</p>
Step 3	<p><u>Determining/establishing existing conditions</u> This step leads to documentation and understanding of existing conditions prevailing within and adjacent to the planning area.</p>
Step 4	<p><u>Formulating achievable objectives: essential & discriminatory</u> This process will identify essential and discriminatory objectives consistent with the vision formulated in Step 2.</p>
Step 5	<p><u>Generating options for policies and actions</u> This stage identifies policies and PPPs.</p>
Step 6	<p><u>Evaluating options and selecting a preferred strategy</u> This will identify the preferred strategy or development option and include justification of the chosen option.</p>
Step 7	<p><u>Consultation and refining the preferred option</u> This will refine or identify the preferred strategic option or develop other strategies that are achievable based on the documented projections, resource allocation and planning periods.</p>
Step 8	<p><u>Implementing the strategy</u> This will establish a detailed implementation program for the prioritized PPPs in the adopted CLUP and undertaking necessary amendments or changes to existing statutory or legal provisions of the LGU (e.g. LGU Executive Orders, policies, ordinances, etc.).</p>
Step 9	<p><u>Monitoring and review</u> This will evaluate, verify or confirm the extent of actual implementation; if actions taken are consistent with the policies of the adopted CLUP; and whether adjustments are needed due to changing circumstances.</p>
Step 10	<p><u>Revision of strategy</u> This ensures that the CLUP or a particular strategic plan is dynamic or remains relevant in a constantly evolving environment.</p>

3.3 Checklist for the Preparation of the Strategic CLUP

1. Getting Organized

Purpose
<ul style="list-style-type: none"> ▪ To clarify the purpose of the CLUP or particular strategy to be developed ▪ To identify the scope of the CLUP or particular strategy ▪ To identify the participating stakeholders and their roles ▪ To identify the form and timing of proposed outcomes ▪ To identify the essential steps, issues to be addressed, and methodology ▪ To establish commitment in the preparation of the CLUP or particular strategy from stakeholders ▪ To identify potential sources of funding
Action to be taken
<ul style="list-style-type: none"> ▪ Consultation: Organize meetings of stakeholders including local politicians (senator, governor, congressman or congresswoman) councillors, council staff, government agencies, NGOs, and other relevant community representatives. (Note that such meetings will also determine the extent of the study area & the scope of the issues to be addressed): Refer to Section 4 of this document ▪ Establish a Technical Working Group (TWG) to manage the overall conduct of the preparation of the CLUP or the particular strategy ▪ Establish sector or thematic (issue) work groups (if required) to undertake particular tasks ▪ Identify the affected community/citizens ▪ Identify the potential sources of funding (e.g. LGU tax revenue, IRA, loans, special government grants, agency funds, foreign aid, senatorial grants, etc.)
Expected outcomes
<ul style="list-style-type: none"> ▪ A Technical Working Group (TWG) ▪ A project brief (including identification of study area or scope of issues) ▪ A work program including a comprehensive consultation program (which identifies the community or stakeholder representatives or other special interest groups) ▪ A budget and project team (sufficient to complete the task within the planned work program)

2. Setting the Vision

Purpose
<ul style="list-style-type: none">▪ To identify what the community wants over the planned (agreed) time frame for the CLUP or subject of the study▪ To identify the preferred future (vision) for the study area
Action to be taken
<ul style="list-style-type: none">▪ Consider the impact of external influences such as existing LGU policies, the LGU's corporate plan, national and regional policies and executive directives▪ Consultation with the identified community groups to enable the scope of their expectations to be identified: Refer to Section 4 of this document▪ Consolidate the information collected during the participatory consultation into an easily understandable form: Refer to Mapping Guidelines in the Formulation/Revision of the Comprehensive Land Use Plan, GFR – CLUP, Vol. 7, HLURB, 1998
Expected outcomes
<ul style="list-style-type: none">▪ The strategic statement of the vision of the LGU▪ A summary statement about the community's expectations within a defined timeframe▪ A statement about a desirable sub-sector outcome if the proposed amendment to the CLUP or new strategic plan (if it is a separate sector or thematic project) does not apply to the whole LGU

3. Determining or Establishing Existing Conditions

Purpose
<ul style="list-style-type: none"> ▪ To audit or record relevant features of the study area or sector issues or themes and the external issues acting upon them ▪ To determine community attitudes to the existing conditions, sector issues or themes
Action to be taken
<ul style="list-style-type: none"> ▪ Survey and measure the diverse facets and existing conditions of the area (e.g. such as socio-demographic profile, economic trends, physiography, etc) identifying trends and features: Refer to Assessment of Existing Situation – Data Gathering and Collection, GFR – CLUP, Vols. 1 to 6, HLURB, 1998 ▪ Establish nature and quantum of existing resources available to implement the CLUP or strategy: Refer to Existing Situation – Data Processing and Analysis, GFR – CLUP, Vols. 1 to 6, HLURB, 1998 ▪ Consultation with the community and other relevant stakeholders: Refer to Section 4 of this document ▪ Analyze the attributes of the area (can use SWOT analysis or other appropriate techniques): Refer to SWOT Matrix, GFR – CLUP, Vols. 1 to 6, HLURB, 1998 ▪ Prepare a set of forecasts or projections for the significant variables that might impact upon the development of the CLUP or a particular strategic plan (e.g. population trends including age-sex profiles, employment projections, etc): Refer to Determination of Development needs, GFR – CLUP, Vols. 1 to 6, HLURB, 1998 ▪ Consolidate findings in a report and where possible (or appropriate) into plan(s) - LIS/GIS is particularly valuable for this (but not critical as it can be done equally well manually on “hard copy”): Refer to Mapping, GFR – CLUP, Vol. 7, HLURB, 1998
Expected outcomes
<ul style="list-style-type: none"> ▪ Relevant and contemporary knowledge about existing conditions (including GIS or map format if possible) ▪ An understanding of potential future impacts or consequences and a well reasoned and documented “most likely” scenario ▪ A discussion paper suitable for public exhibition and community comment and consultation (including concept option(s) in GIS or map format)

4. Formulating Achievable Objectives – Essential and Discriminatory

Purpose
<ul style="list-style-type: none">▪ To establish appropriate objectives against which progress towards achievement of the vision can be measured
Action to be taken
<ul style="list-style-type: none">▪ Use work groups to develop a range of objectives (essential and discriminatory) and performance criteria for strategy evaluation and monitoring: Refer to Section 2.5.4 of this document▪ Consultation: evaluate objectives with a reference group (may be the TWG, a designated community committee or a special committee established by the LGU) on the acceptability of the proposed objectives: Refer to Section 4 of this document▪ Review the vision in the light of existing conditions and forecasts or projections
Expected outcomes
<ul style="list-style-type: none">▪ A genuinely achievable set of objectives around which to frame policies that will drive the achievement of the objectives through the implementation of plans, programs, specific projects (PPPs)▪ Measurable performance criteria as a basis for monitoring▪ A new (revised) vision in light of the existing conditions and the realistic limitations they might impose

5. Generating Options for Policy and Action

Purpose
<ul style="list-style-type: none"> ▪ To identify different ways in which the objectives might be met ▪ To identify the resource and budget implications of achieving the objectives (by the implementation of PPPs), driven by the consistent application of policies
Action to be taken
<ul style="list-style-type: none"> ▪ Consultation: generate a set of policies and PPPs that might in conjunction achieve the objectives. It may be appropriate to convene the TWG or any other nominated or elected special group (with outside participation if necessary): Refer to Section 4 of this document A useful technique might be to build on the SWOT analysis undertaken during Step 3 – Definition of existing conditions: Refer to (1) Formulation of Alternative Physical Development Patterns and/or Spatial Strategies, GFR – CLUP, Vol. 5, HLURB, 1998; and (2) Formulation of Sector Proposals and Strategies, GFR – CLUP, Vols. 1 to 6, HLURB, 1998
Expected outcomes
<ul style="list-style-type: none"> ▪ Identification of a set of policies and PPPs that will partly or completely achieve the objectives

6. Evaluating Options and Selecting a Preferred Strategy

Purpose
<ul style="list-style-type: none"> ▪ To identify the preferred form of strategic CLUP or other sector or thematic strategy
Action to be taken
<ul style="list-style-type: none"> ▪ Apply relevant evaluation techniques to the alternative strategies and proposed actions generated: Refer to Evaluation of Alternative Spatial Development Scheme, GFR – CLUP, Vol. 5, HLURB, 1998 ▪ Identify funding for the preferred strategic CLUP and reconcile with LGU budget or other funding sources: Refer to Section 2.5.3 of this document ▪ Summarize the evaluation into comprehensible form for all levels of stakeholders and others, including an explanation of the rationale for the preferred CLUP or any other particular strategic plan (e.g. Flood Strategy, Commercial Strategy, Comprehensive Housing Strategy, etc) ▪ Report (document) the evaluation in plain language aided by maps or plans as appropriate
Expected outcomes
<ul style="list-style-type: none"> ▪ A report including a SWOT analysis of each alternative option with a conclusion explaining the preferred (prioritized) option(s). The report should include concept plans or maps as appropriate

7. Consultation and Refining the Preferred Option

Purpose

- To modify and develop the preferred CLUP or other particular strategic plan

Action to be taken

- Determine the appropriate methods of consultation
- Consultation with relevant groups about the choices and preferred choices of policies and actions (depending on the extent of the strategic exercise, this may include the wider community): **Refer to Section 4 of this document**
- Review the choices and the preferred strategy having regard to the consultation undertaken in Step 6: **Refer to Detailing the Plan Based on Chosen Spatial Strategies, GFR – CLUP, Vol. 5, HLURB 1998**
- Ensure that the PPPs, and their budget implications are complete and reconciled: **Refer to Section 2.5.3 of this document**
Note: Do *not* include PPPs that rely on unconfirmed or uncommitted funding from "other (non-LGU)" agencies. These can be listed separately for future action subject to further funding commitments
- prepare a report for the SP's consideration and adoption (prior to any other formal legally required consultation) summarizing the major research and the preferred form of the CLUP or particular strategic plan: **Refer to Report Writing, GFR – CLUP, Vol. 5, HLURB, 1998**

Expected outcomes

- A preferred strategic CLUP containing the LGU's vision, goals, objectives, policies, and PPPs that are achievable on the basis of the documented resource allocation, projections, and time lines

8. Implementing the Strategy

Purpose

- To establish a detailed implementation program for the agreed and adopted actions arising from the CLUP or other strategic plans
- To undertake necessary consequential amendments or changes to existing statutory or legal provisions (such as LGU ordinances and resolutions, LGU policies, LGU By-laws, and the Zoning Ordinance and Zoning Maps, etc..)

Action to be taken

- Prepare a detailed implementation program (must describe each step, time-frame, responsibilities for implementation, budgets and any other resources): ***Refer to Plan Implementation – LDIP Overall Framework, GFR – CLUP, Vol. 6, HLURB, 1998***
- Carry out the actions in accordance with the program: ***Refer to Plan Implementation – Zoning Ordinance, GFR – CLUP, Vol. 6, HLURB, 1998***
- Carry out consequential changes to existing statutory or legal provisions (including the Zoning Ordinance and Zoning Maps): ***Refer to Model Zoning Ordinance, GFR – CLUP, Vol 10, HLURB, 1998***

Expected outcomes

- A comprehensive and detailed implementation program
- Possible amendments to a variety of existing LGU policies, statutory or legal controls, Zoning Ordinances or Zoning Maps

9. Monitoring and Review

Purpose
<ul style="list-style-type: none">▪ To regularly confirm or verify that the policies, actions, and actual implementation are consistent with the adopted strategic CLUP or other strategy and have regard for changing circumstances
Action to be taken
<ul style="list-style-type: none">▪ Reconvene the TWG if necessary, or appoint an independent new monitoring committee to audit the actions or outcomes▪ Consultation: undertake community surveys to establish levels of satisfaction with the outcomes of the strategic CLUP or other strategic plan: Refer to Section 4 of this document▪ Monitor the progress of actions against the time-table or program and report or address any significant variations▪ Review the strategic CLUP or particular strategy every 3 to 5 years or sooner if community surveys or monitoring programs identify the need for revision
Expected outcomes
<ul style="list-style-type: none">▪ A position statement about the level of implementation or achievement of the objectives and PPPs of the strategic CLUP or other strategic plan(s) and the outcomes achieved (including any significant variations that might require changes to the implementation time-table)

10. Revision of Strategy

Purpose
<ul style="list-style-type: none">▪ To ensure that the strategic CLUP or particular strategic plan remains relevant in a constantly changing and evolving environment
Action to be taken
<ul style="list-style-type: none">▪ Regularly monitor changing environmental, economic, and societal trends (at an LGU departmental level - preferably in the CPDO). A formal log should be maintained in planning issues that arise, either through the daily observations of planning officers in the course of their work, or following formal notification or complaints from the community.▪ Consultation: regularly undertake community surveys or consult about emerging issues of importance to the community: Refer to Section 4 of this document
Expected outcomes
<ul style="list-style-type: none">▪ A new strategic CLUP or particular strategic plan based upon the full process described in Steps 1 to 9▪ A modified strategic CLUP or particular strategic plan based on selected additional consultation (It is possible, and often more feasible to modify or amend segments or themes within a strategic plan (or the CLUP) where such action will not jeopardize the overall vision)

4. Community Consultation in the Strategic Planning Process

This section outlines the process of designing and implementing a consultation program. While the principles presented in this section can be applied to any consultation process, this guide has specifically been written to assist LGUs to consult their community about the preparation of a CLUP.

Many LGUs are already consulting members of the community regarding planning and development activities. This guide seeks to add value to the work that is already being undertaken by:

- Defining what is meant by consultation;
- Describing the benefits of consulting the community;
- Providing a framework for designing a community consultation program including a suggested consultation program to use in preparing a CLUP;
- Summarizing key principles to effectively consult the community.

4.1 Definition of 'Consultation'

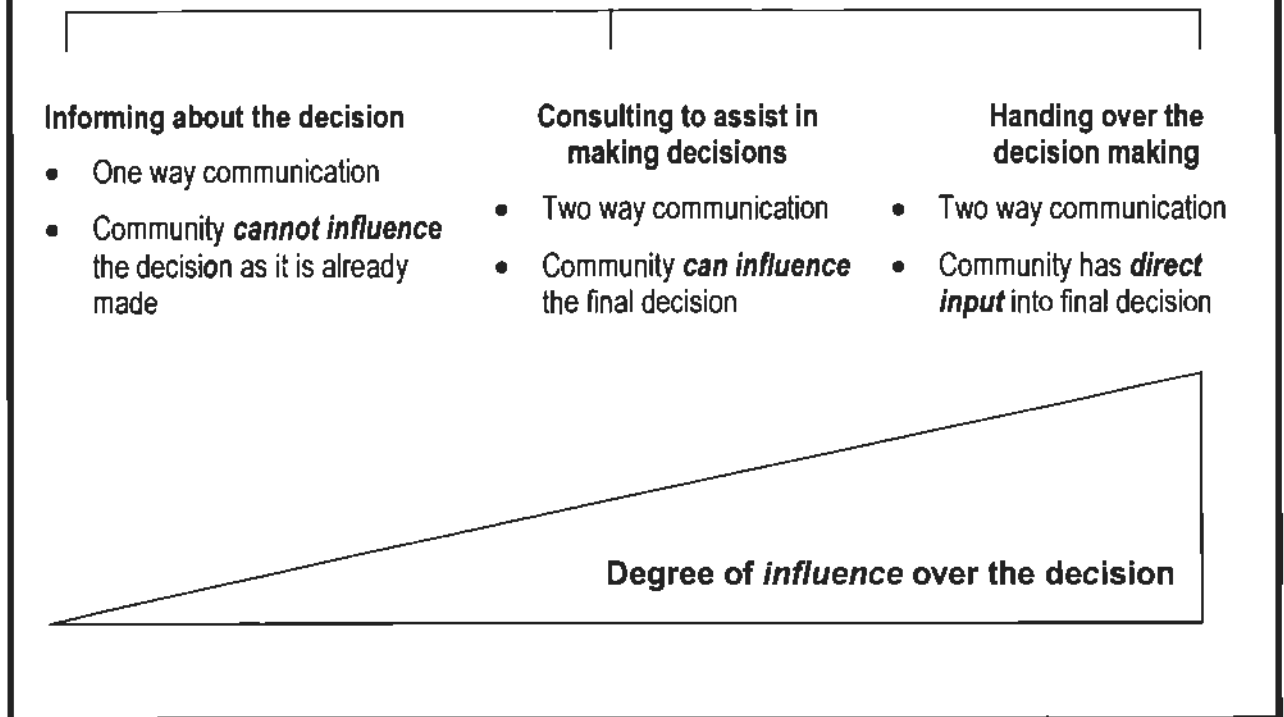
Consultation can be defined as a two way process of communication (of both giving and receiving information), whereby individuals or groups have an opportunity to influence a decision-making process.

Consultation can be thought of as a mid-way point along a continuum of community involvement (as shown in the diagram on the next page) between:

- informing the community about decisions that have already been made;
- handing over the final decision-making power to the community.

The consultation process allows members of the community to have the *ability to influence* the final decision making process.

Continuum of Community Involvement



In any planning process to develop a project or a plan there are likely to be some aspects that have already been decided. At the beginning of any consultation process it is therefore important to identify:

- Decisions that have already been made, are not negotiable and therefore cannot be influenced by the consultation process;
- Decisions that are still to be made, and can be influenced by the community through the consultation process.

The community can understandably become very frustrated if asked for its opinion about something that has already been decided. It is therefore important that any non-negotiable matters are:

- Identified before the consultation process commences;
- Communicated accurately and honestly early in the consultation process together with the reasons these decisions were made.

Consulting About the CLUP

In preparing a CLUP, consulting the community can be defined as a process:

- That facilitates an exchange of information, opinions and ideas about future possibilities for the development of the LGU;
- Between the LGU's administration and the individuals and groups who live, work or have an interest in the LGU;
- To assist the SP in making informed decisions that take into account the views and opinions of the community along with important technical and financial issues, in preparing and endorsing the CLUP.

Consulting the community about the future direction of their LGU is therefore **not** about:

- Telling the community how the LGU will be developed only *after* the CLUP has been prepared, when key directions and priority PPPs have already been decided. This is informing not consulting.
- Handing over the final decision making responsibility for the development of the LGU to the community. Ultimately it is still the role and responsibility of the SP to make the final decision about the future directions of the LGU taking into account the range of viewpoints in the community as well as financial and technical considerations.

In consulting the community about the CLUP, there are likely to be some decisions that may be non-negotiable and which cannot be influenced or changed by the community, such as:

- Projects that have already been approved by the SP;
- Certain rules and regulations prescribed by line agencies that have to be observed by the LGU.

These need to be clearly communicated at the beginning of the consultation process.

4.2 Benefits of Community Consultation

Consulting the community before final decisions are made acknowledges that people have the right to express their views and opinions, and thereby influence decisions that may affect the quality of their life.

Community consultation has numerous benefits including:

- Enhancing the quality of decisions made by eliciting local knowledge and opinions;
- Making decision-makers more accountable and sensitive to the needs of the community;
- Encouraging a sense of community ownership and community responsibility for addressing issues;
- Identifying and resolving potential conflicts or competing interests;
- Establishing partnerships and mobilizing community resources;
- Increasing the efficiency of decision-making processes by building support for and legitimizing proposals.

Benefits of Consulting About the CLUP

Consulting the community about the future development of the LGU in preparing the CLUP can result in:

- Gaining valuable information from people in the community about what is happening in the community;
- Generating creative ideas about how to address particular issues of concern;
- Identifying where there are similar and different view points in the community, and the reasons for any differences of opinions so that likely conflicts can be resolved early;
- Gaining support from the community and engendering a sense of ownership in the CLUP, which will ultimately help to ensure the successful implementation of programs and projects;
- Identifying opportunities for working collaboratively to mobilize the best skills and resources in the community to implement the CLUP.

4.3 Designing a Consultation Program

Designing a consultation program involves considering the following components:

- Why consult: identifying the purpose of consulting;
- Who to consult;
- When to consult;
- How to consult;
- How to evaluate the consultation.

4.3.1 Why Consult: Identifying the Purpose

The purpose of the consultation needs to be clearly defined and understood by all participants. This should include identifying:

- The stated aims of the consultation process;
- Matters outside the scope of the consultation (i.e., matters that are not negotiable);
- How the community's views will influence the decision making process.

4.3.1.1 Stated Aims

Essentially, the purpose of any consultation process is two-fold:

- To inform the community about the project or proposal;
- To seek the community's views and ideas about the project or proposal.

A more detailed explanation of the type of information and input being sought is likely to be required at each stage of the planning process (e.g. as the process moves from an initial identification of issues, to the generation of options, and then finally to feedback on a draft proposal).

As well as programmatic goals, it may also be useful to identify any:

- Legally mandated goals: i.e. whether any statutory requirements for community input need to be met;
- Process goals: e.g. building relationships to ensure positive ongoing interaction between the proponent and the community, rebuilding credibility;
- Behavioral goals: including increasing levels of awareness in the community, or encouraging responsible behavior.

4.3.1.2 Non - negotiable Aspects

As well as defining what the consultation *is* about, it may also be necessary to overtly define what it *is not* about.

For instance, the government may have already decided that a contaminated inner city area will be redeveloped for medium density housing. The purpose of the consultation process is not to seek feedback on whether the community agrees with that decision, but rather to seek their views on issues that need to be addressed in redeveloping the area, as well as options for the development.

It is important to be very clear about what is not negotiable. This will not necessarily stop people from raising or questioning previously determined decisions. However, it will safeguard against raising false expectations about what the consultation process is able to achieve.

4.3.1.3 Accountability of the Decision Maker

The relationship between the consultation process and the decision-making process must also be clearly defined. Before starting the consultation process consideration should be given to the following questions:

- Who will make the final decision?
- How will the outcomes of the consultation process be used?
- What factors in addition to the community's views will also be taken into account?
- How will the community be informed of the outcomes of the consultation process?
- Will they be able to see clear evidence of how their views have been taken into account?
- When is the likely final decision?

4.3.2 Who to Consult

4.3.2.1 Defining 'The Community'

When considering ways of consulting 'the community', it is important to recognize that a community is not a homogenous group of individuals but a very diverse range of individuals and groups.

A community can be envisaged as being made up of multiple 'communities of interest' where certain people share a common interest, such as:

- The geographic area they live or work in (e.g. they all live in the same barangay);
- Their livelihood or occupation (e.g. fisher-folk, farmers, vendors, teachers);
- Their stage of the lifecycle (e.g. child, youth, young adult, parent, elderly);
- Their sex or gender (e.g. women and girls, men and boys);
- Their level of well-being or economic status (e.g. their physical and financial ability);
- Their political, religious or cultural beliefs;
- The sector they represent (e.g. private, government, non-government, civil sectors).

4.3.2.2 Identifying Stakeholders

In designing a consultation process, it is important to identify all of the stakeholders.

A stakeholder is an individual or group that has a stake in the outcome of the project being considered because:

- They are likely to be affected either directly or indirectly, or positively or negatively by the project;
- They can affect the outcome of the decision through their access to, or influence on, the use of resources and power.

Identifying all of the stakeholders usually results in a comprehensive list of individuals and groups.

In addition to stakeholders who you think may be directly or indirectly affected, it is also important to identify and include stakeholders who:

- *Perceive* they may be affected, even though you think that they won't be affected;
- Think they should be involved because of their standing in the community, and are likely to get annoyed if not invited to participate;
- May be neutral in their views about the project but could become critical if the consultation process is not handled well.

It may be tempting to exclude individuals and groups who are likely to oppose the project or proposal, from the consultation process. Ultimately however, excluding them will reinforce their level of opposition. Involving them in the consultation process provides the opportunity to acknowledge their concerns, better understand differing viewpoints, and facilitate resolution of conflicts.

Research shows that people from lower socio-economic or disadvantaged backgrounds tend to participate less often in consultation processes than articulate, well-off members of the community. It is important to ensure that all members of the community regardless of their age, gender, physical and mental ability, and cultural background have the opportunity to have their say in planning and development process that may affect them. This may require undertaking targeted consultation to ensure that these 'quieter voices' in the community are heard.

It is particularly important that women, who comprise 50% of the population, are fully consulted on all planning and development proposals.

Who to Consult in the CLUP Process

In developing their CLUPs most LGUs already involve a broad range of people representing the:

- Government sector: including BDCs and CDCs as well as local, provincial and national agencies;
- Private sector: including businesses, industry and commerce;
- Non-government organizations and institutions.

However, limiting the consultation to representatives of groups does not provide opportunities for the 'average citizen' to directly have a say about the future of their LGU.

Everyone in the community, regardless of age, sex, employment status or role in the community, potentially has a stake in the future development of the LGU.

Clearly it is not possible to consult everyone in the community. However, it is important that the consultation process seeks to inform members of the general public as well as provide opportunities for interested people to have an input.

The challenge in developing the CLUP is to go beyond consulting representatives of groups to providing opportunities for all members of the community to have a say about the future development of the LGU.

Community members are one of the LGU's most valuable assets. Make sure you make the most of the wealth of ideas community members have, regardless of their economic well-being or status in the community.

Providing opportunities for LGU staff to have a say about the future development of the LGU is also particularly important, given that the staff will primarily be responsible for implementing the CLUP.

4.3.3 When to Consult

4.3.3.1 Early Involvement of Stakeholders

Ideally the community should be involved at the earliest possible opportunity, to encourage a sense of ownership in the project.

Involving key representatives of the community in designing the consultation strategy can be extremely beneficial in gaining their support and linking into existing networks.

4.3.3.2 Involvement in All Stages of the Planning Process

Any project, whether it is to develop a policy, a management plan, a development proposal or program, will go through at least four stages. Ideally people should have an opportunity to contribute to all stages of the planning process.

The specific purpose of the consultation will vary with each stage of the planning process.

Stages of a planning process	Purpose of consultation
1. Data collection	Identification of issues and ideas, within an agreed overall outcome
2. Analysis; generation of options	Explore the pros and cons of various options
3. Development of draft proposal	Feedback on draft
4. Finalization of policy, plan, etc	Inform about the final decision

Consulting people near the end of the project (i.e. at the draft stage) is likely to appear token. It is possible that they will challenge and undermine the earlier achievements of the planning process.

People are also likely to get frustrated if they are only consulted at the beginning of a process and do not receive any feedback about the outcomes of further stages.

The outputs of each stage should be used as an input into the successive stages.

When to Consult in the CLUP Process

The 10-step Strategic Planning process described in Section 2 for developing the CLUP highlights the need to consult at all stages of the process. The relationship between the 10-step process and the four planning sub-stages presented above are shown in the table below.

Suggestions about who to consult at each stage are also provided.

Stage	Step	Who to consult
Getting started	1	Key decision makers
Planning <ul style="list-style-type: none"> ▪ Gathering information to inform: <ul style="list-style-type: none"> — the vision — the existing conditions — the objectives 	2	All members of the community
	3	
	4	
	5 & 6	
<ul style="list-style-type: none"> ▪ Analyze data in order to generate and evaluate options 	5 & 6	Key stakeholders and interested members of the public
<ul style="list-style-type: none"> ▪ Developing a draft plan 	7	All members of the community
<ul style="list-style-type: none"> ▪ Finalizing the plan 	7	Inform the community of the outcomes
Implementing	8	Targeted consultation
Evaluating	9 & 10	All members of the community

Consultation needs to be as inclusive as possible of all members of the community. However, depending on the size of the affected community, it may not be possible or appropriate to involve all sectors of the community at all stages.

In Developing a CLUP, as a General Guide:

- The *Getting Started Stage* will involve consulting key decision makers about any non-negotiable aspects of planning for the future, as well as key groups on how best to consult the community;
- The *Planning Stage* should be as inclusive as possible of all members of the community in consulting them about:
 - Where are we now? (the existing conditions);
 - Where do we want to be? (the vision, goals and objectives);
 - How are we going to get there? (the policies and actions).
- The *Implementation Stage* will involve more targeted consultation depending on the specific nature of the program or project being implemented;
- The *Evaluation Stage*, which includes monitoring and reviewing as well as commencing the revision of the CLUP, is likely to involve both targeted consultation (in relation to specific programs) as well as broad based consultation regarding the overall success of the CLUP.

4.3.4 How to Consult

As consultation is a two-way process of giving and receiving information, consideration needs to be given to:

- Disseminating information at the commencement of the consultation process as well as throughout the process and to informing the community of the final outcome;
- Providing opportunities for interested stakeholders to contribute their views and opinions.

4.3.4.1 Information Dissemination

Techniques

There are numerous techniques for disseminating information. Essentially these involve providing information either:

- In writing: via letters, posters, banners, flyers, advertisements and use of the internet;
- Verbally: by phone, face-to-face contact, through meetings, presentations, displays in public places, and house-to-house visits;
- Through tri- media facilities: by print, radio and television.

Factors to consider

Information should be accurate, unbiased and informative. It should explain both:

- The nature of the project – including a description of the project, any relevant background information and key issues;
- The consultation process – including who is being consulted, opportunities to have an input and how the final decision will be made.

Care should be taken not to use jargon or technical words which may not be easily understood. Using drawings and diagrams can help make information easier to understand as well as more inviting to read.

Before selecting information dissemination techniques, it is important to be clear about the message that you want to communicate as well as who you are communicating to. It is likely that you will have multiple audiences.

It can be useful to consider the following factors:

- How is this project relevant to the individuals or groups you want to involve? How can you make it more meaningful to them, so they will be interested in participating?
- What information do *you* think is important for them to know? What information do you think *they* are likely to want to know? Often the answer to these two questions can be different. It can be helpful to put yourself in the receiver's position and think about what is likely to be of interest to them;
- How do the various audiences you are targeting usually obtain information? Are there information networks that you can link into? For instance, some of the groups you want to consult may already have their own mechanisms (such as a regular newsletter or meeting) to communicate with their members;
- What level of detail is required? Some people will just want the basic details whereas others may want more detailed information. It can therefore be useful to prepare different levels of information, ranging from a broad overview using easy to understand (non-jargon) language to more detailed, technical information packages. For instance at the beginning of the project you might send key stakeholders a letter briefly outlining the proposal together with an attached information leaflet providing more detail. At the end of each stage of the project you might send a summary of the outcomes, with a note informing them of how they can access a more detailed report if they are interested;
- Do you need to translate information into different languages or in forms other than writing in order to ensure that people from different cultural backgrounds or with low literacy levels are included in the process?

4.3.4.2 Opportunities for Community Involvement

Techniques

There are numerous consultation techniques available to enable interested stakeholders to state their views.

Essentially opportunities can be provided for people to:

- Participate individually for instance by:
 - Being interviewed;
 - Answering a written questionnaire, or a face-to-face survey;
 - Telephoning a contact number (or telephone hotline);
 - Writing a letter;
 - Stopping at a staffed display or exhibition.
- Interact with others in a group setting by conducting:
 - Meetings with existing groups;
 - Workshops where participants can interact in small group discussions;
 - Participatory design workshops where participants use plans, maps and models to develop or evaluate options;
 - Seminars, forums or public meetings where people can ask questions and state their views in front of a large audience;
 - Focus groups targeted at particular sectors in the community such as men or women, different age groups, or people involved in a specific livelihood.
- Represent others for instance on a sub-committee or advisory group.

Factors to consider

In any consultation process, deciding which techniques to use will be influenced by:

- The stage in the planning process;
- The inclusion of women in the consultation process;
- The likely impact of the policy or proposal under consideration and the subsequent level of conflict or competing interests amongst stakeholders;
- The level of interest and willingness of stakeholders to get involved;
- Available skills and resources.

Each of these factors is considered in more detail below.

Stage in the planning process

As discussed in Section 4.3.3 (“When to consult”), all planning processes will move through a series of stages. While the overall purpose of the consultation process will be consistent throughout the planning process, the specific purpose of the consultation will vary with each stage of the

project. It is important that the techniques used match the purpose of the consultation.

The table below summarizes the relationship between the stage of the planning process, the purpose of the consultation and the type of consultation technique to use.

The overall process can be thought of as a funnel, where each successive stage of the consultation process seeks to narrow the focus of the discussion from a very broad-based generation of issues and ideas, to some well defined options, to a preferred option and ultimately into a final plan.

Stages of planning process	Purpose of consultation	Type of consultation technique required
1. Data collection	Identify issues and ideas	Encouraging broad - based discussion in order to generate and explore issues and ideas; such as interviews, workshops, surveys, meetings with existing groups, and focus groups.
2. Analysis; generation of options	Explore the pros and cons of various options	Focusing the discussion on the options; such as participatory design workshops, evaluative workshops and staffed displays.
3. Development of draft proposal	Feedback on draft	More focused discussion to fine - tune the draft; such as a public workshop and written submissions.
4. Finalization of policy, plan etc	Report on final decision	Presenting final outcomes; for instance through letters to stakeholders involved in the consultation, as well as the broader community through use of tri-media.

How to Consult at Each Stage of the CLUP Process

The overall purpose of consulting about a CLUP is to find out the community's aspirations for the future of their city and what they think needs to be done to achieve these aspirations.

Stage 1

The purpose of the first stage of the consultation process is to identify issues and ideas about the future of the city. Essentially this stage is about asking the community:

- What is your vision for the city in 10 – 20 years?
- What do you like about the city as it is now? (aspects they may wish to retain and improve);
- What don't you like about the city? (issues to be resolved);
- What do you think should be done to improve the city to achieve the vision? (ideas for action).

Stage 2

The second stage of consulting about the CLUP is to get feedback on the options for land use as well as the proposed goals, objectives, and PPPs.

One of the important aspects at this stage is to ensure that the goals, objectives, and PPPs of each sector and sub-sector are compatible.

Workshops to develop land use options (using a participatory design exercise) or workshops to evaluate the draft sub-sector and sector plans could be used at this stage. Staffed displays highlighting various options would be suitable for getting the views of members of the general public.

Stage 3

The third stage of consulting about the CLUP is to get feedback on the draft CLUP. By this stage all of the issues and ideas should have been thoroughly explored through the development and evaluation of options. This stage is to fine-tune the draft into a final document.

Workshops can also be appropriate at this stage provided that workshops have been held in Stages 1 or 2. If workshops were not conducted earlier in the process, using workshops at this stage may result in participants requesting to go back to discussing more issues and ideas. If workshops were not held in previous stages, it is more appropriate to use a technique like a seminar or forum to present the draft and identify ways of improving it by making minor amendments.

HLURB also requires a public hearing to be held.

Stage 4

The purpose of this stage is to inform the community about the final CLUP.

4.3.4.3 Suggested Consultation Program for CLUP

The following consultation program is presented as an example of how the community could be consulted in preparing a CLUP.

When	Why	Who	How	Guide questions for designing
Stage 1: (Steps 2 – 4)	To gather information for the preparation of the: <ul style="list-style-type: none"> ▪ Vision ▪ Existing conditions ▪ Objectives 	SP	Techniques could include: <ul style="list-style-type: none"> ▪ A visioning workshop ▪ Interviews with individual SP members 	<ul style="list-style-type: none"> ▪ What is your vision for the city in 10 – 20 years; ▪ What do you like about the city as it is now? (aspects you may wish to retain and improve); ▪ What don't you like about the city? (issues to be resolved); ▪ What do you think should be done to improve the city to achieve the vision? (ideas for action).
		CDC and sector committees	Sector workshops	
		Members of the general public	Many techniques to seek input could be used including: <ul style="list-style-type: none"> ▪ A qualitative survey ▪ Barangay workshops ▪ Focus groups Techniques to disseminate information could include: <ul style="list-style-type: none"> ▪ Tri media ▪ Flyers ▪ Banners ▪ Letters 	

When	Why	Who	How	Guide questions for designing
Stage 2 (Steps 5 – 6)	To generate options and seek feedback on these	CDC and sector committees	Integration workshop	To ensure vertical integration: <ul style="list-style-type: none"> For each sub-sector, are the draft goals, objectives, and policies consistent? To ensure horizontal integration: <ul style="list-style-type: none"> Are the draft goals, objectives, and policies of all of the sectors and sub-sectors complimentary?
		CDC and sector committees	Land use options workshop	<ul style="list-style-type: none"> What are the advantages and disadvantages of each land use option? Which land use option best achieves the vision and the draft policies? How can the preferred land use option be translated into land use objectives to be included in the Zoning Ordinance?
		Members of the general public	Staffed displays	<ul style="list-style-type: none"> What are the advantages and disadvantages of each land use option?

When	Why	Who	How	Guide questions for designing
Stage 3 (Step 7)	To seek feedback on the draft CLUP	CDC	Workshop	<ul style="list-style-type: none"> ▪ Does the draft CLUP reflect the desired vision and achievement of goals and objectives? ▪ Are there specific comments on the draft CLUP?
		SP	Presentation	
		Members of the general public	A number of techniques could be used including: <ul style="list-style-type: none"> ▪ Staffed displays ▪ Workshops Use Tri-media to inform	
		All	Public hearing	
Stage 4 (Step 8)	To inform people of the highlights of the Plan	All	Tri-media	

Inclusion of Women in the Consultation Process

As discussed in Section 2, planning is not gender neutral. Despite the fact that women comprise 50% of the population, they are not equally represented in decision making processes or structures.

Women can play an important role in identifying and solving problems in the community. One of the key benefits of consultation is that it can elicit very useful information about what is happening in the community. Given that women are traditionally responsible for the welfare of the household as well as many community-based services and activities, their input on how the community functions is vital in making effective planning and development decisions. In addition, the support and involvement of women is often critical in ensuring the successful implementation of projects.

As part of any consultation process, special consideration therefore needs to be given to ensure that the views of women and gender-sensitive organizations are heard and taken into account. Because of the dominance of men in decision-making processes, women need to be actively encouraged to participate and given the confidence that they have valuable contributions to make.

In designing a consultation program to include women, consideration needs to be given to:

- How best to inform women recognizing that the literacy levels between men and women may be different;

- When to consult women, recognizing their time constraints due to their triple roles i.e. reproductive, productive and community management roles;
- Where to consult them because women may be less mobile than men;
- How to ensure that women are heard at mixed meetings given the propensity of men to dominate.

The most effective way of consulting women involves all-women gatherings such as focus groups or small community based meetings. House to house consultation is also very effective but can be time consuming.

Level of conflict or competing interests

In consulting the community about projects that are likely to be controversial, it is useful to consider the likely positions and interests of stakeholders *prior* to undertaking the consultation.

- Are stakeholders likely to have a pre-determined position about the project or proposal? For instance, are they likely to support or oppose the project or proposal, or do they want specific outcomes?
- What are the likely underlying interests and concerns of each of the groups?
- What are the likely dynamics among groups?

The anticipated level of conflict will influence the selection of consultation techniques as well as the time and resources required to undertake the consultation process.

For instance if there is a high level of conflict between key stakeholder groups it may be more effective to initially meet with each group individually prior to bringing all of the groups together for the first time. When the groups do meet, it will be important to establish clear ground rules to ensure appropriate behaviour of participants. It may also be necessary to gain their commitment to adopt a problem solving process of:

- Listening to the differing viewpoints and being able to appreciate the interests of each party based on their needs and concerns, not their solutions;
- Generating options or possible solutions in an attempt to meet as many needs as possible;
- Assessing and evaluating options in order to select an outcome which best meets all of the group's needs.

Appropriate consultation techniques include individual meetings or interviews, followed by well-managed workshops which bring the groups together to discuss differing viewpoints in a constructive manner.

Level of interest and willingness of stakeholders to get involved

The extent to which people are interested in the project and therefore likely to participate in the consultation process is likely to be influenced by:

- How relevant the project is to them or the extent to which it will have a positive or negative impact on them;
- Their experiences of previous consultation processes – whether they think those have been useful or a waste of time;
- Their relationship with the organization undertaking the consultation process including how genuine they believe the organization is in hearing and taking account of the community's views.

If the latter two points are a problem, prior to starting the consultation process it is important to rebuild credibility and trust in the community for instance by responding to community needs and/or demonstrating that previous consultation processes have resulted in positive outcomes to the community.

In situations where the community is not particularly interested in the project, it is important to consider how the topic can be made more relevant to them.

Where there is a lack of interest, and time permits, it is more effective to use consultation techniques where you go out to individuals and groups rather than expect them to come to you. For instance you might consider:

- Arranging an interview with them at their office;
- Attending one of their regular meetings;
- Holding a workshop in their barangay;
- Setting up displays in public areas such as the market or bus terminal and informally surveying members of the community as they pass by.

Make the CLUP relevant to people

Strategic planning exercises like developing the CLUP can seem very far removed from the day to day lives of individuals as well as groups and organizations.

One technique, which can be useful to get people to appreciate the benefits of planning for the future, is to get them to think about all of the changes that have occurred in the last 10 to 20 years. It is likely that at least some of the positive changes have been made because a planned course of action was adopted some years before, whereas some of the negative impacts have probably arisen due to lack of foresight and action.

Availability of Resources

Organizing, conducting and documenting a successful consultation process takes time as well as adequate financial and staff resources.

Staff resources

Skilled staff will be required to:

- Plan the consultation process including developing a program of activities, and designing consultation techniques;
- Promote the consultation process;

- Organize the logistical aspects such as booking venues and arranging snacks as well as organizing equipment;
- Conduct the consultation including interviewing individuals, facilitating group processes and providing administrative support;
- Document the outcomes of the consultation.

Financial Resources

A detailed budget should be prepared as part of developing the consultation program. Costs to be considered include:

- Hiring of venues and equipment;
- Provision of snacks and meals;
- Materials and printing to promote and conduct the consultation;
- Other incidental expenses.

Outsourcing the CLUP consultation process

Working collaboratively with other groups in the community can reduce the costs of consulting the community. For instance in preparing the CLUP consider to:

- Seek the support of barangay captains to host and provide the barangay hall free of charge or at a reduced cost;
- Ask NGOs to conduct focus groups with the people they represent about their aspirations for the future of the city.

4.3.5 Evaluating the Consultation Process

Evaluation of consultation processes needs to occur throughout as well as at the end of any process.

Designing and building an evaluation process at the start of a consultation process will be easier if the following questions have been considered:

- What is the consultation aiming to achieve in terms of the:
 - Number of participants and level of involvement;
 - Representative nature of participants.
- What else would indicate a successful consultation process;
- What indicators could be used to measure the above.

4.4 Principles of Effective Consultation

The following points summarize the key aspects or principles that underpin an effective consultation process. They are useful to use as a checklist when planning and undertaking a consultation process.

- 1. Clearly define the purpose and scope of the consultation process including:**
 - The aims of the consultation process;
 - The extent to which the consultation can influence the outcomes having clearly identified what decisions have already been made and what remains to be made.
- 2. Involve all those likely to be affected, recognizing:**
 - The diversity of the community, including minority groups;
 - Opportunities to link into existing networks.
- 3. Involve the community as early as possible and in all stages of the project in:**
 - Identifying issues and ideas for addressing these issues;
 - Providing input into and feedback on options and draft plans.
- 4. Provide information about the topic under discussion as well as a consultation process that is:**
 - Accurate and unbiased;
 - Clear and free of jargon;
 - Appropriate to the reader's level of interest, literacy and cultural background.
- 5. Use a range of techniques to inform and involve the community recognizing:**
 - Different levels of interest and awareness about the topic under discussion;
 - The need for different techniques for different situations.
- 6. Allow adequate time and resources ensuring:**
 - Longer time frames that will be needed for more complex projects or proposals;
 - Consultation events that do not conflict with other commitments such as holidays, peak times for businesses and major community events.
- 7. Treat people with respect by:**
 - Actively listening and valuing all ideas and opinions;
 - Providing information in a non-defensive manner;
 - Accurately recording what people have said.

8. Ensure decision making processes are open and accountable by:

- Advising those who have participated about the outcomes of the decision making process which followed consultation;
- Demonstrating how the outcomes of the consultation have been considered in making the final decision;
- Explaining the reason for the decision if it differs from the general community view.

9. Continue to improve consultation processes by:

- Evaluating the consultation process both during and at the end of the process;
- Learning from these experiences.

5. Urban Area Planning

In its most elementary form, urban planning is the process of regulating land use *in the public interest*.

Planning in the Philippines has undergone a steady gestation since the 1970's, but in many ways it has now been overtaken by a changing world environment, population explosion, and unrestricted intra-national migration. These and other factors have led to enormous pressures on LGUs not only to resolve current, and backlog issues, but also to plan adequately and effectively for the future with their communities.

5.1 Thinking Strategically

The primary planning tool available to LGUs is the CLUP. Unfortunately, the methodology used in its preparation is no longer sufficiently responsive to the diversity of emerging sector or thematic issues confronting LGUs, their communities and stakeholders. *Therein lies the benefit of strategic planning – a responsive, pro-active process that provides for extensive community participation and consultation.*

The term “strategic” can have many subtle nuances and meanings beyond the formal process context of the **Guidelines**. Indeed the term is also often used to describe matters or events of “great importance”. To that extent (and in that context) there are many issues of great strategic importance in urban areas, especially mega cities or metropolitan areas the size of Manila. Because of their wider long-term impacts regionally or nationally, issues such as flooding, rural migration, or garbage disposal can only be adequately addressed through an extensive and systematic long-term *strategic planning approach*.

What are some of these issues that bedevil urban areas?

5.2 Typical Urban Planning Issues

Urban planning issues can be many, and the following represent just a cross-section of the types of typical issues likely to be encountered in urban areas.

5.2.1 Urban Blight

Urban blight is the visible outcome of the neglect and ultimate decay of buildings or structures that have become underutilized or undervalued as a result of decisions or actions often taken by others, or by circumstances beyond the control of the owners. These may include:

- The age of the building or structure;

- Poor quality construction in the first instance or lack of adequate maintenance;
- Rapid population change or transmigration;
- Proliferation of squatter housing in the area;
- Location or accessibility problems due to surrounding urban growth patterns;
- Inability (lack of capacity or poor maintenance) of the infrastructure to support the land use, or its expansion or adaptation to alternative use;
- Poor environmental management;
- Technological change making the original use or uses in an area obsolete;
- The impact of poorly considered or executed government policies or projects such as elevated railways, traffic interchanges, bridges, or similar;

Irrespective of the cause of the problem(s), the LGU is usually left with the consequences. There are seldom any quick and easy solutions, but the identification of realistic options and a long-term solution (or alternative solutions) can be facilitated by a strategic planning approach.

In seeking solutions to a typical urban blight issue in an LGU, the planning officer might consider the following:

- Identify the extent of the problem in physical terms – define the problem area;
- Identify the cause of the problem – environmental, social, economic (local, national, international), population, infrastructure, other influences beyond LGU’s control, other government actions or policies (national or regional), or even the current CLUP;
- Prepare a strategic plan for the renewal, revitalization, or redirection of the development of the area. Such a plan should be consistent with the vision statement of the LGU as included in the CLUP, or as otherwise separately adopted by SP resolution;
- Consult widely with the affected stakeholders (community, property owners, and other interested or concerned agencies) to help identify issues and develop solutions.

It may be tempting to adopt the “quick-fix” solutions of reclassifications or variances. Such action may be appropriate, but only if undertaken within the context of a rational long-term strategy supported by the community and the SP. Due consideration of all the circumstances, opportunities and constraints, sound and proper planning principles, and the best community interest, will ultimately produce the best result.

5.2.2 Malls – The Solution or The Problem

Malls are a legitimate and accepted form of commercial development. They are a contemporary design response to consumer demand for greater

convenience and amenity for their shopping, and the dominance of the motor car as a primary form of transport.

Every LGU will want its own mall, and there is nothing wrong with that. The challenge for the LGU is to ensure that it determines the location of such mall(s) based on sound planning principles, including:

- Location within an existing high-volume activity center (if there is sufficient available land and adequate infrastructure and utilities capacity) to provide adequate off-street parking space as well as complementary community facilities;
- Fringe urban location with adequate infrastructure and utilities capacity, where the mall will ultimately become the centroid of planned residential development;
- Ensuring that malls are served by well-designed and integrated public transport stations and depots (e.g. for rail, bus, jeepney, taxi, other);
- Ensuring that malls are served by high volume arterial or main roads, so that shoppers from outside the municipality are not forced to use existing residential streets to access the mall;
- Ensuring that the developer pays for all consequent road and infrastructure upgrades that may be required to adequately service the mall;
- Ensuring that potential adverse impacts on the existing commercial centers have been properly assessed, so that the mall does not impact unreasonably upon the existing small businesses against which it will be competing;

Developers of malls rely on the spending power within, and adjoining the LGU for their profits. It is only fair and reasonable that developers be asked to make an appropriate contribution to the community in the form of community facilities.

LGUs already have the power under the LGC to impose a “betterment” tax on developers. However, it will always be far more advantageous for the developer to recognize the long-term commercial benefits of providing such facilities as part of the mall. Such facilities will act as an additional attraction for shoppers and provide goodwill that will be reflected in greater income. Facilities might include:

- Landscaped and maintained parkland in conjunction with children’s playgrounds;
- Public or community hall;
- Community health center or similar social welfare facilities normally operated by the LGU.

Every LGU would benefit from having its own separate commercial strategy if such development is not already sufficiently addressed in the CLUP.

Such a strategy will provide commercial developers with a good understanding of the City/LGUs needs, and provide a level of certainty always appreciated by developers and community/stakeholders alike.

The following principles will provide a useful guide to any LGU intending to undertake its own commercial strategy plan.

▪ **Hierarchy of centers**

To maintain a hierarchy of shopping centers, so that the center's functions are easy to define, and to provide **certainty for all stakeholders** (this includes the LGU, developers, traders, and the general community);

▪ **Spending**

To retain the highest possible share of the spending of residents and visitors within the LGU by encouraging the **upgrading of existing centers**, and through the introduction of appropriate new forms of retailing that can be supported in the center;

▪ **Population growth**

To ensure where possible that **additional population growth** can be promoted (for example through higher density housing development). This will ensure that existing facilities in shopping centers can continue to be supported as viable businesses. It will also assist in retaining the hierarchical convenience role of the areas within the LGU;

▪ **Urban design elements**

To ensure that shopping centers have a **high standard in urban design**, and are attractive to potential customers, traders and property investors;

▪ **Parking and accessibility**

To ensure that shopping centers in the LGU are **accessible** to the population catchments they serve, including effective parking provisions and ease of parking, and including public transport to serve elderly and disabled residents and those who do not have access to car transport;

▪ **Maintenance standards**

To ensure that **adequate standards** are set for on-going maintenance of public spaces at shopping centers, including car parking areas, garbage storage areas, landscape areas, playgrounds and mini-parks. There is quick response to maintenance issues as they arise, including maintenance of private building stock;

▪ **Industry trends**

To maintain a close appreciation of **new and emerging trends** in the commercial industry so that the LGU can take a proactive approach in fostering and accommodating new types of retailing, while ensuring the continuing viability of existing businesses;

▪ **Land use transition in centers**

To ensure that **new or expanded land uses** can be accommodated in existing shopping centers. This includes encouraging non-shop businesses that are compatible to retailing generally and the amenity of the area in particular, especially where there is vacant retail space unsuitable for modern shops;

- **LGU and business communication**

To encourage a **close working relationship** between the LGU and businesses so that issues and challenges can be addressed in a positive way, and to consolidate the operation and viability of shopping centers.

- **Implementation, monitoring and review**

Consistent with sound strategic planning principles, to provide a realistic framework for the implementation of any commercial strategy developed, and to ensure that its operation and progress (or lack of progress) is regularly monitored, and that the strategy is reviewed and adjusted as required from time to time.

Commercial development in general and retail development in particular are significant potential generators of employment, yet, if poorly planned, may have the potential for major adverse consequences. Therefore, every major LGU (particularly within metropolitan Manila, or towns or urban areas with more than 100,000 people) should consider the advantages of having on staff a trained economist/planner to provide sound advice about this sector.

5.2.3 Built Form - Urban Design Standards (Non – residential Areas)

Built form or urban design is very much influenced by two factors, namely:

- The nature of existing development (if any); and
- Subdivision patterns and designs (i.e. allotment sizes, road layout and pavement widths).

However, even allowing for such factors (mostly beyond the control of the developer of an individual site but not beyond the control of the LGU), built form, urban design and building aesthetics are ideal ways of enhancing the visual amenity of an area. Many developers mistakenly take the view that visual quality will add unjustifiable cost to a project. Developers smart enough to see beyond a minimalist economic approach will understand that quality outcomes, coupled with regular quality maintenance will be repaid many times over in higher selling prices, enhanced property values, even better quality tenants, and longer lease periods. This approach is more likely to be attractive in the construction of the planned unit developments (PUDs) of the major developers who are more prepared to provide good infrastructure and amenities to attract buyers and lessees. However, the absence of development controls or building density controls in the city allows developers of small single lots to develop higher floor area ratios without regard to residential amenity or streetscape considerations.

The LGU must be at the forefront of any movement to improve urban standards through:

- **Setting the example:** Design and construction standards imposed by, or accepted by the LGU for its public buildings must be of the highest standards;

- Preparing or developing a built form or urban design strategy or policy. This should then be translated into general Urban Design Guidelines, as well as specific guidelines for important or special areas;
- The preparation of subdivision standards that are consistent with its Urban Design Guidelines. These standards must also be consistent with the national subdivision standards PD 957 and BP 220, and their respective IRR's;
- The communication of its philosophy to its stakeholders, especially the development community;
- Its commitment to **enforce** the standards and take quick and decisive action where necessary.

5.2.4 Residential Development – Issues and Standards

Residential development standards are a complex issue that really require a national strategic approach as the basis for LGUs to develop their own unique policies. However, in the absence of a national approach (except as provided by the HLURB Guidelines) the following considerations may assist the LGUs to develop a more comprehensive approach to residential development, in addition to providing guidance for the decision making process.

The current Model Zoning Ordinance provides guidance for the selection of five types of housing zones:

- General Residential Zone (GRZ);
- Socialized Housing Zone (SHZ);
- Low Density Residential Zone (R-1);
- Medium Density Residential Zone (R-2);
- High Density Residential Zone (R-3).

However, there is no reason why an LGU cannot have more or less zones, all with different standards and requirements. The Model Zoning Ordinance Instruction states: ***“The designation by the local government units shall be based on their comprehensive land use plan (CLUP). Essentially therefore the technical justifications of zoning lie with the planning activities that led to the formulation of the CLUP.”*** (Source: Model Zoning Ordinance, p.13)

Therefore the mechanism for the identification of policies and standards for residential development should be the CLUP, as an integral part of a housing strategy or policy. In that way, if the CLUP is prepared following contemporary strategic principles, the matter will be fully examined in consultation with the relevant communities, and standards set giving due regard to the wishes of the community and stakeholders.

Planners and decision makers should always remember that the residence (be it owner occupied or tenanted) is a person's “home” and every resident has an expectation and a right to a basic standard of *amenity*. Further, the family home often represents both the most significant debt burden of a

family, and its most significant capital investment. So, in considering residential development applications keep the foregoing in mind and then add two additional common sense considerations: (1) “*what would I find acceptable if I were a buyer*”, and (2) “*what impacts would I find reasonable or acceptable as a neighbor*”. Having done that, one might then apply all, or some, of the following criteria to a particular assessment:

Residential policy

- Does the development meet all the relevant strategies, policies, or guidelines of all the appropriate regulatory agencies, particularly the CLUP of the LGU or other specific strategies?;
- Does it satisfy the provisions of the Zoning Ordinance of the LGU?;

Neighborhood character

- Is the proposal appropriate for the setting of the area? Remember, people often move to, or buy into an area because of its existing urban form or character, and it only takes one poorly considered planning decision to spoil the amenity of many people;

Dwelling diversity

- The aim of every good housing strategy or policy should be to encourage social homogeneity, not stratification. This principle should be applied within every residential zone. Therefore, ensure (as far as possible) that every development provides within its legal property boundary a **range** of dwelling types (i.e. bed-sitter through to multi-room apartments) to encourage households ranging from the elderly and disabled to the multi-child families;

Infrastructure

- Require all developments to be provided with the appropriate utility services and infrastructure;
- Do not approve new developments that overload the capacity of existing infrastructure **unless** the developer is prepared to pay up front for the upgrade of the existing infrastructure to a standard that will be acceptable to meet the future demand;

Integration with the street

- Encourage the abandonment of the Philippine cultural preference for total privacy (and the seeming security provided). Open front yards provide far greater security because of their visibility to neighbors and others additionally enhancing the streetscape by opening up the landscaped front areas. Such open spaces would also result in a far cleaner urban area as residents would take the trouble to remove rubbish and keep clean the public areas outside their properties.

Street setback

- Building setback is an integral element of neighborhood character, especially if that setback area is landscaped. Maintain uniformity of setbacks and do not allow the setback areas to become concrete car parking strips;

Building height

- Ensure that the building heights are appropriate for the area. Height is a key determinant of both neighborhood character and residential amenity;
- Ensure that window layout minimizes the opportunity for intrusive overlooking into private open space areas both of adjoining properties and internally within the development;

Site coverage

- Specify and adhere to the floor area ratios for designated areas. Remember the purpose of this control is to enhance residential amenity by providing for effective, usable, public open space for all residents of the development. It should be provided as permeable, landscaped area;

Permeability

- Ensure that developments **minimize** the extent of hard-surfaced area. Every square meter of hard surface increases run-off and the pressure on storm water and drainage systems. Maximizing permeability will reduce expensive (and unnecessary) infrastructure costs;

Energy efficiency

- Require all new buildings to demonstrate energy efficiency to reduce reliance on air-conditioning. This will require consideration of flow-through design principles, internal air wells, shade trees, and limiting high fences;

Open space – public and private

- Ground level open space of major developments should be integrated with the streetscape;
- Open space for lesser developments should ensure resident accessibility, privacy, and be functioning;
- Open space is **not** hard-paved car parking areas;
- Where possible ensure that open space has good natural daylight for at least a substantial part of each day;

Safety

- Ensure that entrances and access ways to all new developments have good visibility. Remember, high walls are the antithesis of safety;

Landscaping

- Quality landscaping not only enhances the amenity of an area or neighborhood but also inexpensively enhances property values;
- Ensure that significant existing trees are retained as part of any development where possible;

Access

- Ensure adequate and appropriate vehicular access to properties while minimizing direct access onto streets (particularly major arterial roads);
- Where possible, plan for common driveways and the use of “service roads” to channel traffic to controlled locations;

Parking

- Ensure the development provides adequate and convenient on-site parking (in addition to the landscaped public open space) without allowing parking to dominate the site. If necessary, require basement or sub-floor parking. Do not trade-off the landscaped open space for car parking;
- Do not allow parking spaces to be used for storage, commercial, or non-vehicular activities;

Side and rear setbacks

- Except for buildings abutting each other, ensure sufficient and adequate side and rear setbacks to provide for safe pedestrian circulation, and access to security and emergency services;
- Ensure the principle of upper-floor set-backs to minimize excessive bulk, overshadowing, overlooking, or other adverse impacts;

Walls on boundaries

- Except where boundary walls directly abut each other, limit the extent (as a percentage of the boundary) that walls can be built on common boundaries. Limit also their height consistent with the likely impact on adjoining dwellings;

Daylight through windows in the proposed building and neighboring buildings

- Ensure that the proposed development is designed to provide adequate daylight for sufficient windows in each unit within the proposed development, and does not reduce the daylight enjoyed from the windows of existing dwellings;

Internal and external views

- Ensure that the proposed development does not feature views at the expense of the privacy of new residents within the proposal or existing residents in adjoining properties;

Noise impacts

- Ensure that private areas, and bedrooms in particular, are oriented and designed to minimize noise intrusion from the street, adjoining uses, or from within the development. Attention should be given to the noise attenuation to be provided to common internal walls;

Storage

- Minimal requirement for car parking and private open space;

Design detail

- Ensure that the design detail of each new development enhances the visual amenity (or at least does not reduce it) of the area. Visual amenity is important but it should not be at the expense of resident or neighborhood amenity.

As with all good planning, the foregoing criteria should be applied with **common sense** and in relation to the circumstances (policy, zone, existing controls, site, etc.). It may not be necessary to apply all criteria for each application.

5.2.5 Housing Problems – Density

Housing problems cannot simply be resolved by the imposition of density sub-zones or prescriptive density controls. Nor can they be simply resolved by the ad-hoc application of contemporary planning theory and philosophy.

A number of inter-related matters are the cause of housing problems. These need to be understood and considered in an integrated way if proper long-term solutions are to be found. Relevant issues include:

- Uncontrolled or poorly managed population growth;
- In general, shortage of land and in particular, appropriately located government land(s), especially in metropolitan Manila and the inner areas of provincial cities;
- Rural poverty and the consequential uncontrolled migration of the rural poor to urban areas in search of employment opportunities;
- The urban poor in search of employment;
- The high cost of land, particularly in inner urban areas close to employment opportunities;
- The lack of integrated national policies to address the migration issue generally, and “squatters” taking advantage of the lack of enforcement of laws on their unlawful occupation of public and private properties;
- Changing household compositions with the breaking up of the extended family in favor of more, smaller households;
- Demand for bigger and better houses with consequent increased demand for better infrastructure, particularly water;
- Longer life expectancies due to better nutrition and advances in medical science.

It is impossible to offer a common response that will be appropriate for all LGUs, as the issues will vary from municipality to municipality. The response for “land-locked” LGUs, particularly in metropolitan Manila, may need to be significantly different from those on the urban fringe, or provincial cities with extensive rural hinterlands.

However, there are a number of fundamental steps that will aid LGUs in developing integrated Housing Strategies which **may** have as an important output the nomination of particular areas in the municipality for higher density living. A Housing Strategy should precede the designation of particular areas for certain densities, and can be most successfully undertaken following the *Strategic Planning Guidelines* suggested in this document. The subsequent identification of recommended areas for higher density living should include at least the following:

- Population data comprising the socio-demographic characteristics of the area(s), and the socio-demographic characteristics of the increased population to be housed in the areas;
- Existing employment opportunities in the area(s) and the capacity of the area(s) to provide convenient employment for new residents;
- The nature of existing commercial and industrial activities in the area(s) and their compatibility with higher density residential use;
- Survey of the existing land uses and conditions in the proposed area(s), including age and condition of buildings, vacant or under-developed sites, existing problems and conflicts;
- The physical characteristics of the area(s), including topography, slope, soil stability, sub-surface conditions, important natural features;
- The nature and condition of the existing infrastructure, including physical and social infrastructure. Physical infrastructure includes roads, storm water drainage, reticulated (or other forms of) sewerage, piped water, electricity, gas and telecommunications facilities. Social infrastructure includes education facilities (particularly public schools), medical facilities, child minding centers, public cultural facilities, libraries, public parks for passive recreation, children's playgrounds, and active sporting facilities.
- The adequacy of existing commercial facilities (in particular shopping facilities) and their capacity to meet the needs of an expanded population or be upgraded to meet such needs;
- The opportunity to advance a conservation policy through good design, and the minimization of motor vehicle usage;
- The proximity or availability of efficient public transport;
- Fair and equitable cost apportionment of any necessary physical and social infrastructure provision or upgrades.

The final question to be asked is: "Will the development of the proposed higher density area **improve** the quality of life of both the target new population as well as the existing population?"

Following the identification of particular area(s), each area should have prepared for it an Outline Development Plan, or Structure Plan to identify conceptually the key requirements for its development or re-development for higher density living. These plans will identify the road hierarchy and standards, existing and proposed shopping locations, parklands, recreation areas and public spaces, essential community facilities, preferred uses, timing of proposed development or re-development, and the distribution (equitable apportionment) of development costs.

Such plans are necessary to provide **certainty** to all stakeholders and must have the full support of the mayor and the SP.

5.2.6 Loss of Historic or Heritage Sites and Buildings

Many of the cities and urban centers today are old settlements established during the Spanish Colonial Period. They were most probably originally laid out in the manner stipulated in the Old Spanish Royal Ordinances known as Ordenanzas Generales de Descubrimiento y Nueva Poblacion or Laws of the Indies. The Laws of the Indies were Royal Ordinances decreed by King Philip II on July 13, 1573 and were standard policies for physically laying out new settlements in the Spanish colonies. The standard settlement policies prescribed that a plaza be established with the intention that it becomes the center of the poblacion (town or centrally located barrio).

The church, which was always the nucleus, was situated in the plaza area, as well as other public and civic buildings.

The properties and houses around the plaza once belonged, and may still belong, to the old prominent families of the municipality or city. Development grew outward from the poblacion's core (the plaza) and sometimes the commercial and political center may have relocated to less crowded areas within the city.

Many of the cities or urban centers that were established during the Spanish Colonial Period, however, have retained the original plaza complex and have continued to use them not just for religious activities but for cultural, commercial, and political purposes as well. Apart from the old church, the urban space or plaza itself should be preserved as part of any city or municipality's heritage.

Efforts to preserve the plaza complex may be undertaken at several levels. Some LGUs have relocated their city or municipal halls from the plaza to other locations with more space to accommodate growing administrative functions and to provide better public service. This also has the effect of decongesting the original town center. Churches, although sometimes rebuilt without much faithfulness to the original structures, often remain at the plaza, and thus continue to be its focal point. It would be ideal if the church remained as the most prominent building at the plaza complex as a reminder of the city's beginnings. However, market forces dictate property values, even around such plazas. This pressure will inevitably be translated into higher densities, resulting in higher and more massive commercial buildings competing with the church for attention. Preserving the visual amenity of structures is possible through the introduction of development controls, limiting building heights and building floor area ratios (FAR), into LGU zoning ordinances



St Catherine of Alexandria Parish Church, Carcar, Cebu Province

The town of Carcar is one of the oldest towns/municipalities in Cebu Province. It still retains a fine collection of Spanish influence architecture with about 50 heritage buildings situated close to the center of the town (within a 0.5 to 1 kilometer radius). However, like many similar heritage towns/cities in the Philippines it is undergoing rapid economic development and urbanization. Therefore, the municipality will need to carefully assess the impacts of proposed physical developments to ensure that neither individual heritage buildings nor the town's overall historic identity is compromised.

LGUs may have other buildings or structures of historical or cultural significance and these should be carefully recorded. Presidential Decrees 260 and 1505 mandate the National Historical Institute (NHI) to declare and classify historical and cultural sites and structures as national shrines, monuments and landmarks for the purpose of restoring and preserving them. There are four classifications under the NHI categorization of historic structures. They are as follows:

- National Shrines – historic sites or objects honored for their history or association with national heroes, e.g., the Rizal Shrine and the Mabini Shrine;
- National Monuments - objects, natural features or areas of special historical interest that are set aside by local or national government as public properties, e.g., the Rizal and Bonifacio monuments and the Walls of Intramuros;
- National Landmarks – places or objects associated with an event, achievement, or modification that represents a milestone in Philippine history;
- Classified – buildings and sites that have been identified as belonging to a certain period but are not associated with a historic person or event that shaped Philippine history. “Classified” buildings and sites are recorded in the NHI’s National Registry of Historic Structures.

Only buildings and structures in the first three categories are given financial support by national government for their restoration and preservation. The old structures not classified under the three categories, therefore, are most significant to the city where they are situated. The financial difficulty faced by private owners of sustaining old buildings is the most common reason for their demolition and replacement with developments that can yield higher economic returns. Cultural Patrimony can provide benefits to the building owner, the city, and the people in general. It can derive economic benefits from tourism and commercial activities through the adaptive reuse of the old structure. Historic and heritage sites provide educational and cultural enrichment and give stakeholders a sense of identity and pride.

Heritage is a complex issue particularly in urban areas under extreme growth pressures. It goes beyond physical structures and should properly include sites and objects of cultural significance as well. It can really only be properly addressed by community education and consensus underpinned by national policy. Notwithstanding, if there is local recognition of its importance it can be addressed at the LGU level in the development or revision of the CLUP. Some basic steps might include:

- Recognition that heritage conservation is a public benefit. This may require considerable community education;
- Recognition by the mayor, SP, and the wider community as to the importance of historic or heritage buildings and sites. This will normally require considerable research because all identified sites, structures, and objects must be documented and justified;

- With wide community consultation (including the actual property owners), undertake a survey of all sites, structures, and objects considered important;
- Following inventory, allocate a level of significance to each site, structure, or object, e.g. national, regional, or local significance;
- Justify the inventory with appropriate historical research. Do not forget that age does not necessarily justify preservation;
- Prioritize the sites, structures, or objects by significance grading them from the most original to the most modified;
- Develop a conservation plan or strategy in consultation with the community and the property owners. Such a plan should identify (especially for private buildings or properties) the adaptive uses or benefits that could be applied to the sites, structures, or objects without loss of integrity or importance. Importantly, this would also provide owners with opportunities to realize commercial benefits as a trade-off for preservation;
- Identify possible downstream tourism opportunities. Heritage tourism (like eco tourism) is a fast growing industry, and so a “heritage” designation need not be seen as an automatic financial burden to an owner;
- Develop realistic and enforceable development controls for inclusion in the zoning ordinance of the LGU (including designation and identification of the sites, structures, or objects on the zoning maps). Such controls should not only set out the opportunities and restrictions applicable to the sites, structures, or objects, but should also set “evaluation criteria” for the assessment of development applications for nearby properties. This will ensure compatibility and prevent adverse impacts.

5.2.7 Poor Physical Planning of the LGU

Poor physical planning is the result of many influences acting either separately or in conjunction, and it is an issue well beyond the scope of the **Guidelines**. Generally however the quality of planning will be noticeably improved:

- When the stakeholders (community, politicians, and developers) can be convinced that the benefits outweigh the perceived costs;
- When education about the benefits of good land use planning and compliance with development controls is introduced into school curricula. It is the fresh young mind that readily accepts and understands change;
- When the stakeholders can be convinced about the benefits of strategic long-term planning rather than just considering planning to be a re-active development control tool;
- When the CPDOs at the LGUs are manned by qualified and skilled professional urban planners rather than technicians, clerks, engineers, architects, or others;

- When planning officers undertake the preparation of their own CLUPs (or other planning strategies), and in so doing learn to better understand their communities and the dynamics impacting upon the community;
- When planning officers genuinely engage and encourage the community to participate in the planning process and *listen* to their communities;
- When the LGU undertakes its enforcement obligations seriously and equitably, in all of its regulatory functions, especially planning.

5.2.8 Inadequate Open Space or Green Areas

Every LGU (metro or non-metro) must have its own Open Space or Recreation Strategy. Such a Strategy should provide the policy basis for action by the municipality for not only the maintenance of existing open spaces or recreation areas, but also the development of additional areas to both overcome existing deficiencies and provide for new populations. While it can be undertaken as part of the Social Development Sector Plan in the CLUP planning process, it is better undertaken as a separate strategic planning exercise. Otherwise, its importance will tend to be diminished beside the other important sub-sector issues such as housing, health, education, social welfare, and others.



The Plaza and the Church, Plaza Miranda, Quiapo

Plazas remain part of a city's or district's contemporary life. The land uses may change, the activities may intensify, new urban design details may be introduced, but the open space must be preserved for the community's use and enjoyment.

The plaza (the urban open space provided under old settlement guidelines introduced during the Spanish Colonial Period) is usually the last wide contiguous open space left in highly urbanized areas or towns. Because of their central location and traditional importance, many of these plazas remain the “heart” of present urban areas and the center of cultural, political, and economic activities.

Plazas originating from the Spanish Colonial Period were never designed to accommodate the intensity of activities (especially vehicular traffic) of the 20th century and beyond. Without clear policies and control mechanisms in the LGU, the intensity of development in the areas adjoining plazas will often be dictated by property values to the detriment of the amenity and intended function of the plaza. The plaza, together with the church, is part of the important remaining heritage of the LGU from the Spanish Colonial Period. As such, the preservation of such plazas is important at all costs, not necessarily as relics of the past but as working and living entities that have been adapted to their contemporary setting through the application of adaptive use policies or controls among other development control techniques.

Even without an Open Space or Recreation Strategy real opportunities exist for the provision of additional parks and gardens. With LGUs always short of funds for the acquisition of land and their development into parks, they have to be more creative in attracting private property owners to get involved. Highly urbanized cities that have zoning ordinances with density controls (i.e., floor area ratios (FAR), maximum building heights) could offer bonus floor area beyond prescribed base FAR if property owners willingly provided the public with accessible open areas in front or around their buildings. This increases pedestrian space and can make other pocket parks more accessible. For this type of incentive zoning to be effective, the value of the bonus floor area to the developer must be greater than the cost of providing the amenity or open space.

Some additional useful considerations might include:

- As part of the normal Strategic Planning process, always consult with the neighboring LGUs about their facilities and future plans. This will not only avoid costly duplication, but will also enable inter-LGU continuity in linear parks;
- As a general rule, flood plains are ideal for passive park development. However, do not build permanent structures or fences, as these will impede normal flood flows, collect debris, and result in expensive maintenance costs;
- As a general rule, large, active sporting facilities (either public or commercial) should not be built in residential areas as they will create significant nuisance;
- Where possible (except for small neighborhood pocket parks and local playgrounds), major open space areas should be located adjacent to schools or other community facilities. This should maximize usage and minimize inefficient and often unnecessary cross-town travel;

- In higher density areas provide a fair trade-off between density and quality ground-level green space. The LGU should select that part of a site most appropriate for open space;
- LGUs should adopt a comprehensive cash-in-lieu policy and formula and set money aside for the acquisition of sites in key locations;
- LGUs must ensure that open spaces are not unlawfully occupied with occupied contrary to adopted policies and plans.

5.2.9 Over-simplistic Land Use Plans, Maps or Guidelines

This issue is merely the symptom of an evolving planning system. There is no point to having greater levels of sophistication until even simple plans can be effectively and efficiently administered. The current 10-volume HLURB Planning Guidelines provide a useful reference for the LGUs to build on. Those Guidelines provide a minimum standard.

However, an LGU may adopt higher and better standards, provided it has the capacity to administer and enforce them for the greater benefit of the community. Genuinely pro-active and creative solutions to urban problems will always be encouraged provided they are properly justified.

Bad planning or poor outcomes are not caused by over-simplistic land use plans. They are caused by the misunderstanding or misapplication of sound planning principles that apply irrespective of the simplicity or complexity of a land use plan.

5.2.10 Dealing with Mixed Uses

This issue should be addressed in two parts namely:

- Dealing with mixed use zones; and
- Dealing with the “mix” of uses in existing zones.

5.2.10.1 Dealing With Mixed Use Zones:

Nothing in the HLURB Guidelines (Volume X – Model Zoning Ordinance) prohibits the application or introduction of mixed use zones into the Zoning Ordinances of the LGUs. The Model Zoning Ordinance series of 1996 on p.13 states:

“The designation of zones or districts by the local government units shall be based on their comprehensive land use plan (CLUP). Essentially therefore, the technical justification of zoning lies with the planning activities that led to the formulation of the CLUP.”

Clearly then, any mixed use zone(s) must be justified through the Strategic Planning process that will underpin the preparation of the CLUP.

In contemporary planning the mixed use zone is seen as a powerful tool in achieving Ecologically Sustainable Development (ESD) while ensuring residential amenity. It is intended as a mechanism for bringing non-invasive employment opportunities into higher density residential areas to minimize

travel times, travel costs and most importantly, reliance on motor vehicles. Such a zone will typically provide for a mix of residential, commercial, non-invasive service business, or clean light industrial uses. However, it is quite feasible to create a variety of mixed use zones that have no specified residential component at all. For example the C-2 Zone in the Zoning Ordinance is such a zone. The zone purpose is stated as being:

“an area within a city or municipality with quasi-trade business activities and service industries performing complementary/supplementary functions to a principally commercial zone (CBD)” (Model Zoning Ordinance, p.10).

However, even in such cases the process for the creation of the zone and the evaluation of development applications remains the same except that the impact assessment on neighboring uses or users may well be less severe than on residential uses.



Mixed Use Development in Makati City

Mixed-use developments should be more than high-yielding real estate ventures. They have the potential to improve the quality of development of a decaying district and to reduce inter-city movement of people by providing a place of residence and place of employment in one complex.

Many of the commercially successful mixed-use developments have been initiated by the private sector with many examples in the Makati and Ortigas commercial centers. Although they have introduced residential spaces or units in a commercial or office development, these are generally always targeted for the high-end market. Thus, the majority of unit owners or occupants are not employed within the development while the employees (usually from the low to middle income groups) have to commute to their employment at this mixed-use development. Ironically, many of those that do have residential units in the mixed-use developments either don't work in that area, have other residential houses, or bought their units as an investment with the intention of selling them later when the value of the unit appreciates. In the end, these mixed-use developments create more cross-city movement. This tends to significantly negate the important conservation principle that supports the mixed-use development concept.

Nevertheless, there should always be a substantial percentage of the mixed-use development allocated to residential use with a more reasonable price. The LGU should have guidelines or standards to evaluate mixed-use developments being proposed by developers.

To assist the LGU officers in dealing with applications for use or development in mixed use zones, the CLUP (or even a separate Mixed Use Strategy in complex urban environments) must as a matter of policy specify the general nature of uses to be permitted within the zone. In dealing with particular applications, the LGU officer should have regard of the following:

- Any national or regional policy applicable to the mixed use zone or the LGU's policies as adopted in the CLUP for the zone;
- Consistency of the proposal with the objectives for the mixed use zone, including any specific PPPs targeted for the area;
- The views of the local community following the appropriate level of consultation about the proposal;
- Assessment of the proposal against the *Decision Guidelines* recommended in Section 6.2 of this document;
- Any other relevant issue that might otherwise impact upon the overall quality of life in the area (i.e. residential amenity).

In any dispute about a proposal or its potential negative impacts within its immediate vicinity, any assessment should also take into account the principle of *Net Community Benefit* (Refer to Section 6.1.3).

5.2.10.2 Dealing with the "Mix" of Uses in Existing Zones:

There are two alternative variations to this particular issue, namely:

- The Column 1 uses either permitted as-of-right with possible conditions; and
- The discretionary Column 2 uses.

Permitted Uses (Column 1):

There is no discretion to refuse the wide range of uses offered as *options for consideration* for inclusion (if desired) in Section 1 of Zoning Ordinances. However, LGUs should ensure that they only include those uses appropriate to the area and the image they intend to project for the area. Nevertheless, there is opportunity to minimize adverse impacts on adjoining uses through the application of appropriate conditions. Care must be taken that the conditions in themselves do not impose a de facto refusal for that would be “ultra vires” (unlawful).

The best way to determine the most appropriate mix of uses is by visual inspection, or in otherwise sensitive or important zones to canvass the issues and options with the stakeholders during the public consultation undertaken by the LGU during the preparation of its strategic CLUP.

Discretionary uses (Column 2):

Section 2 of the Zoning Ordinance Use Regulations provides for a limitless range of unspecified uses to be considered, and therefore in the assessment of such uses the LGU planner could have regard of the following:

- Is the proposal consistent with any intent or direction for the area that might be specified in the CLUP or any other area-specific strategy or policy adopted for the area by the SP?
- Does it really satisfy the purpose(s) of the zone?
- Does it improve the character of the area?
- Will it have an adverse impact upon the area?
- How well does it address the *Decision Guidelines* recommended in Section 6.2 of this document?

5.2.11 Dealing with Non-conforming Uses (NCUs)

Non-conforming uses **must** be lawful to be non-conforming. Otherwise they are prohibited and steps should be taken for their cessation as soon as possible. Some non-conforming uses are relatively benign, others create significant problems within a zone particularly if they are incompatible with the main purpose of the zone. It is best to address these uses at the early plan (CLUP) preparation stage. While the Model Zoning Ordinance (at Section 4) is very precise about how to deal with such uses, the 10-year phase out time is nevertheless very long, and lengthy continuation of such uses may inhibit the orderly development of the adjoining area(s).

If the LGU considers the cessation or removal of the use to be strategically important to its plans for the development or re-development of the area(s) it should develop a plan for the achievement of its objectives. Typically, any local planning of this nature (if not already flagged in the CLUP) would involve a mini-strategic planning exercise. It should include consultation with the relevant stakeholders, and ultimately provide a set of workable options for the achievement of the LGUs objectives. In some cases this

might involve a financial commitment by the LGU to facilitate closure, removal or re-location.

LGUs should not avoid the resolution of important planning issues because of perceived costs. Rather every LGU should actively pursue the resolution of planning problems and should set aside an annual allocation (or some other form of rolling fund) in its budget for just such issues.

5.2.12 Buffer Areas between Uses or Zones

Section 29 of the Model Zoning Ordinance provides the current standard for buffers. It is a minimal standard that may only be relevant in limited situations.

In reality, however, and based upon contemporary planning philosophies, buffer distances should be related to the actual impacts that particular uses are likely to impose. Such impacts will include noise, odor, dust, extra traffic, and other potential nuisances.

The following criteria may be useful to planners in determining and setting buffer distances.

- Avoid having residential zones adjoining any conflicting zones.
e.g. the Residential Zones will in almost all instances be incompatible with Industrial Zones, Agro-Industrial Zones, Agricultural Zone (in some cases), and Tourist Zone (in some cases);
- If the LGU's CLUP (its Strategic Plan) has not considered in detail the preferred future uses in the adopted zones, then for each individual application the planner should assess the likely impacts of uses on adjoining zones, uses, or users, and impose relevant conditions to achieve reasonable outcomes. A simple test might be to relate it to personal preference, using the following simple guide:
"If I had to live or work beside the proposed use/development what would I consider reasonable/acceptable to safeguard either my residential amenity or the working conditions/welfare of my employees and myself?";
- Test the application against the *Decision Guidelines* recommended in Section 6.2 of this document. In most cases, a negative assessment will mean that it is undesirable regardless of the type of adjoining zone or use.

5.2.13 Urban Transportation Issues

Transportation planning is a highly specialized wide-ranging discipline generally encompassing the areas of transportation planning and traffic engineering. Given the significance of transportation and traffic impacts on everyday urban living, commuting, employment, and the environment, every LGU should have within its Planning and Development Office a qualified transportation planner in addition to a traffic engineer to provide advice about impacts likely to arise from development applications. It is important

for LGUs to encourage and promote capability building on both transport planning and traffic management.

Failing that, the LGU could adopt a policy requiring certain classes of development applications to be accompanied by a Traffic Impact Assessment (TIA).

Ideally, every LGU should address the traffic/transportation issue in its CLUP comprehensively, or should produce its own separate transportation strategy to address all of the inter-linked matters contributing to traffic problems.

However, even without the benefit of a traffic engineer, transportation planner or a comprehensive transportation strategy, most experienced LGU planners should be able to undertake simple yet fairly accurate traffic assessments for the majority of less complex applications. Some typical guiding criteria might include:

- Assessment of the traffic, parking, and other impacts the proposed use or development is likely to generate. This should include an assessment of the likely catchment of the proposal, as there may be greater indirect off-site impacts on nearby streets, especially if the use attracts non-local employees or non-local users or customers;
- Having regard to the impacts likely to be generated relative to the opportunities or constraints of the site or the existing road network, is the proposal appropriate for the site or the area generally;
- Is the site or the proposed development layout sufficient for the provision of off-street parking (not in the front setback area) for owners, employees, visitors, and customers?;
- Is the proposed scale of the use or development appropriate for the hierarchy or importance of the road in the road network?;
- Does the proposal generally positively satisfy the relevant *Decision Guidelines* recommended at Section 6 of this document?

5.2.13.1 Understanding the Importance of Road Hierarchy

Urban areas have a hierarchy of roads that are designed to collectively make inter-city and intra-city movement efficient. The different types of roads have different roles to play and the land use and intensities of development in the areas along these roads have to support their functions. metropolitan Manila as an urban area, for example has a network of radial roads (R-Roads) and circumferential roads (C-roads). The radial roads take care of movement between the city's core and the outer edges (and even beyond), while the circumferential roads are concentric roads that link the radial roads. The outermost circumferential roads link several cities and are therefore vital in channeling inter-city traffic in metro Manila.

In addition to providing intra-city accessibility, the C-5 and other circumferential roads connect the South Luzon Expressway (SLEX), being the main highway linking the provinces in the south, with the North Expressway which is the main highway linking the provinces in the north.

Unfortunately, the construction of high-rise condominiums and numerous commercial facilities along the C-5 has drastically reduced vehicular traffic speeds (and therefore its efficiency) because of the increased activity generated by the incompatible land uses and the uncontrolled number of accesses onto the C-5 and other circumferential roads



High-rise Buildings and Commercial establishments along the C-5

The C-5 passes through Pasay City, Taguig, Pasig City, Quezon City, and Caloocan City. It was meant to be a high-speed limited-access road that would improve mobility within the metropolitan area.

However, direct access to major inter-city roads is also what makes a property valuable and attractive to buyers. This is also reflected in the return (or profit) to the developer. The lack or absence of strict or clear land use and building density controls will allow developers to maximize the use of their properties along major thoroughfares and subsequently upset the amenity of an otherwise efficient district or even a residential neighborhood. The developer can and must be required to provide access to such developments with separated service roads with limited access to the main roads only at locations designated by the LGU. This will ensure that the

community does not lose the wider *Net Community Benefit* from the roads to the limited benefit of particular developers.

Not every LGU will have “C” or “A” class roads. Nonetheless every road has its own unique function and it is important for that function to be recognized and integrated into the planning and decision making process.

Therefore, as an integral part of its CLUP preparation or separate Transportation Strategy, every LGU should (in consultation with key stakeholders, particularly other agencies having separate decision-making or funding responsibilities) should identify and map its municipal road hierarchy. This will provide the basis for establishing movement patterns and traffic capacities, which in turn will inform the development application decision-making process. Annex 2, Definition of Terms (HLURB Guidelines, Volume 4, page 25) defines road classifications and streets. However, the **Guidelines** do not discuss implications for building densities, land uses and parking requirements, and so these important matters should be particularly addressed within a Comprehensive Transport Strategy.

Additionally, parking is a particular issue in Metropolitan Manila and most provincial cities and any Comprehensive Transportation Strategy will almost certainly identify the urgent need for the development of municipal off – street parking areas. Properly located and managed, these would significantly reduce traffic flow interruptions and relieve the evident parking shortages that have resulted from inappropriate uses establishing along key arterial roads.

5.2.13.2 Inappropriate Strip Development Along Major Arterial/ Distributor Roads

As already suggested, one of the major problems confronting LGUs is the obstruction of efficient traffic movement caused by the inappropriate use of areas fronting major arterials. EDSA is a perfect example of the potential efficiency provided by sufficient road width (except at some key “pinch points”) being completely negated by a range of inappropriate and/or unlawful uses. For example, no sub-minimal bus terminal should be permitted if buses cannot be driven onto the site forward, and off the site likewise. No market should be allowed to operate with vendors or stall owners being permitted to occupy adjacent footpaths or parts of the road, effectively closing off one lane. Numerous such examples abound. Such problems are further compounded by the many unlawful street vendors, squatters, and other informal traders occupying footpath space. This forces the pedestrians out into the roads causing extensive traffic problems.

It is always much more difficult to resolve such problems or conflicts *after* the event than before, therefore the planning officer is often in the “hot-seat” without professional support. Nonetheless, the application of common sense and use of the *Decision Guidelines* (Section 6.2) should (in the majority of local applications) provide a sound basis for a professionally responsible recommendation or decision.

5.2.13.3 Parking (parking policies, standards, enforcement)

In an ever-expanding urban environment (particularly in the case of mega cities such as Metro Manila) the days of free parking are just an anachronism. However, to charge or not to charge is a political issue. In the meantime, there are still valuable planning tools available to help minimize the impacts of ever-increasing traffic.

At the macro level, parking is part of the wider LGU Transportation Strategy discussed earlier (or, a more developed component of the Infrastructure Sector in the CLUP). It needs to be addressed by LGUs as a serious policy issue where the outcomes should satisfy the wider principles of *Net Community Benefit* rather than micro/special interest benefits.

Even aside from the cost-benefit implications, and the politics of parking charges, LGU planners must start applying and enforcing appropriate (space design) parking for new uses/developments and enforcing non-compliance on existing permits.

However, the LGU planner can even take the pro-active approach and call stakeholders together for the purpose of developing joint responses to parking issues. Even the most rabid opponent will see reason when the costs and benefits are pointed out in terms of business gain/loss.

5.2.13.4 Inefficient Public Transportation System/Management

At the macro level, this is beyond the reasonable responsibility (or capability) of LGUs to influence. It is foremost a national policy matter that ought to be the responsibility of departments such as Transportation and Communications (DOTC), and Public Works and Highways (DPWH). Resultant Policies could then be translated into action plans by relevant government agencies, MMDA (for Metro Manila), and individual LGUs.

However, failing any coherent national policies or strategies (or of greater relevance the lack of any effective implementation, enforcement, and monitoring), LGUs can still take steps to improve performance at the local level. Action might include the preparation of a Local Traffic and Transportation Management Strategic Plan addressing:

- Identification and documentation of the problem(s) to provide an authentic “base line” or reference point for future comparative analysis;
- Registration of all public transport operators within the LGUs (manual and motorized tricycles, jeepneys, buses, etc);
- The development of an LGU road hierarchy (in close consultation with neighboring LGUs);
- Identification and documentation of the condition of the road network within the LGU;
- Identification of the design vehicular carrying capacities (volume) of the LGUs road network, the most reasonable weight and size capacities, and the actual traffic volumes being carried;

- Identification of the most efficient mix of vehicle types for certain sizes, having regard to the accessibility needs of the resident population(s);
- Identification of land-uses and activities contributing to particular types of traffic and problems (especially heavy trucks and lighter service vehicles);
- Identification of traffic hot spots, and their causes;
- Identification of parking “hot spots”, particularly accessing busy major roads within the LGU;
- The need for a computerized road maintenance and replacement system linked to design and annual budget allocation(s);
- Plans for a comprehensive **education** campaign highlighting the real cost benefits of effective traffic management and compliance with regulations;
- **Enforcement** of legal driving standards;
- **Enforcement** of off-street parking standards in developments. Many parking areas are either never actually made available for parking, or are unlawfully occupied as storage spaces or “informal” commercial areas;
- **Enforcement** action against unlawful parking in streets and on footpaths;
- **Enforcement** of appropriate transport modes in designated or appropriate streets;
- **Enforcement** of unlawful occupation of footpaths and/or roads by vendors, squatters and/or others (including cars, tricycles and motorbikes);
- **Enforcement** of regulations that penalizes developers unlawfully occupying footpaths and roads with construction materials and/or vehicles.

Overall, at the local level, a great deal of inefficiency could be resolved through better coordination between LGU departments (particular planning and engineering); better management practices; leadership by example at all levels (especially the police and other “enforcers”); enhanced road management and maintenance systems; adequate budgeting for road maintenance and re-construction (in addition to new projects; real enforcement (not just talking about it!); education; real political commitment to effective enforcement of regulations and prosecution of lawbreakers irrespective of influence.

5.2.14 Service Provision Difficulties

5.2.14.1 Urban Congestion

This is a common problem that arises predominantly from ineffective forward planning (strategic planning), poor coordination between planning and engineering departments at the LGU and the acceptance of inadequate design standards for particular developments. Hence the need to have proper recording and understanding of the design capacities of critical urban infrastructure and their design “life”.

Under ideal circumstances this issue must be addressed holistically at the CLUP preparation stage or through supplementary modifications to the CLUP. It may require the introduction of subsequent specific-area property taxation programs to ensure the equitable recovery of upgrading costs from benefiting residents and property owners.

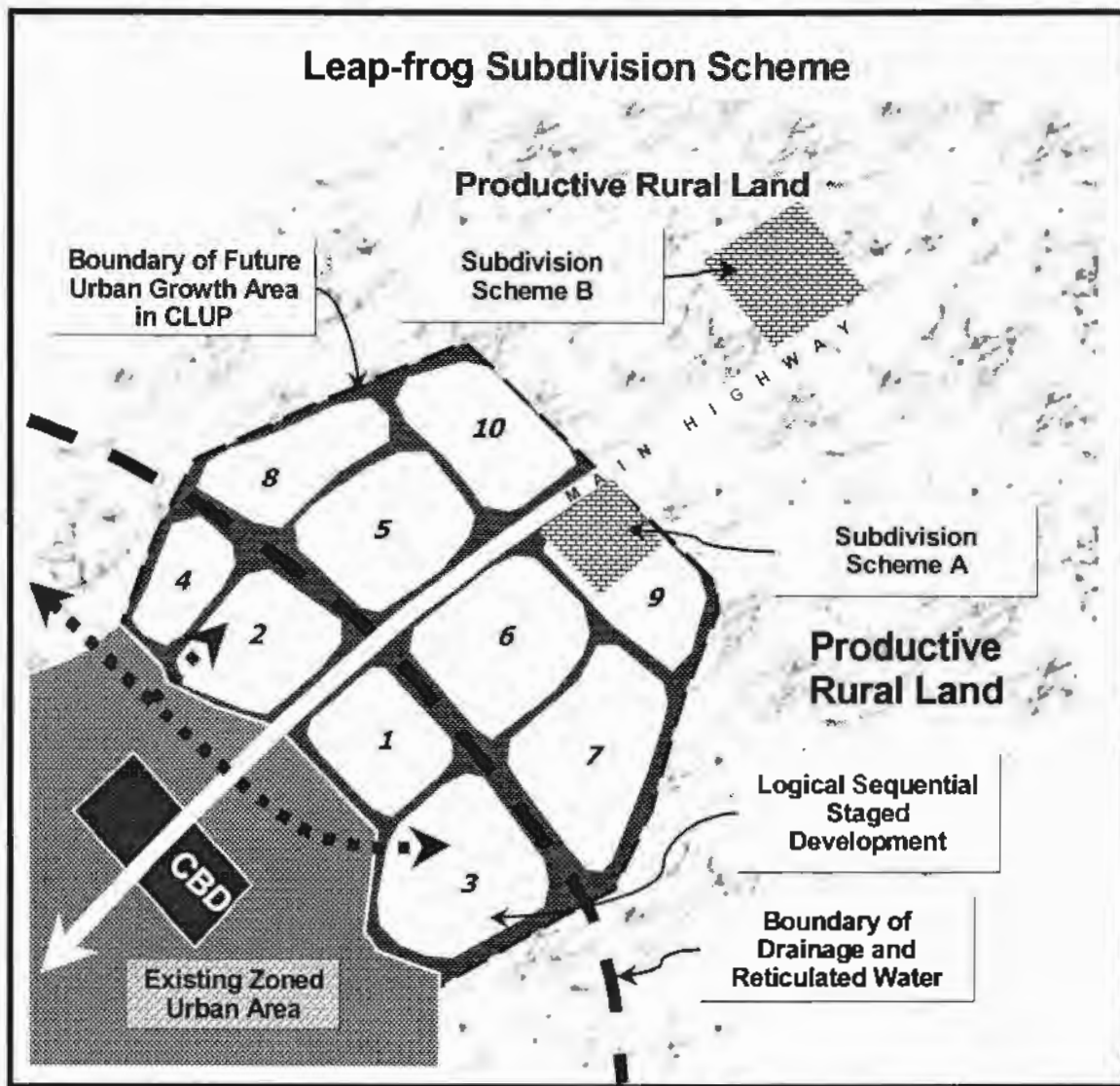
Unfortunately, if appropriate costs are not recovered from developers at the development stage they will ultimately be borne (unfairly) by the wider community. That is because the LGU will be pressured to remedy the problem through its general maintenance budget or special infrastructure backlog projects.

The need for an effective Developer Contribution Policy and Social Infrastructure Funding Policy is discussed at Section 5.2.16 following.

5.2.14.2 “Leap-frog” Subdivision and Development

This is a typical issue common in areas experiencing rapid population growth, having inexperienced planners within the CPDO, or powerful land owners wishing to “develop”. Either way, the result is usually undesirable and requires the LGU to eventually commit to costly expenditures to remedy problems that could have been avoided or should have been resolved and financed by the developer. Figure 5.2.14.2 following illustrates the classic “leap-frog” subdivision scheme.

It (Figure 5.2.14.2) is a fictitious case showing a city with an existing urban edge. Like many such cities the existing area still has a substantial vacant developable capacity within its zoned limits. The existing urban area has all necessary infrastructure (piped sewerage, drainage, and water) in addition to a good social infrastructure (schools, parks, playgrounds, social services, etc.). The recently approved CLUP has identified a future urban boundary and zoned sufficient land in advance for 10 years of growth at current population projections.



The LGU suddenly receives applications for two subdivision schemes, A and B. Scheme A is within the distant extremity of the future growth area identified by the CLUP. Scheme B is 5 kilometers away in quality productive rural land, albeit with sloping terrain providing for potential views. Why should such classic “leap-frog” be refused? The non-benefits are obvious and include:

Scheme A:

- Distance from urban area and CBD and employment opportunities;
- Lack of essential infrastructure – water, sewerage, drainage;
- Lack of community, social, recreation, education, and commercial facilities;
- Lack of public transport;
- No demonstrated demand or market for the subdivision;
- No other LGU services such as garbage collection

Scheme B:

- All of the above; plus
- It is even further away from the city;
- It is under the flight path of a proposed city airport;
- Is inappropriately zoned (still being agricultural);
- Is part of an active, highly productive farm.

What then are the likely consequences for the LGU of approving such proposals? They are usually serious (financially), mostly irreversible, and always disastrous because of the precedent created and the message it sends the community and developers alike. It completely destroys the credibility of not only the CLUP but the LGU with respect to its commitment to implement the CLUP in an environmentally sustainable way.

The more immediate consequences of approving such schemes will include:

- Immediate and unremitting pressure for strip development (often unserviced and substandard) between the existing urban edge and the approved subdivision scheme(s);
- Immediate establishment of informal commercial premises along the highway (by squatters and opportunists) to catch passing trade and as a side-effect reduce the safety and functionality of the highway;
- Pressure on the LGU and other servicing agencies to provide the necessary extensions of mains to enable connection to town water, sewerage, and drainage; or
- Failing such connections the environmental consequences of non-connection, including pollution, local flooding, and often erosion;
- Pressure for the introduction of public transport forms that may not be suitable for the design speeds and functions of the highway;
- Pressure on the LGU to provide garbage services, schools, and other social services uneconomically due to the lack of an offsetting threshold tax base from the subdivisions/development.

Scheme A is marginally better than Scheme B, but both still defy the sound planning logic of incremental staged development from the urban edge (as numerically indicated in the diagram), whereas Scheme B has the following even worse impacts:

- It creates a bad precedent (and lawyers and courts live off precedents) for future similar illogical subdivision/development;
- It destroys the credibility of the CLUP and the LGU in particular and planning in general in the eyes of the community and stakeholders;
- It creates uncertainty for decision makers, service providers, and developers alike;
- It exacerbates inefficiencies in the distribution of resources, and ultimately leads to community cross-subsidization of the subdivision to the benefit of the developer;
- It becomes a catalyst for future development around it, irrespective of planning merit or suitability.

Yet the Philippines is replete with examples such as this and LGUs must stand firm to avoid more of the same. The benefits of sound and proper planning are easily explained to community, developer, and politicians alike in monetary terms.

5.2.15 Un-sustained or Un-maintained Infrastructure Projects

All public infrastructure must be treated as a depreciating asset and accounted for accordingly. Hence, when a public asset (infrastructure) is completed to acceptable design standards and handed back to, or accepted by the LGU, it must be registered in the accounts as an asset (just like the city hall or sports stadium). Consequently the Finance Department must make provision for annual depreciation (in the understanding of future replacement/reconstruction) and must provide budget for annual and on-going maintenance to ensure the performance of the asset to its optimum design life.

Therefore this problem is either a consequence of:

- Inadequate provision of a sufficient (if any) budget for maintenance; or
- Poorly planned, managed and financed infrastructure projects running out of capital and hence being completed substandard or not at all; or
- The adequate maintenance of private infrastructure (usually in speculative developments) being abandoned by the developer due to lack of cash flow, or lack of interest following the sale of the lots.

The burden always falls on the community through the LGU either having to raise taxes to fix the problem or the community having to accept and live with the consequences if it is not prepared to pay more in taxes. Ultimately the solution is through application of some or all of the following measures:

- Proper long-term planning: it is less expensive and easier to build new assets in “green-fields” situations at subdivision than after roads have been sealed and properties developed;
- Registration of the asset in the LGU accounts and proper budgeting for maintenance (even if that means higher taxes);
- Setting, maintaining, and accepting only the highest possible design standards to minimize future maintenance and provide extended asset life;
- Enforcement action against unlawful tampering with assets in the form of “private” connections;
- Collecting adequate cash bonds from developers working on or near assets to safeguard against damage and provide for satisfactory restoration should that happen;

5.2.16 Developer Contributions: Social Infrastructure Funding

It is important for LGUs to develop a comprehensive strategy and/or policy for the calculation, apportionment, and recovery of equitable payments from developers for infrastructure (both physical and social) required to service any proposed development or subdivision.

This is particularly important because new developments or subdivisions invariably benefit from connections to existing infrastructure (such as roads, water, drainage systems) already constructed by LGUs or other agencies. These have generally been funded out of public taxes in one form or another and therefore are public assets. This benefit will accrue to the developer as a bonus to development costs, at public expense. It is therefore appropriate in the interests of public equity for the LGU to apportion the "value of the benefit" as a charge against the developer.

Such a policy is all the more important in the case of "leap-frog" (out of sequence) subdivisions or developments, where the LGU (or other public agencies) will ultimately be asked to either upgrade main roads or provide significant connecting infrastructure (water, drainage). Not only will the identification of these costs reduce the financial burden on LGUs, but they will demonstrate to the LGUs the financial consequences of irresponsibly approving "leap-frog" subdivisions or development. If ignored, these added costs will distort the real cost of development and hence, the real cost of land.

Further, such a policy or strategy should ideally be prepared within the context of the Infrastructure Sector of the CLUP, however, as with any important issue it can be undertaken independently as a separate strategic planning activity. The following points should assist LGUs in the preparation of a Comprehensive Infrastructure Funding Strategy (CIFS).

- Define the extent and scope of the proposed CIFS;
- Ensure the mayor and SP are involved in the process and understand the financial consequences of **not** having such a strategy;
- Define terminology to be used, e.g. physical infrastructure, social infrastructure, headworks charges, cost apportionment, costs and charges, beneficiaries, etc
- Determine a formula for calculation of apportioned costs of physical infrastructure to beneficiaries, developer, LGU and others;
- Determine a formula for calculation of developer and future resident contributions towards the provision of future social infrastructure. These will be in addition to standard annual land taxes and may be levied as a lump sum, or distributed as annual payments over time. Calculation of these contributions will require the maintenance of accurate demographic data to enable accurate timing.

5.2.17 Policy Implementation Difficulties Due to Cultural Considerations or Norms

Cultural considerations mean different things to different people. In the context of indigenous cultures, tribes, or religions they are often significant and should as far as possible be given due consideration at the early planning stages of any policy, strategy or major project.

However, it is important to understand the difference between genuine cultural considerations and bad practices. The latter is often used as the excuse for inactivity or the perpetuation of inefficient work practices.

For example, it is considered bad practice to be habitually late, blaming traffic conditions for one's poor planning for getting to a meeting on time. And although this may seem like a prevalent excuse, lateness is not a cultural consideration, but rather the problem of poor planning for the trip.

On the other hand, it is a cultural consideration to re-route one's journey away from churches on Sundays because of the expected traffic created by people who attend worship services in this predominantly Christian country.

In relation to planning and policy implementation, a good leader will have to know how to recognize the differences between actions due to cultural considerations or bad practices.

The answer to these serious issues is not to be found in planning but rather in good leadership and fair and fearless application of the law for all. Bad habits (as opposed to genuine cultural considerations) can be changed but require a period of consistent attention to be changed.

5.2.18 Other Issues

Most of the following issues are of such significance as to warrant a national, metropolitan and regional policy/planning approach. While consequences will inevitably be felt at the LGU level, planning solutions should be driven from a higher authority. Without the highest order involvement the co-ordination and integration required to resolve these significant inter-LGU problems may prove impossible to achieve.

Nonetheless, the LGU through its development assessment and enforcement role can take positive action to at least minimize local impacts.

5.2.18.1 Flooding Problems

Most flooding occurs on floodplains. These are natural water storage areas containing rivers or creeks that flow continuously or intermittently. They include wetlands, swamps, meanders and anabranches. Historically, the easy access to water and, the rich diversity and fertility of the floodplains have attracted human settlement. Many major cities are built on or adjoining floodplains. Hence, with ever-increasing human intervention in the upstream catchments, the downstream consequences and risks increase.

Flooding is a natural hazard, particularly in S-E Asian countries such as the Philippines, affected annually by intensive tropical weather patterns. It results in very significant financial cost and personal hardship (Northern Luzon and Baguio, 2001) for the community. It is also often exacerbated by ignorant, thoughtless, and negligent human intervention in the environment. When floods strike, the first response is often sought from the LGU or national government.

Nevertheless, floods are to a great degree predictable in terms of location, depth, and extent. Therefore, appropriate measures can be taken to reduce flood risk and flood impact. Floods, and other natural risks or hazards must be identified by the LGU and publicly exhibited so that the community can make better choices about residential environment or business investment.

Land use planning is recognized as being the best means of avoiding or minimizing future flooding problems (risk to life and property). Strict and uncompromising enforcement of strategies and controls adopted to counter flooding is vital. The zoning maps of the LGU should identify known hazard areas such as floodplains, unstable geological areas, and airport noise impact zones. The following types of activities must be the subject of permit applications in flood prone areas:

- **Land Use:** Intensification of any land use or change in land use may increase flood risk;
- **Buildings and Works:** Such structures and activities (e.g. houses, commercial and industrial buildings, earthworks, levee banks, fences, roads, irrigation channel embankments can seriously interfere with the free passage of floodwater often resulting in significant flood risk and extensive flood damage.
- **Earthworks:** This would include land forming, grading, levee banks, laneways and tracks, aqueducts, surface and subsurface drains and associated structures. Improperly planned or undertaken earthworks can obstruct or divert flood flows, reduce natural flood storage areas, and increase flood flows, flow speeds, and consequent damage. Earthworks are often constructed without any regard or consideration of off-site impacts.
- **Subdivision:** Ideally there should be no urban scale subdivision in the flood plain. Subdivision for rural purposes may be appropriate, provided lots are kept in large parcels and no other development or site modifications are allowed.

What can LGUs do to minimize flood impacts?

- Identify the land affected by flooding and identify the type, i.e., mainstream flooding, or stormwater flooding.

Mainstream flooding results from surface run-off into rivers and creeks after heavy rainfall. Water overflows the banks onto adjacent low-lying land causing flooding. Flooding can be exacerbated in coastal areas by incoming or high tides blocking water discharge from a flooding river. In some circumstances even strong on-shore winds can prove troublesome. Mainstream flooding can occur in both rural and urban areas.

Stormwater flooding is the result of overland flows in urban areas during severe storms. This occurs when the rainfall run-off exceeds the capacity of the piped drainage system and no provision has been made for overland flows in the design or construction of public infrastructure. Stormwater flooding is a regular occurrence in Metro Manila during the wet season.

- Define the extent of flooding:

This is a very difficult task in the Philippines given its physical composition (archipelago), its high and increasing population, and the relatively uncontrolled destruction of natural upstream catchments. It will nevertheless be useful to:

- Determine the maximum possible flood event in terms of likely extent and flood height;
- Determine what lesser flood event, or recurrent interval the LGU *is prepared to accept as a reasonable risk*;
 - Develop plans and strategies to minimize flood impacts, noting that:
 - Floodplains are designed by nature to store water. Moving water is very destructive so the development of solid structures in a known active flood plain should be prohibited. Nor should floodplain be fenced as fences catch debris and spread the extent of flooding;
 - Floodplains are ideal locations for the establishment of passive recreation areas, or sporting areas not requiring the construction of buildings.
- Analyze the extent of the catchment area, in consultation with all LGUs within the catchment. Note that any unilateral action in any component LGU within the catchment will impact to varying degrees upon the others.
- LGU operations and maintenance:
 - Identify the capacities and discharge standards of all pipes and drains;
 - Ensure the appropriate drain capacities of the proposed drains **and** the capacities of the drains to which the connection(s) are being made (i.e. capacity of the existing system). If the proposal will overload the existing system, **refuse** the application or **require** the developer to pay for the full upgrade (or necessary pipe replacements) of the existing system;
 - Ensure adequate maintenance of all storm water systems;
 - Ensure appropriate and adequate design standards in new subdivisions;
 - Ensure adequate supervision of construction to avoid destruction of existing culverts or inlets, and choking of drains with construction debris, garbage, or the like;
 - When reconstructing roads, ensure that it is integrated with an upgrade of the drains, footpaths, and cross-roads. Undertake (or require the contractor) full hydraulic test of the proposed drains to ensure performance.

- Possible requirements for development applications in flood areas:
 - Specify the existing and proposed use of the site;
 - Identify the number of people expected on-site during normal operations;
 - Provide a survey plan showing the existing natural surface levels and proposed finished surface levels;
 - Show the existing and proposed buildings, including proposed floor levels;
 - Show existing and proposed earthworks, including crest levels if any;
 - Show existing and proposed roads, including center lines, kerbs, footpaths, and crest levels;
 - Show existing and proposed drainage systems, including waterways (rivers, creeks, etc.), pipelines, open drains, culverts, and bridges;
 - Show any other physical features that may affect flows, such as levee banks, fences and retaining walls.
 - Provide a Flood Risk Report including:
 - Details of the proposed development and site conditions;
 - The known extent of flooding; flood levels and flow directions relevant to the site;
 - The frequency, duration, depth and velocity of flooding and flood warning time applicable to the development site and access way;
 - The susceptibility of the development to flood damage;
 - The potential flood risk to life, health, and safety;
 - The off-site impact of the development on the flood plain and other downstream users;
 - The effect of the proposal on existing environmental values (e.g. flora, fauna, and wetlands) if any;
 - Why the proposed development cannot be located in flood free land or land of lesser flood hazard (ownership and greater expense are insufficient justification!).

5.2.18.2 Impacts from Ongoing Migration from Rural Areas and Occupation of Dangerous Areas or Prime Government Lands by Squatters

Impacts take many forms and their brunt is predominantly being borne by LGUs. The planning response to migration is all the more difficult because unlike natural population growth migration can be unpredictable.

Before any reasoned response can be developed, the LGU must determine the nature of the migration and its composition and the intentions of the migrants. For example, are the migrants going to remain permanently? Are the migrants whole family units or just working adults? Is it a seasonal search for employment between harvesting seasons?

Migrants (the rural poor) in search of employment will form the bulk of the LGUs' unskilled labor force. They will always want to locate close to employment opportunities around the central business districts (CBDs) where there are often more construction sites/opportunities, or on public land such as parks and waterways where they can accommodate their basic needs at least expense. They will also be more inclined to take risks in location – hence steep slopes, garbage dumps, floodways and the like.

Having regard to the above considerations, the LGU should develop a comprehensive strategy supported by relevant and accurate base data. Any such strategy should include the fullest possible consultation with the wider community (not just the special interest groups representing the informal migrants/squatters). Some relevant issues to consider might include the following:

- Identify, map and document the nature and extent of the problem;
- Identify and register the squatters;
- Determine the extent of professional squatters;
- Determine numbers actually eligible for assistance, and sources of assistance;
- How much space LGU should provide for temporary or permanent migration (if any);
- Where it can make such space available;
- What level of basic facilities will it provide at these spaces, i.e. land only, basic shelter, assistance with limited construction materials, etc.;
- Period of occupancy to be permitted;
- Contributions towards costs;
- Extent of social services to be provided;
- Extent of infrastructure/utilities to be allowed to be connected;
- Identification of public lands required for other community purposes;
- Its commitment to enforcing its strategy.

6. Development Control / Assessment Planning

6.1 Reinforcing the Relationships

There is a clear hierarchical relationship between the different types of planning, and while it is not intended to elaborate further it is useful to re-state the hierarchy as follows:

- Strategic Planning;
- Development control/development assessment planning;
- Operational planning.

While this **Guidelines** is predominantly concerned with the strategic planning process, the foregoing illustrates the relationships within the hierarchy such that the elements have significant inter-relationships, and there are some fundamental strategic concepts that every development control/assessment planner should always consider, namely:

6.1.1 Ecologically Sustainable Development (ESD)

ESD is a very much publicized and promoted principle since the Rio Earth Summit, which, with very few exceptions has not proceeded beyond the rhetoric either in developed or developing countries. It is nonetheless a desirable principle by which planners can assess development proposals.

Definitions vary from place to place and person to person, but typically it is all about "*Development that improves the total quality of life, both now and in the future, in a way that maintains the ecological processes upon which life depends.*" (Commonwealth of Australia, 1992).

ESD can only be successfully applied where monetary values are weighed against non-monetary values (e.g. social, cultural, visual, etc), and the environmental benefits outweigh the costs. When valuing natural resources the following rule of thumb is useful:

Renewable resource: capable of being "harvested/farmed" at a sustainable rate;

Non-renewable resource: should only be used or extracted if a substitute is found;

Absolute resource: should not be used at all because there is no human-made substitute; they are either vital to life on earth, have "existence" value, or they are essential to maintaining bio diversity. (ESD Policy, Royal Australian Planning Institute, 1997).

Some useful principles to guide planners in the application of ESD in both Strategic and Development Control planning could include:

- The need for **integrating** economic, environmental and social goals into policies and activities (exactly what the Strategic Planning Process will achieve when properly applied to the preparation of CLUPs);
- Taking a **precautionary** approach to decisions which effect the environment, which means dealing cautiously with risk and irreversibility (hence the benefit of assessing development applications against a wide range of decision criteria/guidelines);
- The need to **protect** biological diversity;
- The need to ensure that natural/environmental assets are **properly valued**, especially their **full** cost;
- The need to provide for **equity** within and between generations;
- The development of **better** environmental databases to better inform decision-making;
- The need for **better** monitoring mechanisms for the assessment of environmental Impacts;
- Using a **combination** of market and regulatory measures to protect the environment;
- Developing and applying **community consultation** and conflict resolution mechanisms;
- Taking a far **wider** view of the economic, social and environmental implications of decisions (RP is part of the Global Community);
- **Taking the long-term rather than the short-term view.**

(Source: ESD Policy: Royal Australian Planning Institute, 1997)

The Government of the Philippines has a long-established legislative framework as follows:

The Philippine Agenda 21

The Philippine Agenda 21 defined the action agenda for sustainable development based on strategic interventions across ecosystems, i.e. forests/uplands; coastal and marine; urban; freshwater, lowland/agricultural; including areas designated as mineral reserves or with mineral potential and areas of high biological diversity.

Section 2 of Republic Act No. 7586 - National Integrated Protected Areas System Act of 1992 (NIPAS)

"... it is hereby declared the policy of the State to secure for the Filipino people of present and future generations the perpetual existence of all native plants and animals through the establishment of a comprehensive system of integrated protected areas within the classification of national park as provided for in the Constitution.

It is hereby recognized that these areas, although distinct in features, possess common ecological values that may be incorporated into a holistic

plan representative of our natural heritage; ... that the use and enjoyment of these protected areas must be consistent with the principles of biological diversity and sustainable development."

6.1.2 Amenity

Amenity is the difficult to define, intangible quality that defines the general well being of an individual or equally a community. All development has various impacts upon amenity (in some cases beneficial, and in others detrimental). Most objections to development applications are based around amenity issues. These are usually the consequence of physical impacts such as pollution, noise, smell, increased traffic and the like. However, impacts may also include social impacts (such as increased crime rates, loss of parklands and other community facilities), economic impacts (loss of employment, transfer of employment, higher travel costs, etc), or environmental impacts (loss of habitat, bio diversity, or non-renewable and/or absolute resources).

Generally, adverse amenity impacts will be substantially reduced if development applications are assessed against or satisfy ESD principles.

6.1.3 Net Community Benefit

When all else fails or there are no other guiding principles to aid the planner in the assessment of an application this is a good "benchmark" to test a proposal. It places the responsibility on the developer to justify a proposal in more than just economic terms. Conventional cost-benefit justification is not enough, as any assessment must also factor in the harder to quantify things such as social, cultural, and environmental impacts. It is a particularly useful benchmark to apply to the development of free-standing shopping malls where they are proposed to be located on the urban periphery outside the city's retail hierarchy. In such cases developers/proponents should be required to provide complete assessments about need, location, off-site impacts (effects on amenity), economic impacts (positive and negative), infrastructure impacts, on existing commercial centers, traffic impacts resulting from changed travel patterns that will result, and so on. Often the adverse impacts on existing centers (loss of jobs, potential urban decay due to economic activity in the area diminishing, increased travel costs, limited local trading catchment), can be severe. Additionally, pressures on the LGU to undertake un-funded extra infrastructure works means that the Net Community Benefit is likely to be *negative* and therefore such a development may be premature.

6.1.4 Consultation

Genuine participatory consultation is now recognized as a very significant element of good urban planning. Consultation is a key principle of ESD and is also the most critical element in good strategic planning. Likewise it is even more important in development assessment where development may

impact personally and permanently (and in many cases adversely) on the lives of residents.

The extent and nature of consultation will always depend on the scale and nature of the development and the initial preliminary assessment of the planner as to likely impacts that will affect local amenity. Where possible consultation should be as extensive as possible. It should be both intra-organizational (within the LGU) and extra-organizational (other stakeholders) in addition to the likely impacted community. The LGU planner will be in the best position to coordinate all relevant comments and references (arising from the consultation), and following their assessment recommend the most appropriate outcome.

6.2 Decision Guidelines

A particular difficulty for LGUs is the constant struggle to reconcile scarce resources against ever-increasing demands not only from the community but also from developers, particularly in the assessment of development applications. In some cases (particularly in the fringe urban or rural municipalities) the Planning Office of the LGU may lack the trained staff to deal adequately with applications. While those are issues that must be addressed at a structural level by LGUs, it is nonetheless possible to provide strategic guidance to officers when dealing with applications. The following provides a useful check-list of guidelines that the development assessment planner in any planning office can use to assess an application. Not all criteria can apply at all times and they will vary from zone to zone and use-type to use-type. Therefore planning officers will need to exercise their own judgement as to which criteria is relevant for a particular application.

Assessment /decision guidelines for development applications:

- Compliance with all relevant national laws and policies;
- Compliance with all relevant ordinances and resolutions of the city's SP;
- Compliance with the relevant policies of the zoning ordinance;
- The primary purpose of the zone;
- That the proposal is not prohibited under the zone;
- Complies with any special requirements for such a use within the zoning ordinance;
- That the proposal does not inhibit the orderly planning of the area generally;
- That the proposal enhances the amenity of the area (but at the very least, does not detrimentally effect the amenity of the area);
- The proximity of the development to any public land and the likely impacts;
- Factors likely to contribute to land degradation, salinity, or reduction of water quality;

- Whether the proposal will generate undesirable off-site impacts from uncontrolled or untreated storm water flows;
- The extent and nature of vegetation on the site and the likelihood of its destruction;
- Whether on-site vegetation can be protected, planted, or allowed to regenerate;
- The degree of flood erosion or fire hazard associated with the location of the land or the proposed use or development, or any proposed management measures to minimize such hazards;
- The effect that existing uses on nearby or adjacent land may have on the proposed use;
- The availability and provision of utility services such as:
 - Storm water drainage;
 - Electricity/power;
 - Gas;
 - Reticulated water;
 - Reticulated sewer;
 - Telecommunications;
 - Other approved sewer systems;
 - Any other relevant matters.
- The effects of any traffic to be generated by the use or development;
- The use (or interim use) of those parts of the land not required for the proposed use or development;
- The design of the building(s), including adequate provision for daylight and solar access;
- The design of buildings to maximize conservation and energy efficiency;
- Provision for on-site car parking and loading bay facilities;
- Requirement for professionally prepared traffic generation and traffic impact assessment for major developments (major to be defined by SP ordinance, resolution or policy direction);
- Provision for on-site landscaping, particularly fast growing shade trees;
- For use or development in areas adjoined by different zones; extent of proposed buffers (distances and other approved/functional treatments), or the compatibility (or otherwise) of the proposed use to other existing developments;
- For industrial uses or developments; the effect that the proposal may have on nearby existing or proposed residential areas, or other uses that are sensitive to industrial off-site effects;

- The effect on the free movement of pedestrians, cyclists, supply vehicles, waste removal, emergency services, and public transport;
- The location of garbage storage or waste collection area or facilities, and areas for sorting, storing and removal of re-cyclables (critical in shopping areas);
- Defining who is responsible for on-going and regular maintenance of buildings, landscaping, and paved areas;
- Any natural or cultural values on or near the land such as heritage classified sites, objects, or buildings;
- The capability of the land to accommodate the proposed use or development, addressing site quality attributes including such things as: soil type, soil fertility, soil structure, soil permeability, soil stability, aspect, contour, slope, and drainage pattern;
- For agricultural applications; how the use or development relates to agricultural land use, agricultural diversification, and natural resource management;
- The maintenance of farm production and the impact on the agricultural economy;
- The suitability of the site for the proposal and the compatibility with adjoining and nearby farming activities;
- The need to prepare an integrated land management plan;
- The requirements of any existing or proposed rural industry (especially value-added or downstream industries);
- The impact in agricultural areas on any existing or proposed agricultural infrastructure;
- The need to prepare an Environmental Effects Statement (EES), or an Environmental Impact Statement (EIS) for any proposal;
- Any likely environmental impacts on the natural physical features and resources of the area, in particular any impact caused on the soil or water quality or by the emissions of noise, dust or odors;
- Any likely impacts upon flora, fauna, and landscape features of the area, particularly endangered native vegetation or fauna;
- The need for particular requirements for the repair or restoration of the environment;
- The need or otherwise for any dwelling(s) in association with the proposed use or development;
- The need for and impact(s) of any roads, access ways, paths, on the agricultural environment, and the justification for their need in support of the proposal;

- The need for, and visual impact (or otherwise) of any proposed advertising signage, either free-standing or attached to the proposed development;
- In floodplains, the compatibility of the proposal having regard to known flood risks;
- Any local flood plain plans or flood risk reports;
- Any comments or requirements from the relevant flood plain management authorities.

The following matrix links the foregoing assessment / decision guidelines to the zones under the current Model Zoning Ordinance (ZO). The extent of their application is **advisory** only, however consideration of different types of development applications against the criteria will result in better environmental, urban amenity and development solutions/outcomes.

<p>These decision guidelines are advisory only. Their application will produce better assessment and outcomes, however the extent to which they are applied in each case should be decided on a case to case basis.</p> <p>Assessment / Decision Guidelines for Development Applications</p>		General Res. Zone (GRZ)	Socialized Housing Zone (SHZ)	Low Density Res. Zone (R-1)	Med. Dens. Res. Zone (R-2)	High Dens. Res. (R3)	Gen. Comm. Zone (GCZ)	Low Dens. Comm. Zone (C-1)	Med Dens. Comm. Zone (C-2)	High Dens. Comm. Zone (C-3)	Light Industrial Zone (I-1)	Med. Ind. Zone (I-2)	Heavy Ind. Zone (I-3)	Gen. Institutional Zone (GIZ)	Spec. Instit. Zone (SIZ)	Agricultural Zone (AGZ)	Agro-Industrial Zone (AIZ)	Forest Zone (FZ)	Parks & Other Rec. Zone (PRZ)	Water Zone (WZ)	Tourist Zone (TZ)	
1	Compliance with all relevant national laws and policies;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
2	Compliance with all relevant ordinances and resolutions of the city's SP;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
3	Compliance with the relevant policies of the zoning ordinance;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
4	The primary purpose of the zone;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
5	That the proposal is not prohibited under the zone;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
6	Complies with any special requirements for such a use within the zoning ordinance;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
7	That the proposal does not inhibit the orderly planning of the area generally;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
8	That the proposal enhances the amenity of the area (but at the very least, does not detrimentally effect the amenity of the area);	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
9	The proximity of the development to any public land and the likely impacts;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
10	Factors like to contribute to land degradation, salinity, or reduction of water quality;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
11	Whether the proposal will generate undesirable off-site impacts from uncontrolled or untreated storm water flows;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
12	The extent and nature of vegetation on the site and likelihood of its destruction;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
13	Whether on-site vegetation can be protected, planted, or allowed to re-generate;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
14	The degree of flood erosion or fire hazard associated with the location of the land or the proposed use or development, or any proposed management measures to minimize such hazards;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
15	The effect that existing uses on nearby or adjacent land may have on the proposed use;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•

<p><i>These decision guidelines are advisory only. Their application will produce better assessment and outcomes, however the extent to which they are applied in each case should be decided on a case to case basis.</i></p> <p>Assessment / Decision Guidelines for Development Applications</p>		General Res. Zone (GRZ)	Socialized Housing Zone (SHZ)	Low Density Res. Zone (R-1)	Med. Dens. Res. Zone (R-2)	High Dens. Res. (R3)	Gen. Comm. Zone (G0Z)	Low Dens. Comm. Zone (C-1)	Med. Dens. Comm. Zone (C-2)	High Dens. Comm. Zone (C-3)	Light Industrial Zone (I-1)	Med. Ind. Zone (I-2)	Heavy Ind. Zone (I-3)	Gen. Institutional Zone (GIZ)	Spec. Instit. Zone (SIZ)	Agricultural Zone (AGZ)	Agro-Industrial Zone (AIZ)	Forest Zone (FZ)	Parks & Other Rec. Zone (PRZ)	Water Zone (WZ)	Tourist Zone (TZ)	
16	<p>The availability and provision of utility services such as:</p> <ul style="list-style-type: none"> Storm water drainage; Electricity/power; Gas; Reticulated water; Reticulated sewer; Telecommunications; Other approved sewer systems; Any other relevant matters; 	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
17	The effects of any traffic to be generated by the use or development;	•	•	•	•	•	•	•	•	•	•	•	•	•	•				•			•
18	The use (or interim use) of those parts of the land not required for the proposed use or development;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•				•		•
19	The design of the building(s) including adequate provision for daylight and solar access;	•	•		•	•	•							•	•							
20	The design of buildings to maximize conservation and energy efficiency;	•	•	•	•	•	•	•	•	•	•	•	•	•	•					•		•
21	Provision for on-site car parking and loading bay facilities;					•	•	•	•	•	•	•	•	•	•	•	•	•				•
22	Requirement for professionally prepared traffic generation and traffic impact assessment for major developments (major to be defined by SP ordinance, resolution or policy direction);					•	•	•	•	•	•	•	•	•			•			•		•
23	Provision for on-site landscaping, particularly fast growing shade trees;	•	•	•	•	•		•	•		•	•	•	•	•		•			•		•
24	For use or development in areas adjoined by different zones; extent of proposed buffers (distance or other approved functional treatments), or the compatibility (or otherwise) of the proposed use or development to other existing uses or developments;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
25	For industrial uses or developments; the effect that the proposal may have on nearby existing or proposed residential areas or other uses that are sensitive to industrial off-site effects;										•	•	•	•			•					

	<p>These decision guidelines are advisory only. Their application will produce better assessment and outcomes, however the extent to which they are applied in each case should be decided on a case to case basis.</p> <p>Assessment / Decision Guidelines for Development Applications</p>	General Res. Zone (GRZ)	Socialized Housing Zone (SHZ)	Low Density Res. Zone (R-1)	Med. Dens. Res. Zone (R-2)	High Dens. Res. (R3)	Gen. Comm. Zone (GCZ)	Low Dens. Comm. Zone (C-1)	Med. Dens. Comm. Zone (C-2)	High Dens. Comm. Zone (C-3)	Light Industrial Zone (I-1)	Med. Ind. Zone (I-2)	Heavy Ind. Zone (I-3)	Gen. Institutional Zone (GIZ)	Spec. Instit. Zone (SIZ)	Agricultural Zone (AGZ)	Agro-Industrial Zone (AIZ)	Forest Zone (FZ)	Parks & Other Rec. Zone (PRZ)	Water Zone (WZ)	Tourist Zone (TZ)
26	The effect on the free movement of pedestrians, cyclists, supply vehicles, waste removal, emergency services, and public transport;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•				•
27.	The location of garbage storage or waste collection area or facilities, and areas for sorting, storing and removal of re-cyclables (critical in shopping areas);	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•		•		•
28.	Defining who is responsible for on-going and regular maintenance of buildings, landscaping, and paved areas;				•	•	•	•	•	•	•	•	•	•	•	•	•				•
29	Any natural or cultural values on or near the land such as heritage classified sites, objects, or buildings;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•				•
30	The capability of the land to accommodate the proposed use or development, addressing site quality attributes including such things as soil type, soil fertility, soil structure, soil permeability, soil stability, aspect, contour, slope, and drainage pattern;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
31.	For agricultural applications; how the use or development relates to agricultural land use, agricultural diversification, and natural resource management;															•	•				
32.	The maintenance of farm production and the impact on the agricultural economy;															•	•				
33	The suitability of the site for the proposal and the compatibility with adjoining and nearby farming activities;															•	•				
34	The need to prepare an integrated land management plan;															•	•				
35.	The requirements of any existing or proposed agricultural industry (especially value-added or downstream industries);															•	•				
36	The impact in agricultural areas on any existing or proposed agricultural infrastructure;															•	•				

<p>These decision guidelines are advisory only. Their application will produce better assessment and outcomes, however the extent to which they are applied in each case should be decided on a case to case basis.</p> <p>Assessment / Decision Guidelines for Development Applications</p>		General Res. Zone (GRZ)	Socialized Housing Zone (SHZ)	Low Density Res. Zone (R-1)	Med. Dens. Res. Zone (R-2)	High Dens. Res. (R3)	Gen. Comm. Zone (GCZ)	Low Dens. Comm. Zone (C-1)	Med. Dens. Comm. Zone (C-2)	High Dens. Comm. Zone (C-3)	Light Industrial Zone (I-1)	Med. Ind. Zone (I-2)	Heavy Ind. Zone (I-3)	Gen. Institutional Zone (GIZ)	Spec. Instit. Zone (SIZ)	Agricultural Zone (AGZ)	Agro-Industrial Zone (AIZ)	Forest Zone (FZ)	Parks & Other Rec. Zone (PRZ)	Water Zone (WZ)	Tourist Zone (TZ)	
37.	The need to prepare an Environmental Effects Statement (EES), or an Environmental Impact Statement (EIS) for any proposal;									•		•	•				•	•	•	•	•	•
38.	Any likely environmental impacts on the natural physical features and resources of the area, in particular any impact caused to the soil or water quality or by the emissions of noise, dust or odors;					•				•		•	•			•	•					•
39.	Any likely impacts upon flora, fauna, and landscape features of the area, particularly endangered native vegetation or fauna;	•				•				•			•			•	•	•	•	•	•	•
40.	The need for particular requirements for the repair or restoration of the environment;	•				•				•			•			•	•	•	•	•	•	•
41.	The need or otherwise for any dwelling(s) in association with the proposed use or development;									•	•	•	•	•	•	•	•	•	•	•	•	
42.	The need for any impacts(s) of any roads, access ways, paths, on the agricultural environment, and the justification for their need in support of the proposal;															•	•	•	•	•		•
43.	The need for, and visual impact (or otherwise) of any proposed advertising signage, either free-standing or attached to the proposed development;						•	•	•	•	•	•	•			•	•	•	•	•	•	•
44.	In floodplains, the compatibility of the proposal having regard to known flood risks;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
45.	Any local flood plain plans or flood risk reports;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•
46.	Any comments or requirements from the relevant flood plain management authorities;	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•	•

Project Support

HLURB Commissioners

Chairman	:	Michael T. Defensor
Chief Executive Officer and Commissioner	:	Romulo Q. Fabul
Commissioner	:	Teresita A. Desierto
Commissioner	:	Francisco L. Dagñalan
Commissioner	:	Roque Arrieta Magno
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