URPL-GP 4665. Fall 2013
Decentralized Development Planning in Developing Countries (DDP)

Course Information

Venue and Time
Class meets at 25 West 4th Street, Room C-20
Tuesdays from 6:45pm to 8:25pm
The course starts on Tuesday, September 3, 2013

Instructor and Office Hours
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Office hours: Tuesdays 4-6 pm Puck Building (by appointment)

Teaching Assistant
The teaching assistant for the course is Giuliano Bosi. He has some grading and instructional responsibilities and may be contacted for assistance. His email is: giuliano.bosi@locdev.org

Course Goals
The main goals of the course are:
1. To familiarize students with the structure and scope of sub-national planning systems set up in conjunction with decentralization reforms in developing countries, and with corresponding efforts by international development agencies to support them.
2. To introduce students to the institutions (organizations and procedures) of decentralized development planning and illustrate both the advances made and the challenges faced by efforts to reform planning systems and develop strategic planning capabilities at the sub-national level in developing countries.
3. To introduce students to common techniques for preparation of strategic development plans and investment programs and projects in developing countries.

Course Description
The last three decades have witnessed a global proliferation of public sector reform, decentralization, and democratization in developing countries. Traditional development planning has adapted to these trends as they have unfolded and sub-national development planning systems of varying structure and scope have emerged. A central theme is that the structure of a planning system and its success in producing good results depend heavily on the economic, political, institutional and cultural context of a particular country. The course outlines and evaluates conceptual planning models and systems, reviews approaches used by developing countries and international development agencies to support decentralization and local development planning, and introduces a range of practices and tools commonly used by local planners in developing countries. The overall focus is on how local planning systems can be strategically designed and implemented along with technical planning tools to work effectively
in different country contexts. Detailed case studies and exercises based on them are an integral part of the course.

Course Format
The class will meet weekly for the first half of the semester. The format will blend lecture and discussion. Class participation is encouraged and expected. Some of the assignments will require group work.

Requirements
The grade will be based on the following:

- **Assignment 1** Covering Part I (25%)
- **Assignment 2** Covering Part II (25%)
- **Assignment 3 (Final)** Covering Part III (40%)
- **Class Participation** (10%)

The assignments will involve a mixture of specific questions to be answered and application of planning tools and techniques. The 3rd Assignment will count also as Final Exam (take home) and will simulate a strategic planning exercise based on a case presenting local development problems/opportunities. Details on all of the assignments will be provided in class.

Readings
There are no required text books for the course. Relevant readings are provided on the Blackboard course site or can be downloaded from web-sites provided in the reading list in the course outline below. Please note that some web sites for journals that the NYU Library subscribes to can only be accessed from your NYU email account. You cannot get into these sites from other email addresses unless you have a personal subscription to the journal.

The reading list also provides both required readings and other (optional) readings. Guidance about the required and optional readings will be given regularly.

The NYU Classes course site contains a collection of reference materials on decentralization and sub-national planning systems in the following countries:
- Cambodia
- Kenya
- Nicaragua
- Philippines
- South Africa
- Uganda
- Vietnam
Course Outline and Schedule

PART 1: Concepts

Session 1 TUESDAY 3 September 2013 6:45pm-8:25pm

Decentralization reforms, sub-national planning systems and external aid

Outline

The session starts with defining decentralization and contrasting centralized and decentralized governance and public administration systems. It highlights the issues of system’s architecture, functions, resources and personnel, which need to be addressed in the transition from centralization to decentralization.

This is followed by a discussion of the problematic relation between decentralization and development, the limitations and inconclusiveness of the empirical literature discussing such relation, and the many conditions necessary for decentralization to generate expected positive governance and development outcomes.

The lecture then moves to a more detailed discussion of how the choices made with respect to design and implementation of decentralization reforms do shape sub-national planning systems and affect the actual scope and content of sub-national development plans, programs and projects.

It concludes by a quick review of the main approaches adopted by international aid agencies to support sub-national development planning, highlighting differences and limitations.

Readings

Required


Other


Session 2 TUESDAY 10 September 2013 6:45pm-8:25pm

The public expenditure management (PEM) cycle and the rationale of decentralized development planning

Outline
This session places the preparation of development plans by national and sub-national governments (planning in the public sector) within the broader framework of public sector expenditure management (PEM).

It reviews the PEM cycle and the basic principles that underlie PEM systems and highlights the relation of planning with multi-year public investment programming and annual budgeting at both national and sub-national level.

It concludes by resuming the discussion on the relation between decentralization and development started in the previous session, and extends it to a discussion of the developmental rationale of decentralized development planning by autonomous local authorities.

Readings

Required
Asian Development Bank, What is Public Expenditure Management (PEM)? The Governance Brief, ADB, Manila, Issue 1-2001


L. Romeo, Decentralizing for Development: the developmental potential of local autonomy and the limits of politics-driven decentralization reforms. Swedish International Center for Local Democracy (ICLD) 2012, Working paper n. 11

Other


T. Hadingham, Decentralization and Development Planning: Some Practical Considerations, DFID 2003
PART 2: Systems

Session 3 TUESDAY 17 September 2013 6:45pm-8:25pm

Reforming sub-national planning systems: issues, policy choices and strategic management of the reforms

Outline

This session reviews the “building blocks” of a sub-national planning system: (i) the territorial scale of planning (ii) the planning instruments, (iii) the planning process, (iv) the planning institutions, (v) the planning timeframe and (vi) the national planning oversight and support mechanisms.

The discussion highlights the policy choices that may be made with respect to each of the above dimensions and illustrates them with a comprehensive review of the case of Cambodia where a sub-national planning policy framework to guide the reform of the sub-national planning system is currently being considered. Reference is also made to the Philippines and South Africa cases (for which relevant reading materials are provided).

Drawing on recent efforts to reform the national development planning system in Vietnam, the session also discusses how such reform may be strategically pursued by domestic champions and supported by aid agencies.

Readings

Required


L. Romeo, Capacity Development for Planning Reform in Vietnam: Report prepared for the BTC, Hanoi 2013. Read Chapters 1 and 2 and section 3.7


Department of Provincial and Local Government (DPLG), Integrated Development Planning in South Africa, IDP Guide Pack, General Overview


L. Romeo, Sub-National Administration Planning and Investment Programming System, A Sub-program of the National Program for Democratic Decentralization of the Kingdom of Cambodia. (Phnom Penh: Ministry of Planning, 2011).


Session 4 TUESDAY 24 September 2013 6:45pm-8:25pm

Strategic Planning for local development and the experience of Cities Development Strategies

Outline

The session starts by reviewing what a strategy is and how it relates to the hierarchy of public policy instruments to manage development (plans, policies, programs, projects and regulatory measures). It then reviews the rationale for local government adoption of “strategic planning” and for embarking in the preparation of both community-wide and LG corporate strategic plans. It then moves to an illustration of strategic planning as practiced in the preparation of Cities Development Strategies (CDS) by an increasing number of cities in developing countries, highlighting both process and outcomes. It concludes with a more detailed review of how a strategic planning approach, beyond its relevance for services delivery and environmental management, may also contribute to the promotion of Local Economic Development (LED).
Readings

Required


Other


M. Bateman, J.P. Duran Ortíz and K. Maclean A post-Washington consensus approach to local economic development in Latin America? An example from Medellin, Colombia ODI Background Note April 2011

Session 5 TUESDAY 1 October 2013 6:45pm-8:25pm

Spatial planning and the integration of socio-economic and physical planning

Outline

This session reviews the emerging “spatial planning” approach and the integration of physical/environmental and socio-economic development planning. It illustrates recent practices with the case of South Africa and the Philippines, where the preparation of "Spatial Development Frameworks (SDF)" and other spatial planning instruments is a key component of
Integrated/Strategic Development Planning processes. The session then focuses on the relation of spatial planning instruments to infrastructure investment programming and to the management of land use and the built environment.

**Readings**

Required


Housing and Land Use Regulatory Board (Philippines) Guidelines for the Application of the Strategic Planning Process in the Preparation of the Comprehensive Land Use Plan (CLUP), (Manila, 2001).


Other

Ethekwini (Durban) Municipality (2013), *Spatial development Framework Report 2013/14*

Thodes A. Rethinking Spatial Planning


**REINVENTING PLANNING: A NEW GOVERNANCE PARADIGM FOR MANAGING HUMAN SETTLEMENTS** A Position Paper developing themes from the Draft Vancouver Declaration for debate leading into the World Planners Congress, Vancouver 17-20 June 2006

PART 3: Techniques

Session 6 TUESDAY 8 October 2013 6:45pm-8:25pm

Techniques for strategic development planning and investment programming (1)

Outline

This session reviews the basic techniques of SWOT analysis, Means-Ends analysis and the logical framework approach (LFA) as applied, in strategic planning processes, to identify strategic goals and develop the policies, programs and projects to achieve them.

Readings

Required

Bryson J.M. A strategic planning process for public and non-profit organizations 
Long Range Planning, Volume 21, Issue 1, February 1988, Pages 73-81


EuropeAid Co-Operation Office, Project Cycle Management Manual (Brussels: European Commission, 2004), page 64 on SWOT and Chapter 5 on the LFA,

Other

Lutz Horn-Haacke Using SWOT for Project Team Planning Sessions (NB: useful guidance for completion of Assignment 3) 


Session 7 TUESDAY 15 October 2013 6:45pm-8:25pm

Techniques for strategic development planning and investment programming (2)

Outline

This session reviews the practice of local-level capital programming and presents a simple system (recently developed by the Cities Development Initiative for Asia- CDIA) to support effective municipal level investment programming and related decision-making. It then discusses the relevance of multi-criteria decision making (MCDM) methods for strategic planning and investment programming and demonstrates the use of some techniques (Weighed Sum Model-WSM and Analytical Hierarchy Process-AHP) for prioritization of strategies, programs and projects. It concludes with a conceptual presentation of Cost-benefit Analysis – CBA, for financial and economic appraisal (ex-ante evaluation) of development interventions.

Readings

Required

Cities Development Initiative for Asia, Moving from Strategies to Bankable Investment Projects: City Infrastructure Investment Programming & Prioritization Toolkit (Manila: CDIA, 2010).

UK Department for Communities and Local Government, Multi-criteria analysis: a manual, (London, 2009), Ch. 2 pp. 9-13, Ch. 4 pp. 19-29, Ch. 6 pp 46-71.


[ NB: a free AHP Excel Template, with instructions on its use can be downloaded from http://bpmsg.com/new-ahp-excel-template-with-multiple-inputs/ ]


Other


V. Elmer, Capital Improvement Plans and Budgets, (Cambridge, MA: Lincoln Institute, 2009).


Nick Hanley and Edward B. Barbier, Pricing Nature : Cost-Benefit Analysis and Environmental Policy (2009), Chapters 1 and 2, pages 1-43
