URPL-GP 2665: Decentralized Development Planning in Developing Countries

Spring 2020

Instructor Information

- Paul Smoke
  - Tel: (212) 998-7497
  - Email: paul.smoke@nyu.edu
  - Office Address: Puck Building, Room 3052
  - Office Hours: Tuesdays, 3:00-5:00 pm and by appointment

- Giuliano Bosi
  - Office Address: Puck Building, Room 3045
  - Phone: (917) 485-2248
  - Email: giuliano.bosi@nyu.edu
  - Office Hours: Mondays, 2:00-4:00 pm and by appointment

- Vanessa Leon
  - Office Address: Puck Building, Room 3069
  - Phone: (212) 998-7421
  - Email: vanessa.leon@nyu.edu
  - Office Hours: Tuesdays, 3:30-5:30 pm and by appointment, www.calendly.com/professorleon

Course Information

- Class Time: Mondays, January 27 – May 11, 4:55-6:35 p.m.
- Class Location: Silver Center for Arts and Sciences, Room 500

Course Description

The last several decades have witnessed a global proliferation of public sector restructuring, decentralization, and democratization in developing countries. Traditional development planning has adapted (unevenly) to these trends as they have unfolded. This course presents an overview of the evolution of the theory and practice of planning in developing countries with a particular focus on subnational governments. A central theme is that there are certain universal norms and processes in development planning, but the structure and performance of a planning system depend heavily on the economic, political, institutional and cultural context of a particular
country. The course outlines and assesses planning models and systems, reviews approaches used by developing countries and international development agencies to support decentralization and local planning, and introduces selected practices used by local planners in developing countries. The overall focus is on how local planning systems, processes and techniques can be strategically designed and implemented to work effectively in different contexts. Case studies and exercises based on them are an integral part of the course.

Course Objectives

By the end of the course participants will:

1. Understand the evolution of the theory and practice of development planning and related public sector systems and procedures in developing countries;
2. Be familiar with common types of development planning systems and efforts to decentralize planning processes and improve governance and civic engagement;
3. Have an introductory understanding of efforts to pursue a more strategic integrated approach to local planning in developing countries;
4. Be aware of the approaches of international development agencies to supporting more effective local development planning; and
5. Be able to think more effectively about how to cope with real-world constraints on effective decentralized development planning.

Course Format

The class will meet weekly. The format will blend lecture, in-class exercises and discussion. Class participation is encouraged and expected. Some of the assignments will require group work, but the largest share of the grade is based on individual assignments.

Course Readings

There are no required text books for the course. In part this is because the literature on the topic is rather disjointed--some is more conceptual, while other material is more technical; some is rather general, while other material is fairly specific to industrialized or developing countries; some is more oriented towards the goals of planning, while other material centers on processes; some of the concepts, approaches and techniques are relatively new, while others have been around for a long time (although they may have evolved considerably).

Accordingly, we have selected a set of readings that we think contribute to understanding current thinking on the topics being covered. These readings are a mixture of a few older classics and more recent work by both academics and practitioners broadly drawn from the planning, social science and public management literatures. The readings are intended to illustrate the state of the academic and practitioner literature--they are not comprehensive.
The readings for each section are divided into three groups—primary, recommended and supplementary. The primary readings are required. The recommended readings are also important and will generally be discussed in class, but they are less central than the primary readings. The supplementary readings are optional for those who wish to further explore specific topics, including to develop ideas for their final presentations and papers.

Primary and recommended readings are provided on the NYU Classes course site or can be downloaded from websites provided in the reading list. Some of the supplementary readings are posted on NYU Classes or links are provided, but for books and some other readings you will have to locate on your own in the NYU Library or elsewhere.

You should be aware that the readings vary in quality and complexity, and the connections among some of them may not always seem obvious. We try to synthesize the material in class and we often talk about issues that are not directly covered in the readings. Given this, it is important for you to check in with us or a classmate on what was covered if you are unable to attend class.

Please note that some websites for journals that the NYU Library subscribes to must be accessed through NYU Home using your NYU login. You cannot get into password-protected sites from other email addresses unless you have a personal subscription to the journal.

Although there is no text book, we posted on NYU classes a useful volume prepared for Habitat III by the Inter-American Development Bank, UN-Habitat and the Development Bank of Latin America: D. Gomez-Alvarez, R. Rajack, E. Lopez-Moreno and G. Lanfranchi, eds. Steering the Metropolis: Metropolitan Governance for Sustainable Development. (Washington, DC: Inter-American Development Bank, 2017). It contains chapters on topics relevant for the course as well as a range of case studies of particular cities. Some chapters may be of interest to you and may also be useful in considering and framing your final course presentations and papers.

At the end of the Resources area of NYU Classes is a folder with a set of selected case materials on decentralization and a folder with a set of selected case materials on subnational/ intergovernmental planning systems. We will refer to these from time to time and may add additional cases. These may be useful as supplementary reading and/or for developing your final course presentations and papers.

Course Requirements

The grade will be based on the following requirements:

- **Exercise 1** (Team) (10%) Due February 20
- **Exercise 2** (Individual) (25%) Due March 25
- **Exercise 3** (Team) (10%) Due April 13
- **Class Attendance and Participation** (10%)
- **Final Presentation** (Team) (15%) In Class May 4 and 11
- **Final Paper** (Individual) (30%) Due May 18
The assignments will variously involve a mixture of questions to be answered, analysis of policy situations, and the application of basic planning tools and techniques. The final presentation (team) requires you to assess the system (or some aspect) of decentralized development planning in a particular country and the final paper (individual) can build on the presentation or be on a topic or theme of your choice subject to faculty approval. Details will be provided in class.

Please note that the attendance requirement is subject to NYU's Policy on Religious Holidays (https://www.nyu.edu/about/policies-guidelines-compliance/policies-and-guidelines/university-calendar-policy-on-religious-holidays.html)

Please note that extensions on assignment due dates will be granted only if requested in advance for well justified reasons. This policy is adopted out of respect to those who have abided by deadlines, despite having hectic and complex schedules. Assignments handed in late without approved extensions will be penalized one-third of a grade per day.

**Academic Honesty and Grading Policy**

This course will be governed by the NYU Wagner School policy guidelines on academic honesty and grading. It is each student’s responsibility to become familiar with these policies. All Wagner students have already read and signed the Wagner Academic Oath and are expected to pursue and meet the highest standards of academic excellence and integrity. Plagiarism of any form will not be tolerated and students in this class are expected to report violations to me. If any student in this class is unsure about what is expected of you and how to abide by the academic code, you should consult with me. Please see the NYU Wagner Student Portal for detailed information on the academic code and grading policy.

- Academic Code (https://wagner.nyu.edu/portal/students/policies/code)
- Grading (https://wagner.nyu.edu/portal/students/policies/grading)

Henry and Lucy Moses Center for Students with Disabilities at NYU

Academic accommodations are available for students with disabilities. Please visit the Moses Center for Students with Disabilities (CSD) website and click on the Reasonable Accommodations and How to Register tab or call or email CSD at (212-998-4980 or mosescsd@nyu.edu) for information. Students requesting academic accommodations are strongly advised to reach out to the Moses Center early in the semester for assistance.
URPL-GP 2201: Decentralized Development Planning in Developing Countries

Course Schedule Spring 2020

I. OVERVIEW & KEY PLANNING ISSUES IN DEVELOPING COUNTRIES (1/27-2/10)
   1. The Evolution of Development Planning Paradigms and Cultures (1/27)
   2. The Rural-Urban Debate in Development Planning (2/3)
   3. Development Planning and Public Expenditure Management (2/10)
      Exercise 1 (Team) distributed: Due February 20

II. DECENTRALIZATION AND THE TRANSFORMATION OF MULTI-LEVEL
    PLANNING AND FINANCING SYSTEMS (2/24-3/11)
    (No Class on 2/17--Presidents Day Holiday--or 3/16--Spring Break)
   1. Decentralization: Local Governments, Participation and Partnerships (2/24)
   3. Urban and Metropolitan Governance and Finance (3/9)
      Exercise 2 (Individual) distributed: Due March 25

III. PARTICIPATORY PLANNING & COMMUNITY EMPOWERMENT (3/23 and 3/30)
   1. The Role of Public Participation in Local Development Planning
   2. Case Study
      Exercise 3 (Team) distributed: Due April 13

IV. STRATEGIC INTEGRATED DEVELOPMENT PLANNING (4/6-4/13)
   1. An Integrated Territorial Approach to Local Development Planning (4/6)
   2. Case Study (4/13)

V. BUILDING DEVELOPMENT PLANNING SYSTEMS AND THE ROLE OF
   INTERNATIONAL DEVELOPMENT ASSISTANCE (4/20-4/27)
   1. Approaches to Building Decentralized Planning Systems (4/20)
   2. Case Study (4/27)

VI. TEAM PRESENTATIONS, SYNTHESIS AND LOOKING FORWARD (5/4-5/11)
   1. Team Presentations I (5/4)
   2. Team Presentations II and Open Discussion (driven by student questions submitted in
      advance) (5/11)

FINAL ASSIGNMENT (Individual): Due May 18
I. OVERVIEW AND KEY DEVELOPMENT PLANNING ISSUES IN DEVELOPING COUNTRIES (January 27-February 10)

Prior to doing the other required readings, please have a quick look at the following two (very different) cases written by applied planning researchers from Zimbabwe and Bangladesh. You do not need to focus on the details (we will look at detailed cases later), but please think about the main messages and questions that you believe are raised by the experiences:


For those who need a concise review/refresher of international development thinking (especially for those without an international development background), you may wish to read:


1. The Evolution of Development Planning Paradigms and Cultures (January 27)

This session concisely reviews the evolution of development planning in developing countries, following the transformation from a focus on economic growth to a broader development perspective; from dominance by technical analysis to a greater incorporation of political process; and from centralized to more decentralized planning. We also briefly consider the role of planning culture and the transferability of planning approaches across different contexts.

Primary Readings


Readings marked with an "*" are available on NYU Classes. Online links are marked with “**".

**Recommended Readings**


**Note:** *National Development Plans* for selected countries that we will be discussing to varying degrees during the semester--Cambodia, Indonesia, Kenya, Mexico, the Philippines, South Africa, and Uganda--are located in a labeled sub-folder on NYU Classes under Part I. You may wish to have a quick look at some of them to get a sense of what plans look like.

**Supplementary Readings**

• D. Conyers and P. Hills, *An Introduction to Development Planning in the Third World* (Chichester: John Wiley and Sons, 1984).
2. The Rural-Urban Debate in Development Planning (February 3)

This session introduces a long-contested issue in development with considerable relevance for planning—the relative role of rural areas versus urban areas in promoting economic development and social well-being. We take a brief look at some key issues and trends and note the growing re-emergence of interest in rural-urban linkages, secondary cities and national urban strategies.

Primary Readings


Recommended Readings


Supplementary Readings


3. **Development Planning and Public Expenditure Management** (February 10)

This session places development planning in the broader framework of public expenditure management (PEM), which has been a neglected element in the planning literature. We review basic PEM principles and the PEM cycle and highlight the relationships between development planning and multi-year investment programming and annual budgeting.

**Primary Readings**


**Recommended Readings**

Supplementary Readings

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

II. DECENTRALIZATION AND THE TRANSFORMATION OF MULTI-LEVEL PLANNING AND FINANCING SYSTEMS (February 24-March 9)

1. Decentralization: Local Government, Participation and Partnership (February 24)

This session provides an overview of public sector decentralization and the role of local governments in development planning in the context of diverse and often complex multi-actor environments.

Primary Readings


Recommended Readings


Supplementary Readings


This session examines the ways in which local and urban governments are embedded in larger national institutional and fiscal structures and considers how this affects their ability to develop and implement development plans. Given the great institutional variation across counties, we briefly consider selected cases to illustrate a range of intergovernmental arrangements for delivering public functions, including development planning.

**Primary Readings**


**Recommended Readings**


**Supplementary Readings**

- *C. Leuprecht and H. Lazar. "From Multi-level to Multi-order Governance?" In H. Lazar and C. Leuprecht, eds. Spheres of Governance: Comparative Studies of Cities in


3. Urban and Metropolitan Governance and Finance (March 9)

Primary Readings


Recommended Readings

- *UN-Habitat. The Challenge of Local Government Financing in Developing Countries. (Nairobi: UN-Habitat, 2015), (Read Introduction and skim chapters of interest).

Supplementary Readings


III. PARTICIPATORY PLANNING AND COMMUNITY EMPOWERMENT
(March 23-30)

This session explores theoretical and conceptual frameworks for ‘public participation’ in planning processes as well as practical considerations for public engagement in planning outcomes. Participatory budgeting, one of the most popular forms of public participation and bottom-up governance is also assessed. Case material will be provided in advance.

Primary Readings


Recommended Readings


Supplementary Readings


IV. STRATEGIC INTEGRATED TERRITORIAL DEVELOPMENT PLANNING  
(April 6-13)

This session reviews the evolving movement towards subnational plans that strategically integrate spatial, socioeconomic and environmental planning. We highlight and policy decisions that must be made about the territorial scale of planning, planning instruments and processes, multi-level coordination; and national oversight and support. We conclude by outlining an emerging synthetic territorial approach to local development. *Case material will be provided in advance.*

**Primary Readings**

* L. Romeo, *A Territorial Approach to Local Development* (Brussels: European Commission DEVCO-B2, 2014), (Executive Summary, Ch. 1 and Ch. 2, pp. 4-32).

**Recommended Readings**

* UN-Habitat. International Guidelines on Urban and Territorial Planning (Nairobi, 2015). (Skim)

**Supplementary Readings**

V. BUILDING DEVELOPMENT PLANNING SYSTEMS AND THE ROLE OF INTERNATIONAL DEVELOPMENT ASSISTANCE (April 20-27)

This session reviews the evolution of approaches used by developing countries and international development partners to build local development planning systems, governance and capacity. We link these various approaches to broader international donor agency support for decentralization. Case material will be provided in advance.

Primary Readings


**Recommended Readings**


**Selected recent approaches and initiatives may be explored at:**

  [https://www.youtube.com/playlist?list=PLopq6yGfmFAv6CFB0hkSm2z_lWrW_p2wH](https://www.youtube.com/playlist?list=PLopq6yGfmFAv6CFB0hkSm2z_lWrW_p2wH)


**Supplementary Readings**

V. PRESENTATIONS, SYNTHESIS AND LOOKING FORWARD (May 4 and May 11)

In this section, student teams will give presentations on decentralized development planning in specific countries. Each presentation will be followed by a brief discussion period.

In the second part of the final class meeting, the instructors will provide some synthetic comments, but the focus will be on an open discussion driven by student questions about key lessons from experience, ongoing debates and future directions and prospects for local and intergovernmental planning. Class members will be asked to submit questions one week in advance of the final class.

Individual final papers are due no later than 5 pm on May 18th.