

IHS SINPA PAPERS

SINPA NUMBER 19 / 2001 INTERNATIONAL

INSTITUTE FOR HOUSING AND URBAN DEVELOPMENT STUDIES

ROTTERDAM / THE NETHERLANDS

Process, politics and participation

Experiences with strategies for local capacity building

Edited by:

André Herzog

Leon van den Dool

Forbes Davidson

Reinhard Skinner

IHS 
Making Cities Work

SINPA
CENTRE FOR IMPLEMENTATION
OF NATIONAL PLANS OF ACTION

Institute for Housing and Urban Development Studies

Process, Politics and Participation

Experiences with strategies for local capacity building

Seminar Report

Rotterdam September 2000



Institute for Housing and Urban Development Studies

The Institute for Housing and Urban Development Studies (IHS) is an independent foundation with its home base in Rotterdam, The Netherlands. The Institute, established in 1958, is active in the field of housing and urban development in Asia, Latin America, Africa and in Central and Eastern Europe, focusing particularly on approaches relevant to low-income groups. IHS offers post-graduate training, research and advisory services to national and local governments, multilateral and bilateral development agencies and private companies.

Support for Implementation of National Plans of Action (SINPA)

SINPA is a programme that aims to implement some of the ideas of Habitat II and National Plans for Action for Human Settlements by supporting efforts of pilot cities and disseminating the results. The programme focus is on building sustainable local capacity for effective planning and management of urban development.

SINPA has four broad components: three country programmes based in Bangladesh, Bolivia and Zambia and a core programme in Rotterdam responsible for overall co-ordination, research and dissemination.

The SINPA programme is funded by the Netherlands Directorate General for Development Cooperation together with the cities of Tangail, Santa Cruz, Kitwe and the Government of Bangladesh, Bolivia and Zambia

Edited by:

André Herzog, Leon van den Dool, Forbes Davidson and Reinhard Skinner
Institute for Housing and Urban Development Studies

Correspondence:

IHS Publications
SINPA Research Report Series
P.O. Box 1935
3000 BX Rotterdam
The Netherlands
Phone: + 31 10 402 15 64
Fax: + 31 10 404 56 71
Email: publications@ihs.nl
Website: www.ihs.nl/sinpa

© Institute for Housing and Urban Development Studies, Rotterdam, The Netherlands 2000

Foreword

On 19, 20 and 21 September 2000 an international seminar to share the ongoing experience with SINPA, was held at I.H.S. in Rotterdam. Delegations from Zambia, Bangladesh and Bolivia met in the Netherlands.

After preparations in 1997 and the first half of 1998 the project was started in Santa Cruz (Bolivia), Kitwe (Zambia) and Tangail (Bangladesh). The project was supported by the Netherlands Government and aimed at supporting the implementation of the national plans of action that were formulated during the Habitat conference in 1996. I.H.S. is the contractor for the project, while the implementation is done through the staff in Rotterdam and local teams in all three countries.

The international seminar was an opportunity to exchange experiences and learn from each other. On the first day the progress of the project in each country was presented. It became clear that capacity building through local organisations is a long term but promising strategy. The Sinpa activities are followed with interest in each city by the central governments and other cities. On the second day the discussion focused on practical themes that are relevant for the programmes in all three countries. These themes were Solid Waste Management, Financial Improvement Planning in Local Government and Participation and Planning.

For Solid Waste Management it became clear that a vital problem in all three cities is a clear definition of the roles, rights and responsibilities of the stakeholders concerned. This clarity can create the basis for partnerships in solid waste management and is therefore crucial. Management of collection turned out to be the most difficult stage in the process and required step by step improvements to achieve sustainable results. A dilemma that was faced by the local governments was that commercial privatisation of waste services can reduce the potential for community participation and the options for involvement of informal resource recovery and recycling activities.

Financial Improvement planning came in the Sinpa-activities later, since it is a quite sensitive area. It was found that once an inventory is made and recommendations are formulated, the interest and the confidence that positive results can be achieved augment substantially. The similarities in this field among the three cities were striking. For instance, the analysis of property tax collection showed that improvement in collection and re-valuing and indexing property have, in all three cities by far the highest potential to increase income in the cities in a sustainable way.

Participation and planning are central for all issues dealt with in the Sinpa project. Despite cultural and formal differences in this respect in the three countries the discussions were very fruitful. A critical problem in processes of participation and planning is the link among the community-based groups and their (often-marginal) channels of influence and the way the formal political structures are organised in the city.

A presentation on strategic planning by the Chief Executive of Arnhem, a visit to the city information center in Rotterdam and the formal and informal discussions inspired to work enthusiastically on the last Sinpa-project year. All papers presented during this seminar are included in this seminar report and can be accessed through the Sinpa-website, www.ihs.nl/sinpa.

Contents

| | |
|---|-----------|
| Foreword | 3 |
| Introduction | 6 |
| Part I: Progress in each Country | 9 |
| 1. Bangladesh | 10 |
| 2. Zambia | 17 |
| 3. Bolivia | 20 |
| Part II: Thematic Papers | 23 |
| 4. Participation in Planning: Getting the Sums Right Benefits and costs of participative planning in the SINPA programme <i>Forbes Davidson</i> | 24 |
| 5. Financial Improvement Planning in Local Governments A comparison of experiences in Santa Cruz, Kitwe and Tangail <i>Leon van den Dool</i> | 41 |
| 6. Strategies for Solid Waste Management under SINPA: Experiences from Kitwe, Santa Cruz and Tangail <i>Marijk Huysman</i> | 56 |
| Part III: Case Studies | 71 |
| 7. Biomanizales – A Local Environmental Policy | 72 |
| 8. The Strategic Development Plan of Córdoba, Argentina | 79 |
| 9. Arnhem 2015: The Development of a Vision | 88 |
| Part IV: Future Strategies | 91 |
| 10. Future Strategy - Bangladesh | 92 |
| 11. Future Strategy - Zambia | 94 |
| 12. Future Strategy - Bolivia | 96 |
| Part V: Panel Discussion | 98 |
| 13. Brainstorming | 99 |
| 14. Concluding remarks | 101 |

| | |
|-------------------------------------|------------|
| Annexes | 104 |
| SINPA Seminar Programme | 105 |
| List of Participants | 108 |
| List of SINPA Research Paper Series | 110 |

Introduction

This seminar report is about the Sinpa programme. Therefore a brief explanation of the objectives and project history is provided in this chapter to serve as background information for what is to follow.

Objectives of the SINPA programme

The overall goal of the SINPA programme is to help implement National Plans of Action and the Habitat Agenda by building sustainable local capacity for effective planning and management of urban development. More concretely, the programme aims to assist local government and its partners in capacity building for action in the broad areas of housing, local environmental management and participative planning processes and partnerships relating to these subjects. It especially focuses on the challenges of improving access to services and better environment for the urban poor, with particular regard to gender issues.

The broad objectives of the programme are:

- to stimulate the development of local capacity building strategies;
- to stimulate selected local and national capacity building institutions to become more responsive to needs and to enhance quality of performance;
- to stimulate urban stakeholders to learn from relevant past and ongoing experience with implementing urban development policy and projects;
- to improve understanding and communication of experience relevant to needs of city development in the linked areas of housing, environmental management, participative planning and partnerships.

SINPA aims to achieve these objectives by helping to bring local development partners and capacity building institutions together so as to improve capacity in a manner that will be sustainable locally. The programme is structured in a core programme, which provides co-ordination, information inputs, linkage and dissemination, and three country programmes that are developed locally in response to local issues. The country programmes are being implemented in secondary cities in Bangladesh, Bolivia and Zambia.

The SINPA programme adopts a process approach. This means that the way that the project plan is prepared, who is involved in its preparation, the form of the document and the local support for its contents is extremely important. The programme aims to demonstrate a bottom up approach for improving capacity building for urban development management. It takes two elements from the Habitat Agenda, first, the National Plans of Action which were prepared for Habitat II and which provide the framework for all activity in the programme. Next, there is a focus on capacity building strategies, which were developed and endorsed at Habitat II. These form the basis for the action approach. In the context of the programme, approaches are developed and tested locally in one secondary city and are later disseminated by local and national capacity building institutions and by publication in print and on the Internet. In addition to the technical support, the SINPA programme is further developed through local participative workshops of stakeholders in all three countries, and is being planned and reviewed on an annual basis with these groups.

A brief overview of this approach and the history of the project is provided below.

Support to the Implementation of National Plans of Action (SINPA) Programme

This Netherlands supported programme started in 1998 working with three countries, Bangladesh, Bolivia and Zambia to help build the capacity needed to implement their national plans of action, prepared for Habitat II. It represents an application of the strategy. Initial contacts for the programme were made during Habitat II in Istanbul

One of the essential concepts developed in the report “Capacity Building for Better Cities”¹ was to promote the development of a capacity building strategy. This should be prepared at the local level to meet the priorities of individual towns. Another important concept is to widen the range of capacity building institutions to include NGOs and professional associations as well as training centres and universities. Work based learning should also be promoted and used.

A third element is the need to improve the way capacity building demands are made effective (i.e. funded) and to encourage the supply of services to become responsive to them.

Putting these elements together, the SINPA programme opted for developing the programme locally in the three countries following a “process” approach. This means that the detailed objectives are developed in-country and in-city with the stakeholders.

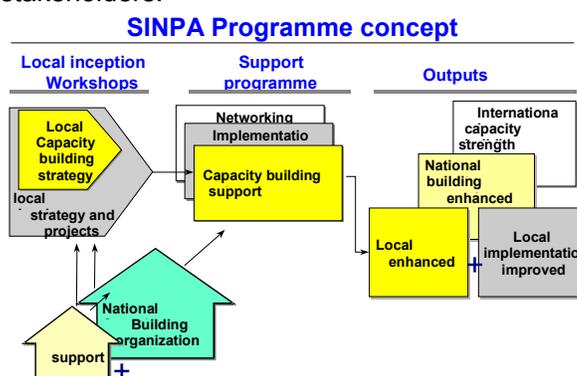


Figure 1 Sinpa programme concept

The concept is to work bottom up, exploring initially what one city needs in the context of its own development priorities. This takes the form of participative planning exercises where the capacity building organizations that could provide support are also involved. Brief examples from programme countries are given below:

In **Zambia**, the programme started with talks were held with the Mayor of Kitwe, City Council and local organizations involved in development and capacity building. National level institutions, including donors, which had a role in strengthening local capacity were also involved. From this basis it was agreed who should attend a participative workshop aimed to discuss local issues and develop a broad capacity building framework. The group included the chief executive of local government, heads of departments, NGOs, staff from universities and training centres key persons from national ministries and institutions and donors.

The workshop was held in a small conference centre. It was an intensive three days, following an objective orientated planning approach and using an independent moderator. The response to the event was very good. People and institutions were brought together who normally had little or no contact. Ideas were generated and

practical steps taken to move the process forward. Probably the most useful aspect was the strengthening of personal relationships as an important foundation to developing the future programme.

Since the start of the programme significant progress has been made on issues defined locally. Local research clarified the working of the city's finance system. Both staff and councillors have been trained in how to use this to make better decisions. Local issues including solid waste management in the city markets have been identified, researched and training initiated. The local university has improved its ability to provide more focussed support to the city government, including the writing of proposals for project funding. Significant progress, though in an extremely difficult environment of heavy unemployment, non-payment of salaries, very limited national financial support and severe impact of AIDS. This external environment for local capacity building efforts is critical.

Bolivia. In Santa Cruz the SINPA programme is supporting local universities through joint research and training to provide products that meet the needs of the municipality. For example, research into the operational lessons from Cordoba in Argentina in strategic planning were fed directly into Santa Cruz's strategic planning exercise.

In **Tangail Bangladesh**, a national NGO has been helped to support a local platform of stakeholders to work more effectively in partnership with local government.

It is too early to make firm conclusions on the experience, but the initial indications are as follows for the three countries of the programme:

- 1) The national plans of action of Habitat II had very little ownership, or even knowledge of existence at the local level.
- 2) Developing and focussing on priorities at the local level and linking the local government with local capacity building organisation helped to create a strong base for co-operation and makes for more productive relationships
- 3) Links with experience in other cities and countries can be a significant stimulus
- 4) The approach developed on capacity building for Habitat II is a useful and usable approach, but requires parallel activities to tackle national level constraints.

Forbes Davidson, IHS March 2001

PART I

Progress in Each Country

1

Bangladesh

National Plan of Action

Background

Syed H. Loton and Md. Shariful Alam, representing the Bangladesh Delegation, highlighted the Bangladesh National Plan of Action which focuses on four main areas: participation in human settlement policies; basic services in poor urban communities; urban management and strengthening of local government, and partnership in development.

SINPA Bangladesh developed from the discussions and negotiations during the 1996 Habitat-II Conference between the Institute for Housing and Urban Development Studies, the Ministry of Housing and Public Work and the NGO Radol (Rehabilitation and Development Organization for the Landless). Funded by the Government of the Netherlands, SINPA Bangladesh has received technical assistance from the Institute of Housing and Urban Development Studies and RADOL.

SINPA Bangladesh's operations formally started with the Policy Formulation Workshop in Rajendrapur from 18 to 20 March 1997. The forty-eight participants who attended the workshop, representing different stakeholders, identified environmental improvement as the major area upon which SINPA should focus, together with 16 secondary issues. The workshop recommended the establishment of a National Steering Committee and the formation of an "urban platform" for Tangail.

Headed by the Chairman, the Secretary of the Ministry of Housing and Public Works, the National Steering Committee (NSC) has a Membership Secretary, the Secretary General of RADOL, who also is the SINPA National Coordinator. The NSC also comprises:

- The Joint Secretary (Development), Ministry of Housing and Public Works;
- The Joint Secretary (Development), Ministry of Local Government Division;
- The Joint Chief, Ministry of Planning;
- Prof. Nazrul Islam, Centre for Urban Studies;
- The Director, Urban Development Directorate; and
- A representative of LGED.

During the meetings of the National Steering Committee¹ members discussed how best to monitor SINPA progress. They identified 21 capacity building institutions and proposed the formation of a 5-member Convening Committee for the new National Forum of Capacity Building Institutions (NFCBI). The NFCBI should have a Convenor – who should be a Director from UDD; a Member Secretary – the

¹ 22 June 1998, 1 January, 19 May, 6 September, 14 October 1999, 1 January and 16 July 2000

Secretary-General, RADOL and SINPA National Coordinator and two members representing CUS and LGED respectively.

Politics

It was concluded that the establishment of the NSC provided an appropriate conduit for support and assistance from different stakeholders at national level. In addition, as result of the capacity building strategy, innovative ideas and suggestions for wider dissemination of the SINPA model were developed at national and local levels. At the same time, awareness was raised for the need for a National Forum to strengthen the capacity of local bodies.

Participation

NSC stakeholders actively participated and significantly contributed to the SINPA process. The stakeholders supported wider dissemination and replication of the process. The Chairman of the NSC and Secretary of the Ministry of Housing and Public Works showed interest in harnessing funds from elsewhere in order to augment the volume of activities. It was recognised that the strategies of participation related to working together to reach common goals harnessed support and co-operation from the stakeholders and raised motivation and awareness.

Participation has brought tangible impacts such as increasing co-operation and support, establishing partnerships and stimulating different stakeholders to take part in the planning process. It has been clearly shown that personal contact and motivation are key factors affecting participation. As a result, the strategies of participation should focus on representation from all the stakeholders and their active involvement.

Practicalities and Achievements

Since March 1997 SINPA Bangladesh has achieved a number of practical results. Among them we can highlight the creation of the National Steering Committee and the National Forum of Capacity Building Institutions. Partnerships between governmental and non-governmental organisations were built, which has broadened dissemination and enhanced the potential replication of the SINPA model. Finally, the SINPA concept was recognised sufficiently to be adopted by two other cities.

SINPA has also contributed to building capacity in the area of revenue improvement in various ways. First, it carried out a study on Tax Collection and Resource Mobilisation. It organised workshops with relevant municipal staff on 24 June 2000, a study tour to Chandpur Municipality on 15 July 2000 and, finally, it held a seminar for central and local government decision-makers on 17 August 2000.

These activities were aimed at identifying potential local stakeholders and individuals as well as assessing their resources. They sought to collect information on the Pourashava's present and probable future sources of income and on budget expenditure headings over the previous five years. Finally, deficiencies were identified and possible ways of optimising assessment and collection put forward.

These activities have had tangible impacts and benefits. First, the government has been encouraging and shown interest in using the study for other

Pourashavas. Secondly, Tangail Pourashava has taken action based on the study. Finally, several other communities have shown interest in supporting the Pourashava in increasing revenues. The study tour to Chandpur has changed the attitudes of the Pourashava Chairman, Councillors and staff. They now feel that they should try to increase revenue along the same lines as Chandpur. Other Pourashavas could also benefit from these results.

Tangail Pilot City

Tangail Urban Platform

Shariful Alam, representing the Bangladesh Delegation, presented the progress of the Tangail Pilot City. A key event took place on 8 December 1998 with the formation of the Tangail Urban Platform (TUP) and the nomination of its 71 members, thereby formalising the TUP decision-making framework.

TUP members met five times: on 10th December 1998, 31st January 1999, 28th April 1999, 30th November 1999 and 15th June 2000. In the first meeting, TUP identified the following problems in the city: presence of hanging latrines; the lack of public toilets; encroachments; a lack of footpaths; narrow and poorly maintained roads; the proliferation of slums and squatter settlements, and the lack of recreation facilities.

It was acknowledged that planning in Tangail was politically influenced. Different and sometimes conflicting interests of stakeholders undermined consensus building. In addition, the Chairman and Commissioners did not collaborate as expected. On the other hand, different stakeholders have come forward to participate, increasing support and co-operation.

Experience has shown that participation by stakeholders needs personal contact and motivations. Although the participation of the Chairman and Councillors was very difficult to obtain, it was useful. Finally, workshops, training and study visits proved effective tools to orient politicians.

A number of achievements were signalled:

- the establishment of the Tangail Urban Platform;
- the participation of politicians in planning and decision-making;
- the setting up of Task Forces for the Central Canal, Traffic Management, Slum Improvement and Housing and Solid Waste Management.

In terms of revenue improvement, the Pourashava has committed itself to implementing the recommendations of the study which was carried out for Tangail. This process has already started. The community has also been able to participate in the revenue improvement process on a pilot basis.

Solid Waste Management Task Force

A Solid Waste Management Task Force was constituted in Tangail, focusing on segregation at source, reuse and recycling practices in the city. Its activities started with the selection of partners and the identification of target areas. A baseline survey was then conducted. By September 2000 four communities and nine NGO's/CBO's were managing solid waste in the city. The NGO's and CBO's are operating on a self-help basis and the four communities have started collecting fees from residents.



Initially the Solid Waste Management (SWM) Task Force faced several problems in actively involving the four communities. At first the Communities Committees were reluctant to collect money. A 'subsidy mentality' was evidenced. However, the process gradually and increasingly received support from politicians and community members as well as from NGO's and CBO's. For instance, the LGED committed itself to providing the vans required. A significant involvement of women and retired persons can also be seen.

The strategy of focusing on capacity building proved effective. Self-help initiatives have been made, partnerships with NGO's, CBO's and business associations have worked and self-managed operations seem to have been promising. In addition, local capacities and indigenous resources have been harnessed in the SWM process.

It was acknowledged that the political environment has influenced the SWM process. For instance, political links have played a major role in service delivery. At the same time, the Chairman and Councillors have played a substantial supportive role. The process was also slowed down by the announcement of an election on January 1999, lasting until the hand-over of office had been completed in March 1999.

Several lessons were learned from the experience with the SWM Task Force. Firstly, conflicts with politicians should be avoided. Secondly, transparency of operations is the key element to motivate politicians. At the same time, the strategy on capacity building has proved to be effective in encouraging the Pourashava to work with multiple actors. In addition, service delivery mechanisms and citizen welfare is receiving priority.

The experience of community participation has raised several questions. Firstly, it should be asked to what extent the community can participate in solid waste management. It should be discussed whether community should participate merely in paying monthly fees for services. The experience in Tangail has been that while business associations, NGO's and CBO's have participated extensively, residents have not been fully involved in all levels of the process.

On the other hand it has been recognised the participation efforts have produced several positive results. First, there has been a heightened sense of ownership. There has also been support and co-operation from all stakeholders. Capacity building has proven to be effective in increasing communities' income

generation and managerial skills. In addition, NGO's, CBO's and business associations have been operating on a self-help basis.

Practical achievements can be found at community level. Four communities have started collecting money and established management mechanisms. In addition, services have been delivered to 1112 households. Partnerships were also established with seven NGO's and three CBO's as well as two business associations, which started providing services on a self-help basis.

Partnerships with the local Press Club, schools and colleges were highlighted as examples of legitimisation and dissemination of the SINPA model, in particular the creation of 'Environment Brigades' and the involvement of higher education students in field work for SINPA.

Finally, the process has proved to be effective for building up moral support for SINPA amongst political leaders. It has also helped in securing the active support of the Chairman and a few Commissioners as well as in increasing the involvement of civil society groups, professional groups, hotel restaurant workers and workers' associations.

Central Canal Cleaning Task Force

During the fourth meeting of the Tangail Urban Task Force on 5 March 1999 it was decided to formalise a task force specifically for the cleaning of the Central Canal. It was also decided to form a Technical Sub-Committee headed by ZEN, CPP. This followed the election commitment of the Pourashava Chairman and the discussions held in joint meetings between the out-going and in-coming Councils on 5 March 1999.

The Technical Sub-Committee estimated the cleaning of the Central Canal would cost TK. 506,000. As SINPA could not provide this amount of funding, the Chairman stopped the activity. SINPA tried its best to secure financing from elsewhere by forming partnerships with the Pourashava, LGED, NGO's, CBO's, Business Association and SINPA.

In the first phase, the Pourashava provided its trucks to carry waste from the canal to a dumping ground. LDEG gave TK. 80,000 along with manpower and technical support. NGO's, CBO's, business associations and communities participated in mobilising people. SINPA was fundamental in organising NGO's and stimulating the participation of different stakeholders.

The following stakeholders have participated in the process: the Pourashava; LGED; BWDB; RHD; business associations; NGO's and CBO's; communities along the Canal; and hotel and restaurant owners and workers' associations.

Several problems have been perceived during the process. As was mentioned, before a partnership was eventually formed, SINPA faced difficulties in securing the co-operation of the Pourashava. Delay in starting the cleaning caused periodic stoppages of SINPA activities. Initially the Pourashava did not have ownership of the Canal. The Canal itself represents a problem due to its physical characteristics, being open and going right through a densely populated area, the erection of buildings along its banks and the presence of encroachments.

Several lessons were learned from the experience of the Central Canal Cleaning Task Force. Firstly, it was clear that the problem could not be solved through infrastructure development alone. The good will, commitment and leadership of the Pourashava Chairman proved quite effective. People want tangible results as the price of lending their support. Community awareness is raised through social mobilisation. Finally the Municipality is seen to come forward for imposing its laws and regulations.



Some political factors influenced Task Force activities. Firstly, the Chairman's election commitment was decisive at the start, as were the 'top-down' decisions from the TUP and Task Force. These also contributed to image building and political mileage for the Chairman and Councillors.

The strategies for participation included forming partnerships with potential stakeholders, harnessing contributions from partners sharing ownership and costs, extending participation into planning, implementation and monitoring, attaining sustainability and building self-management and self-reliance.

In summary, the achievements of the Central Canal Cleaning Task Force were: the conclusion of the first phase of the cleaning process; the planting of 600 saplings along the Canal; securing the commitment of the LGED to complete the second phase; the building of partnerships between NGO's, CBO's, business associations and other professional groups, and the creation of social awareness and a congenial atmosphere.

Other Achievements in Tangail

The Slum Improvement and Housing Task Force has achieved limited but significant results. Nine slums were surveyed and residents' needs assessed. It received moral support from politicians and institutional support and co-operation from the Pourashava, Government Departments and NGO's. The Pourashava earmarked TK. 10,000 for the first time in its history for slum improvement and housing. Finally, some NGO's are carrying out in-situ development activities.

The Traffic Management Task Force found that partnership with different stakeholders worked well; it has been predominantly voluntary. At the same time, the

SINPA model of stakeholder involvement was widely appreciated. Finally, the long-term partnership process is underway with different stakeholders such as the District Road Safety Council, the LGED, Tangail Pourashava, Jomuna Operations and Maintenance Consultants, Ashekpur Road Safety Committee, business associations and transport and workers associations.

Achievements in local capacity building and partnership were to be found in the enhanced capacity of different stakeholders and the number of partnerships formed with different stakeholders for a variety of purposes.

The establishment of the Tangail Citizen Information Centre (TCIC) represents another achievement of SINPA. The TCIC has involved all stakeholders, and is functioning properly and gradually becoming a centre for social interactions. Catering to the information needs of all citizens, the main challenges ahead will be attaining self-reliance and sustainability. A recent workshop suggested that the Pourashava could own and maintain it. It has also been recommended that the Press Club and Tangail Archive could be partners in the process of sustainability.

Comments and discussion

Marc Jansen of IHS commented that the presentation from Tangail was very solid and highlighted several important points. Firstly, the economic patterns and activities of Tangail, such as sweet production and the uncontrolled commercialisation of petrol, have been responsible for environmental problems. Solid waste collection has been a major problem due to inadequate dumping grounds. Moreover, uncontrolled urban development along or on the top of drains has exacerbated the problems. Minor drains carry waste from the urban areas to the main canal.

On the other hand, the platform meetings brought together many stakeholders who started demanding attention and catalysed community level meetings. At community level, neighbourhood meetings have been characterised by proactive discussions. They have brought together different actors to own the process. For instance, students from schools are very proud of their participation and group of poor women received training. Finally, while women's participation in the neighbourhood groups has been restricted there has been a substantial involvement of young people as well as use of local knowledge.

For the progress report that was prepared by the SINPA Bangladesh team for this seminar, please refer to the annexes.

2

Zambia

Background

Albert Malama, National Coordinator of the SINPA Programme in Zambia, explained the progress of SINPA in the country and indicated the driving and constraining forces the project has faced. The genesis of the SINPA Zambia Project was the Habitat II Conference in June 1996 when strong representation from the city of Kitwe was decisive in bringing SINPA support to the Municipality. Kitwe was facing general economic ills but it was benefiting also from the existence of the Sustainable Lusaka Project (UNDP/UNCHS). The 1.2 million inhabitants of Kitwe have faced economic depression due to the fall in the international price of copper, which is the main economic resource of a population that is growing at a rate of 3.2 % per year.

The formulation of the SINPA Zambia Project started in March 1996 during the Kafue Gorge Workshop where the process approach of the project was discussed by Copperbelt University (CBU), NGO's, the Local Governments Support Programme (LOGOSP), SPC, Urban and Rural Water Supply Project (URWSP) SLP, the Local Government Association of Zambia (LGAZ) and NCC. The participants of the workshop identified four objectives for the project:

- Kitwe City Council (KCC) staff should improve capacity in strategic areas
- Copperbelt University (CBU) should run activities supportive of local government and partners
- linkages should be improved between demand and supply of CBU services
- relevant experiences should be documented.

The project officially starting in August 1998. During the first workshop in December 1998 at the Makuba Hotel, the participants from KCC, Market Committee, Chamber of Commerce, Aldermen, CBU's and the Netherlands Embassy discussed the development strategy for KCC. Five areas were identified as being crucial capacity building needs for KCC: manpower development, financial resource improvement for KCC, refuse collection, responsiveness to stakeholders' needs, and poverty alleviation.

The Councillors' Orientation Workshop in February 1999 at the Copperbelt University discussed legal, financial, and community involvement issues as well as the strengthening of partnerships between officers and councillors, leadership and integrity. The workshop was perceived as breaking the ice between the main actors and resulted in the approval of SINPA by councillors and officers.

The selection of CBU, IHS and other consultants to carry out technical studies was vital to giving the process a solid basis. Report compilation started with an initial briefing with directors and the presentation of interim results. The Draft Report pointed towards widening the finance base of KCC, improving its responsiveness, stimulating the local economy, improving manpower for core KCC activities and promoting popular and private sector participation in refuse collection.

A second meeting attended by councillors and officers at the Copperbelt University in August 1999 recommended the establishment of a revenue unit, a computerised finance department, an information and business centre and sub-district structures, as well as strengthening the ICC and NGO Forum and encouraging private and community participation in solid waste management. There was also discussion on how to avoid political interference in the process.

In another meeting at the Copperbelt University In December 1999 it was decided to hold a stakeholders meeting in Kitwe with NGO's, councillors, officers and chamber. It was also resolved that the focus of the project should be narrowed to cover three areas:

- widening the financial base of the KCC
- refuse collection
- improving KCC responsiveness.

Capacity building for KCC should focus on training and workshops in order to strengthen financial management, responsiveness, solid waste management, and local economic development, amongst others. In relation to the CBU, capacity building should be concentrated on the development and marketing of training manuals on local government finance (jointly with LGAZ) and solid waste management.

The strategy used was based on creating specific *Task Forces* to implement the activities identified in each area. Another strategy focused on networking with UNDP, LGAZ, EU, SLP, Care International (focusing aid on local finance and community participation), OXFAM (which was interested in the support of District Planning Officers), and UNCHS-Habitat (through the Sustainable City Project).

The implementation of the Information Investment and Business Centre, establishing a District Planning Office, the computerisation of the Finance Department, and the creation of an Independent Revenue Collection Unit were identified as priority projects.

Achievements and Challenges

It was acknowledged that SINPA Zambia has achieved substantial results. Firstly, it has strengthened the participation of organised civil society through the creation of an NGO Forum in Kitwe. The SINPA project has become rooted in Kitwe City Council, giving it a source of knowledge and support. It has also drawn more attention towards Kitwe, such as through the SCP. It has implemented several workshops and training activities for KCC. It has strengthened the bond between CBU and KCP. Finally, the Solid Waste Management Trust Foundation was created as well as the City Information Centre.

In addition, SINPA has helped creating synergies with partners within and outside the city of Kitwe. It has strengthened and focused the National Steering Committee and received strong political support. On the other hand, the projects have shown some weaknesses. Lack of resources for implementation has frustrated local government staff. Limited staff numbers and rigidity in the use of resources – despite the project strengthening flexible planning approaches - has undermined the effectiveness of the project.

Some threats have been identified on the horizon. First, central government has systematically delayed its decentralisation policy. Second, KCC expects more hardware from SINPA, which has not been possible to provide, reducing support from officers. On top of that, the inability of KCC to pay salaries for the previous four months could further undermine their support.

On the other hand some opportunities have been identified for strengthening the project. In particular, CBU has shown great enthusiasm which, combined with the political support already being enjoyed, will be a key factor in the continuation and success of the SINPA Zambia project.

Comments and discussion

The central issue in the discussion of the Zambia presentation was municipal financial improvement in Kitwe. It was explained that although the city already had a Revenue Collection Department, it was highly influenced by political interests, undermining tax collection because politicians are in general reluctant to support the tax system. In this respect, SINPA helped increasing local revenue from 19 to 25 percent of total revenues due.

An important discussion took place on how far one should invest in 'software' without a corresponding investment in 'hardware'. It was pointed out that this issue had tainted the Mayor's appreciation of the project. While councillors demonstrated support for capacity building initiatives, government officers expected direct investment. It was argued that training alone has a limited impact if there is no hardware investment to apply new capacities: 'if you teach us to use computers, why don't you provide us with computers'. The Mayor of Kitwe, Mr. L.S. Kazaby, gave a clear statement that summarises this argument:

'We are committed to the Project. But the difficulty is to move forward after creating capacity. The instruments are not there, although they have now the capacities. It is our hope after we get the community involved we will get more results. The supporters of the project may by then give more support to hardware'

The SINPA co-ordinators explained that the project is intended to help identify areas for improvement and to prepare projects to achieve specific objectives. The project acts as a facilitator; it is the Council's responsibility to make subsequent efforts to achieve the objectives, such as obtaining equipment. Forbes Davidson illustrated this argument saying that the project is based on the 'fish and learning to fish' approach. The job of SINPA is to help teach to fish.

For the detailed progress report that was prepared by the SINPA Zambia team for this seminar, please refer to annexes

3

Bolivia

Background

On behalf of the Bolivian Delegation, Mrs. Maria Luisa Garnelo (SINPA Coordinator) presented the activities and lessons of the SINPA project in the city of Santa Cruz de la Sierra. Santa Cruz, covering 25,000 hectares, has a population of about 1 million inhabitants. It is tropical flatland with an average annual temperature of 28 degrees Celsius and 80 percent humidity. In recent years the city has faced an unprecedented annual population growth of 7%. This is in large part due to high immigration due to mine closures. It is estimated that urban poverty affects some 42% of the population.

In economic terms, Santa Cruz is second most important city of the country and it is considered the most important development pole. Agro-industry and hydro-carbons are the traditional products. Tourism, financial and banking services, mining and higher education are all important development sectors.

Bolivia's decentralisation policy is enshrined in two laws: the Law of Popular Participation (1994) which transfers certain responsibilities and budgets to all Bolivian municipalities and the Law on Decentralisation (1995) which improves the status of departmental governments. Bolivia is divided into 9 Departments and 311 municipalities. Democratically elected municipal councils nominate mayors who govern for 5 years.

SINPA in Santa Cruz

SINPA Bolivia formally started in November 1998, becoming active early 1999. It works in collaboration with the municipal government, the State and Catholic Universities, and of late with a private university. SINPA has offices in the Town Hall. Although SINPA operates through the municipality it has an independent co-ordinator.



The Advisory Committee first met in March 1999. After some changes, the committee is currently composed of the Mayor and his representative, the Vice-Ministry of Planning and Participation, the Netherlands Embassy, the State and Catholic universities, the Chamber of Commerce and the Netherlands-funded Project for Urban Poverty Alleviation (PAP Santa Cruz).

SINPA started by focusing on the delivery of courses aimed at a broad public and on the strengthening of the environmental policy department of the municipality. It also held public meetings which identified solid waste as the major problem for inhabitants.

In 1999, SINPA focused on delivering courses on strategic planning, decentralisation and poverty alleviation. Environmental fora were organised with the participation of stakeholders from other localities, including mayors from Peru who informed on their successful experiences. The following technical studies were also carried out: Environmental Profile of Santa Cruz; A Proposal for an Improved Waste Collection and Management System, and a Feasibility Study on Environmentally Friendly Productive Activities for Low-Income Neighbourhoods.

The courses and environmental fora were very much appreciated by municipal staff and civil society. They created an opportunity for these actors to meet and exchange ideas in an informal way. The technical study on solid waste management contributed greatly to ongoing discussions in Santa Cruz. A feasibility study on environmental protection in neighbourhoods was carried out but it is still unpublished.

The Environmental Profile of Santa Cruz is an important input for the strategic plan that is currently being drawn up. It is also an important planning tool. Public recognition could be seen through media interest and local news on solid waste management.

During a workshop held in October 1999 the institutions linked to SINPA gave a clear priority to the development of the Sustainable Municipal Development Plan (PDMS). Each municipality in Bolivia was legally obliged to draw up development plans fulfil before October 2000 under the national decentralisation laws. However, until now only smaller municipalities could achieve this objective, highlighting the difficulties complex large cities face in implementing participatory approaches.

The same workshop helped identify SINPA activities for 2000-2001 and allowed different actors to become involved in the process of drawing up the local development plan.

The General Objective which was defined in the workshop was: after 2 years the strategic plan of Santa Cruz which guides development and prioritises projects should be at the implementation stage.

Specific projects identified were: the municipal government will have improved planning capacity; it will be able to lead a participatory and strategic planning process; civil society organisations will have an improved capacity to plan and participate in urban management, and the municipal government will be able to implement the strategic plan in prioritised areas.

It was also proposed that courses be held for councillors and municipal officials, professional and civil society organisations. Workshops and technical assistance should be given for members of the technical committees. Exchange visits with SINPA Bangladesh and Zambia as well as professional visits should be strengthened. Finally the organisational framework of inter-institutional co-ordination for the implementation of SINPA Bolivia was revised.

After the elections of December 1999 the municipality had to face up to the challenge of drawing up the municipal development plan. If the PDMS were not

completed by October 2000, the municipality could be penalised with the withdrawal of the central government financial contribution. SINPA support provided technical assistance to the municipality to organise this planning process. In addition, it was suggested, SINPA should give support through courses for the municipal technical team in charge of the planning process and through case studies and exchange of experiences. The courses and technical assistance are provided by IHS and local university staff. Efforts were also made to incorporate local university staff in case study research.

Currently SINPA forms part of a wider network of institutions that give support to the strategic planning process, consisting of the Vice Ministry for Planning and Participation, PAP Santa Cruz and the University of Toronto. The agenda of the strategic planning process in 2000 was as follows:

- February: citizen consultation and establishment of the Strategic Planning Committee (CPE)
- March – July: training of the municipal technical team, definition of methodology and drawing up the plan.
- July: approval of the methodology by the CPE.
- August: District level planning
- September: setting up of Sector Committees and the definition of strategies
- October: presentation of the Strategic Plan to the Council for approval and subsequent presentation to the Vice-Ministry.

Results of 2000 activities

SINPA has supported municipal capacity building in the drawing up of the municipal development plan. This experience is being disseminated through the strategic planning process. Contact with civil society organisations is mainly indirect as they are involved as stakeholders and support organisations in the PDMS process. Finally, co-operation with the universities has improved, especially through the team teacher system and their voluntary co-operation in technical assistance.

PART II

Thematic Papers

4

Participation in planning: getting the sums right

Benefits and costs of participative planning in the SINPA programme

Forbes Davidson

Participation and SINPA

Background

The SINPA programme aims to support the implementation of national plans of action developed for Habitat II in 1996. The focus is on capacity building via working together with local government and its partners to identify priority action areas and working in parallel with capacity building institutions to help them become more responsive to local needs. The capacities built in the institutions should then become a resource to support activities in further cities. The role of IHS has been to support this process by working through local co-ordinators and local institutions. Local co-ordinators have linked into a range of institutions. In Bangladesh the partner institution is an NGO, in Bolivia the support office is situated within the municipality, and in Zambia it is located within the University.

Participation as a key element in SINPA

The approach is to work with cities and their partners together to define priority areas for development and to help to develop a responsive approach to building the capacity needed. The programme development itself is thus participative, and the approach to working with partners stresses use of participative techniques.

Objective of the paper and the discussion in the workshop

The paper has three main aims. First, it sets a context of thinking about participation in planning and how this has influenced what we are trying to do. Second, it reviews the experience in SINPA programmes and related research. Third it suggests what this may mean for practice in general and capacity building in particular. It raises some key topics for discussion in the workshop.

Participation in planning goes beyond “planning”

In the context of this work and this discussion, “planning” is taken as the process of discussing priority areas of work, working out effective courses of action and committing to implementation. From this point of view it goes much beyond the process of preparing a city plan and controlling development – the traditional area of city planners.

Link into changing context and concepts
Changing context

The context of development is changing, and often at a rapid rate. Figure 1 illustrates some of the key pressures which are influencing the work in the SINPA countries. Though at first sight the differences between the three countries are enormous, in all cases some of the same policy changes are in action.

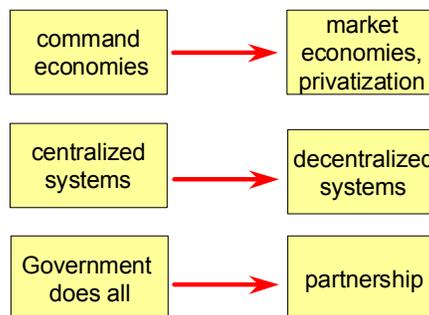


Figure 2 Common changes in policy context

Changing concepts of management and planning

The thinking concerning where to focus attention in urban development has changed considerably over the last ten years, and these changes in thinking tend to operate in almost all countries more or less at the same time. As an illustration of current

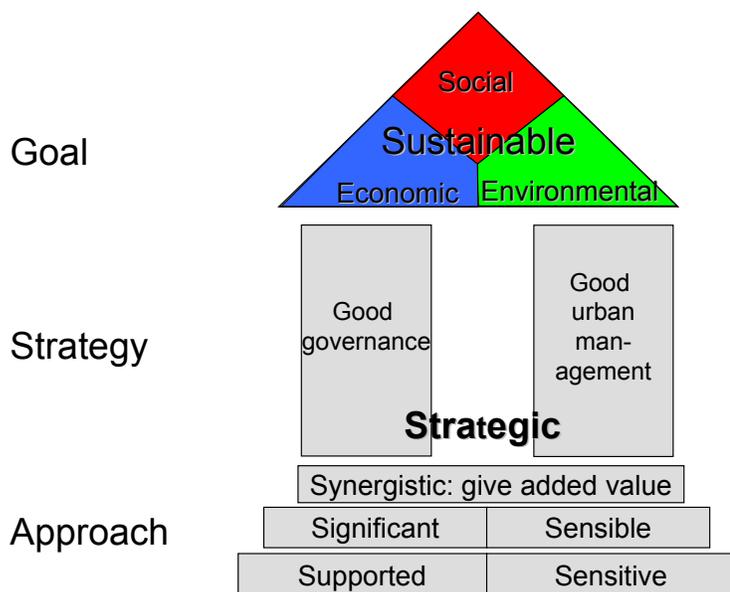


Figure 3 EC urban draft development strategy

thinking, IHS and partner institutions are developing new guidelines for the European Commission for its support to urban development. Figure 2 is an illustration of the main elements. It emphasises a strong focus on the approach to developing plans and a strategic concentration on building a strong coalition between good governance – the making of decisions on matters of common concern in urban areas, and good urban management (including planning) – how to best achieve the development objectives that are set. The diagram illustrates that the goal should be sustainable development, with a concern for the three main aspects. The strategic focus of attention in EC projects should be on helping to build the twin pillars of good governance and good urban management. Without these, urban development investments are not likely to make a sustainable impact. The lower part of the diagram – the “steps” emphasise the approach and qualities necessary to develop programmes with a potential long term impact. Building support, and being sensitive to local issues requires a participative approach to planning.

The need for building up support

The trend in the working of governments has moved in the direction of greater decentralisation and at the same time an increasing emphasis on working in partnership with others - other government departments and increasingly CBOs, NGOs and the private sector (Figure 3). The resources needed for development are seldom all or even mainly in the hands of local government. Support for plans of action are needed from other government departments, donors, communities and the private sector. Working in these directions requires that the planning process itself helps to develop the support required. It also requires that a conscious effort is made to build capacities and overcome the barriers in the way of more participative working. These situations apply in all the three SINPA countries.

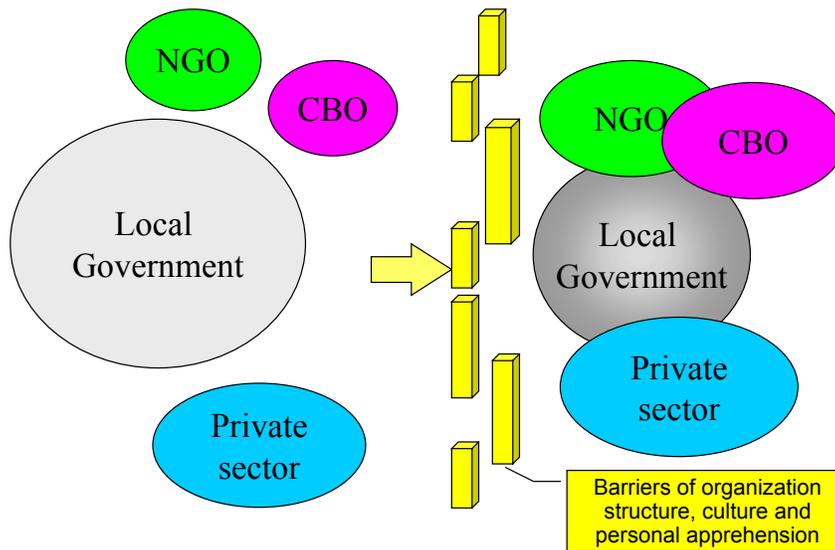


Figure 4 Change in Government relations

Participation: a fad or an essential tool?

Participation is "in". No project or plan dares not to at least use the word. But for how long? Is it just a fad, after all we have been here before? In the early 1970s In United Kingdom there was a major government report known as the "Skeffington Report" promoting the use of participative planning, and advocating the tools and techniques necessary. Interest amongst governments and professionals has waned and more recently again grown strong. Now most programmes have strong participative elements. Most recently guidelines have been developed from the NGO front, not only on how citizens and private sector can participate, but even how to allow officials to participate²!

But is it just fashion, or is it something much more fundamental? This is an important question. If it is only fashion, we should not be promoting its use, particularly in developing countries where there is limited capacity to work on even the most basic of services. On the other hand, if it really makes a significant contribution, we must be beware of the backlash against the interest and support of participation - already one can hear the calls, echoing Nike, of "just do it". There will

² See Wates (2000)

be a call for more action and not more talking. This could be dangerous if the many advances in this area are thrown away for lack of strong supporting arguments.

There is little research that effectively answers these questions. Some has now started, and this paper aims to review the state of knowledge and provide a framework for further research on this subject. Some of this will be within the SINPA programme, and others will be stimulated from other sources. The overall framework that will be used is the examination of the benefits and costs of participation in urban development planning, and the techniques and processes used.

"Participation" is not only about communities. The building of ownership that can come with the setting of common objectives is perhaps even more important in terms of getting city departments to work together in a synergistic manner, or getting Central government ministries to work well together. The IUIDP programme in Indonesia has been working for more than 15 years on the building of local capacity to plan and manage integrated infrastructure programmes. Considerable effort went into the technical side of managing integration. One example where ownership was not gained was when consultants prepared integrated plans but the municipalities did not co-operate and did not provide and facilitate information collection. When it came to being asked to sign for a loan on the basis of the plans, there was no support and the work had to be re-done.

One major issue relating to participative approaches is that it can be difficult for large institutions to adjust to the necessary flexibility if the approach is to be able to work. SINPA itself is an example of this. How to make the programme clear enough on the one side that it can be explained and costed. On the other hand how to keep sufficient flexibility to be able to "practise what you preach" and leave significant priorities to be set locally.

Assessing what makes sense: mapping benefits and costs

Participation only makes sense if the benefits clearly outweigh the costs. It is very important to emphasise the potential benefits in the development of programmes. This is necessary both at a political level and at a community level. (figure 5). Costs can be assessed in terms of time spent, but also include political costs – the risk of supporting participative processes that cannot easily be controlled. Benefits are sometimes less easy to assess, but it is very important that there are clear benefits perceived by the stakeholders.

In the end the question is whether the end justifies the means. Do the benefits outweigh the costs?

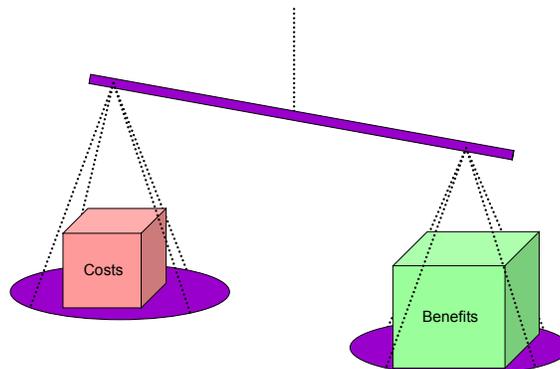
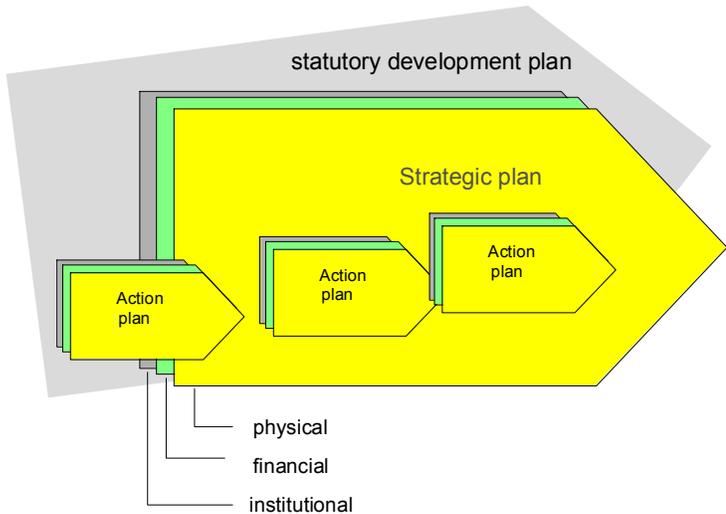


Figure 5 Benefits should outweigh costs of participation

What this means for planning - focus on strategic and action planning



The planning we are referring to in this programme is known at the city level as strategic planning and at the local level as action planning. What it has in common is that it is developed in a participatory manner by key stakeholders. It has to build their support as they hold many of the resources needed to ensure investment and commitment to operation and

Figure 6 Relationships of types of planning

maintenance – necessary for sustainable development.

Figure 5 illustrates the relationships between the main types of planning.

Cases

SINPA programmes

The SINPA programme contains a number of examples of participative planning, both in the direct programme and in the linked research programme. The detailed discussion of these experiences is contained in the reporting of the programmes. The following table provides a summary of the main activities.

| Country | Strategic city level planning | Action planning local areas or specific themes |
|-----------------------------|--|--|
| Bangladesh – Tangail | No work specifically on developing a city strategic plan, but a number of linked supporting activities undertaken. “Urban Platform” set up to discuss priority areas and as basis for working groups. Issues identified on strategic spatial topics, but not yet tackled. City Information Centre as contribution to making discussion more informed Environmental issues encouraged through school based activities – environmental brigades. | Solid waste management at local level. Cleaning and maintenance of central canal. Traffic management |

| Country | Strategic city level planning | Action planning local areas or specific themes |
|------------------------------------|--|--|
| <i>Bolivia - Santa Cruz</i> | Start up workshops linked into city development issues Work on facilitating city-wide environmental forum. Facilitating work on the new strategic plan for Santa Cruz – co-operation with other support agencies (e.g. Canadian). Research – Córdoba – strongly linked into issues relevant of Santa Cruz strategic planning. | Links created to local participative planning process of Poverty Alleviation Programme (PAP) |
| <i>Zambia – Kitwe</i> | Project development linked into participative discussion of priority issues. Study and linked training on municipal finance carried out as part of base for strategic planning. Study on improving the responsiveness of Kitwe City Council to stakeholders. Attempt to link into strategic planning support of Irish Aid. New development plan to be prepared by consultants. Issue of how participative new plans will be. | Action planning developed on participative basis for work on solid waste. Link to communities trained under UNCHS/ DANIDA –supported community participation training programme |

In this report an attempt is made to draw out some elements of the experiences of the country programmes which give some illumination on the potentials and challenges of using more participative approaches to planning. The approach is primarily cross-cutting as the individual reports provide considerably more detail on a country by country basis.

Participation Process

Development of the programme: flexibility to allow participation

All countries have adopted a participative process to developing the SINPA programme itself. Initially variations of the OOPS or ZOPP approach were used, with independent facilitators trained by GTZ. Experiences of the processes have been mixed. In all cases it was recognised that the personality of the moderator was a critical element and that the process sometimes becomes a bit pedantic. Generally there is a reasonable level of enthusiasm, and those who have not participated in such a process find it quite stimulating. Some, however, feel some frustration, and this was reported in Bolivia.

The role of the Ministry of Development Co-operation in The Netherlands has been supportive of working in a process approach by allowing the detailed definition of programmes to take place in the in-country workshops. This is very important as, if this space is not present, then participative approaches at the local level are not feasible, unless using purely local resources.

It is essential in a programme of this nature that we “practise what we preach.”

Stakeholders

Important in all the countries was the selection of who would participate, and this became part of the foundation of future work.

The steering committees also became an important part of the process – particularly as they included the key stakeholders, both locally and also as a link to the national governments.

In Bangladesh, the Tangail Urban Platform that was set up is the most elaborate mechanism to link actions. However, it still needs considerable stimulus and support from the programme to continue being active – an issue for sustainability.



Members of the Tangail Urban Platform

Timing and relevance

In Santa Cruz, the timing of the research efforts on strategic planning in Córdoba in Argentina has come at a very relevant point for the development of the strategic plan for Santa Cruz. The effort to ensure relevance to issues being faced locally is particularly important.

For participative processes to be effective, they must be well informed. In Tangail the efforts at a formal level are going into a City Information Centre. At a less formal level, however, good progress is being made by working with schools – for example the sponsoring of inter-school debates on environment and setting up of environment brigades.

There are, however, issues that will have to be developed at a city level in order to make a good framework for the local level initiatives.

Top-down and bottom-up

Garnelo and Steinberg, in their paper on planning in Santa Cruz, emphasise the importance of working in both directions – bottom-up planning and local setting of priorities influencing city level strategic planning, and strategic planning forming a framework for local planning efforts.

Strategic and action planning related to statutory land use planning.

There is always a tension between strategic planning efforts, such as those guided by city consultation processes, and the statutory land use plans which are mainly a technical effort. In Zambia this is already something of an issue in Lusaka, and will be an issue in Kitwe in the coming year when the technical work on the new integrated development plan will be done by consultants. It is critical that the city takes a leading role in setting its own priorities.

Leadership and capacity

One of the most important aspects relating to participation in planning, particularly at the city level is the leadership of the planning process. Strong strategic planning requires strong leadership from both the political and professional sides. It then requires professional capacity for implementation. These issues are discussed further in the paper of Garnelo and Steinberg(2000)

Politics

Planning is fundamentally political in that it deals with the location of the investment of resources. The role of councillors in decision making is particularly important in this. Are they well enough informed to be able to make decisions which go beyond short term opportunism? For this they need to be better informed, and that involves training in understanding issues and how to act in ways that can make a real difference.

In all three cities, local elections have taken place during the period since the start of the project. New councillors have been elected, and the issue of ensuring access to information and awareness of issues has been important. In Tangail, Bangladesh, new councillors had a one-day briefing organised by the programme. In Zambia, a study of the municipal finance of Kitwe was used as the base for training of councillors and staff. This made for greater demands for relevant information from councillors on staff – basically a positive development. It was also recommended that more attention should be paid to councillors in general rather than too strong a focus only on the mayor (Malama and Mengers, 2000)

In Tangail, a study of municipal finance compared the town's situation with that of other, better performing municipalities. The result was very informative and was presented in a national seminar. A lesson, however, was to ensure that the exposing of weaker areas of municipal performance in a national forum is not necessarily the best way to build good relations and to get better procedures adopted locally.

In Zambia there is a particular problem in that the Mayor only has a one year term in office. This makes continuity of planning more difficult than longer periods in office.

In Santa Cruz the election was used by the programme in facilitating a debate on television of environmental and developmental issues.

As there can be an almost complete change of councillors at the time of an election, having mechanisms to maintain institutional memory and to facilitate rapid learning, become essential. These capacities can be encouraged in the capacity building institutions.

Another issue in politics and participation is the relation between elected members and community based organisations and NGOs. NGOs in particular are not always seen as being neutral development-oriented organisations. This may be an interesting area to explore in the discussions.

Practicalities and sustainability

The practical issues arising from the experiences relate to achieving sustainable capacity in terms of motivation, technical capacity and resource mobilisation.

Motivation

Any development effort needs someone to drive it. Motivation and energy are required. In a project situation the energy and focus normally comes from the project itself. This is dangerous in terms of sustainability of the approaches being promoted.

Stimulating ownership locally is essential. This is relatively easy when leadership is strong. When that is not the case, the role of civil society may be very important to bring in energy and to encourage clear initiatives. In Zambia, Mumba et al (2000) emphasise the importance of political will to make more participative processes work

Technical capacity

New ways of working require new capacities. In Santa Cruz, Garnelo and Steinberg write:

“Until today the planning process has not involved the organization and dissemination of planning through the administrative levels of the municipality. The different levels of municipal administration do not know or are not committed to the process. This result in a elitist character that is limited to the technical team, and which may represent a obstacle during the implementation and management of the plan. The staff has not been trained to the management change which happens during the its implementation.”
(Garnelo and Steinberg: 2000)

In Zambia, Mumba et al (2000) emphasise the lack of knowledge of the processes of participatory decision making. They recommend a series of actions including discussion of and training in participatory decision making.

Drawing capacities from outside municipalities is important. In Zambia, the Copperbelt University had skills in municipal finance. In Santa Cruz, NGOs and Universities have considerable skills. NGOs in Tangail include lawyers and other professionals whose expertise and energy are very valuable.

Capacity building sometimes means capacity utilisation – finding means of drawing in skilled resources that already exist in a town. It also means working in ways that make efficient use of the scarce resources that exist – true anywhere, but especially true when resources are very limited.

Information

Access to information is a key condition for more participatory planning. In Kitwe, Mumba et al(2000) in their study recommend a series of measures including local radio, monthly platform discussions and the setting up of an information centre. In Tangail, a city information centre has been established and is a key component of the programme.

Resources

The SINPA programme has a major plus in terms of sustainability of planning efforts – it has very little money for capital projects. This means that what is achieved has to largely use normally available resources. While this is not popular, it does mean that methods developed and sources are likely to still be relevant after the project is finished. SINPA is a capacity-building programme where enhanced capacity can be value-added to existing physical development programmes. The other way round physical development activities can be a useful by-product to capacity building efforts.

Sustainability

Sustainability of efforts is essential for the programme. It means that the resources needed should be available in the future without additional intervention. Methods introduced need to be simple and robust and encourage local adaptation. The impact on individuals in terms of motivation and skills is essential. Institutional mechanisms should be primarily strengthening of what exists. The tendency for SINPA local teams to expand should be resisted. Only in the situation that a local NGO carrying out the functions of SINPA on a locally sustainable basis is developed, would the role of SINPA developing its own capacity locally make sense.

SINPA research

The SINPA research programme has identified and documented useful resources relevant to the issues being discussed. A very brief note is given here describing some of the pieces of research more relevant to this topic.

Strategic Planning, Córdoba

The study examines the process used to develop and implement strategic plans in Córdoba in Argentina, and also what this has meant in terms of implementation, with focus on district level administration, allowing more local participation in the programme.

Biomanizales

The Biomanizales study looks at the goals, achievements and mechanisms being used in Manizales in Colombia. The very strong role of NGOs and the university in partnership with the Municipality is very important here.

Bangalore Urban Poverty Platform

Bangalore in Karnataka, India, is an interesting example of an institutional structure aiming to create synergistic linkages between the activities of local communities and NGOs and the programmes of local government. The study shows the potential of the approach, but also where energies can leak out.

Other cases

The appendix provides further cases that are of relevance to the discussion.

Conclusions and Questions

The conclusions from the field experience and research will be developed during the workshop and these sections will be completed as part of the documentation. To help the discussion, the following questions are raised:

Taking it further: questions for the workshop

There are three main questions to link into the discussion of the experience in the individual countries. Each of these should be linked to what they mean for capacity building

What are the benefits produced so far from using a participative process in relation to the SINPA programme?

Benefits can include greater support for action, greater co-operation between actors, support for more realistic payments of charges and taxes. As SINPA is not a programme with large sums of finance producing easily visible benefits, then clarity and exposure of the benefits become very important for the political support of activities. How can greater clarity on potential benefits be built as an element into capacity building activities?

What are the costs of the process?

Participation takes time and effort. More meetings mean more time. More co-ordination and integration can be seen as being a limitation of freedom of action. Again, the absence of hard investment programmes may make the costs of participation appear relatively higher. Efforts to make participation more effective could be key elements of capacity building activities in the three countries.

How can the ratio between benefits and costs be improved, with particular regard to sustainable impact on capacity building both in the pilot city and beyond?

Ultimately, participation in planning is not an end in itself. It is or should be a means towards getting better results. In other words, where people see real benefits, and the sum of the efforts is greater than the sum of the parts ($2+2=>5$) then there is likely to be effective participation.

What lessons have we learnt on getting this balance right and how can we link the positive lessons into the capacity-building efforts of SINPA so that the benefits can be more widespread? This means a focus also on linking local experience more strongly into nationally accessible capacity building activities.

Appendix: International cases of participation in planning outside the SINPA programme

Other cases

The work going on in SINPA is, of course, not the only, or even the main, activity in this field.

GTZ

GTZ, the German para-statal development organization has institutionalised participatory planning to a high degree. It introduced ZOPP - Ziel Orientierte Projekt Planung or Objective Oriented Project Planning. For some years all its projects and programmes have been developed, monitored and adjusted using this technique. Round the world local facilitators have been trained. Perhaps the most remarkable aspect is that GTZ are able to start programmes with enough flexibility to enable a large degree of participation and incremental development as the programme starts running. Internally there has been dissatisfaction when the approach is seen as being used in too inflexible a manner, and recently there have been calls by staff either to apply it in a more flexible manner, or to stop using it. This is a significant example of what we might call "participation fatigue" where some feel that the energy going into the process could be better spent in getting the work done.

Ismailia, Egypt

A publication that came out originally in 1984, the "Urban Projects Manual", was based on the experience of developing large scale upgrading programmes. One of the areas that had not been highlighted in the original version was participation, and a small section was added in the new edition published this year. Interestingly, the experience at the time of implementation was of considerable participation, but of very different forms in different parts of the city. This reflected the different nature of the communities involved and also the different nature of the staff. The lesson was that while the principle of providing possibilities of participation is important, it is most important to have the focus on how best to achieve the development objective rather than to focus on participation as such. The benefits in Abu Atwa of a participative approach were that decisions could be made and implemented relatively easily. For example, the local community themselves cut their houses back to make space for a new road. The same process typically can stall development for many years when there is no support. An example of this is Mumbai, where a number of infrastructure programmes have been stalled due to local opposition to being evicted or relocated. The World Bank, smarting from adverse publicity on the Narmada dam made considerable efforts to work in a participatory manner concerning necessary resettlement related to an urban transportation programme where rail rights of way had to be extended. Again, as with GTZ, a participatory process is not necessarily an easy one, and there are still considerable delays in the programme.

Sustainable cities

Sustainable Cities is another programme which puts heavy emphasis on the participative process. Key stakeholders in the city discuss in a forum the key issues and set up working groups. The core issue area is a sustainable environment, but this is interpreted in a wide and flexible manner. For example, in Ismailia in Egypt, urban upgrading, and a city priority could be included in the programme. Local officials reported informally that there was much more progress on issues that had

been identified and which were "owned" locally than in a previous exercise where the environmental profile that identified key actions had been prepared by consultants. This example has not been checked thoroughly, but it is worth checking out.

UMP city consultation process

The Urban Management Programme has as one of its major tools the city consultation process. This is a participative process where stakeholders are facilitated to participate in the planning and implementation of selected issue areas. The programme supports local "anchor" institutions to play a facilitating role. Again, the evaluation of the perceived costs and benefits of this process are now being assessed, and IHS is responsible for undertaking the pilot studies on this. For this we will use standard tools to assess the perceived benefits and the costs involved. We are trying to use the same tools in SINPA research in order to achieve more value for the work done.

Addis Ababa: updating of Master Plan

In Addis Ababa in Ethiopia a team is working on the revision of the Master Plan. It was concerned that the work would impact on development, and thus require wider support than a small group of technical planners. In May/June 2000 an exhibition was held in a prominent building in the centre of the city. 51,000 people visited, more than 4,000 gave their opinions and almost 2,000 participated in discussions and fora. This was a considerable achievement in a situation that had not been characterised by open discussion. Will it make an impact? It is too early to say. The cost is clear - all work stopped from the large planning team for more than two months. What are the benefits? At this stage good will, more open debate, considerable press coverage. The impact on better decisions and created synergies of activities will take time to be clear.

Other experience

Some countries such as the United Kingdom have had a considerable development of participative approaches promoted by active professionals working often first with communities and then with local government. An approach known as "planning for real" has the slogan "officials on tap and not on top". Publications in this field which help to link experience in a number of countries with how to do it elsewhere include Hamdi and Goethert (1997) and Wates (2000).

Glossary and Acronyms

| Word/ concept | Definition |
|------------------------------------|--|
| Action Planning | <i>Action Planning is the participative process of development of a relatively short-term plan to use available resources to meet limited objectives, normally in a defined area.</i> |
| Capacity Building | <i>Developing the knowledge, skills and attitudes of people in organizations, together with building organization's ability to use their staff and improving the framework of policy, co-operation, institutions and regulation so that objectives can be achieved.</i> |
| CBO | <i>Community Based Organisation</i> |
| Comprehensive planning | <i>Planning which includes all areas in a city and all land uses</i> |
| Education | <i>Development of broad knowledge and understanding in certain fields, not normally focused on a specific task to be undertaken.</i> |
| Formal development | <i>Development which is according to zoning and building regulations.</i> |
| Governance | <i>The system of decision making on issues of common concern. The concept is broader than government and includes civil society.</i> |
| GTZ | <i>German Agency for Technical Co-operation</i> |
| IHS | <i>Institute for Housing and Urban Development Studies</i> |
| Informal development | <i>Development which is not according to zoning and building regulations. Normally refers to spontaneous housing and related commercial development. May account for up to 50% of development in some major cities.</i> |
| Integrated planning | <i>Planning where important linked components are planned together. Normally this would include social, physical (land use and infrastructure) and economic aspects.</i> |
| NGO | <i>Non Governmental Organisation</i> |
| OOPP | <i>Objectives Orientated Project Planning. Also known as ZOPP –see below</i> |
| Participative planning | <i>Planning process that deliberately seeks to involve key stakeholders in the process in order to ensure relevance of plans, benefit from knowledge, develop a base for co-operation and partnership and to gain commitment to allocation of the resources required for implementation.</i> |
| Partner institution | <i>An institution such as a training centre or consultancy which will co-operate in the project. Some of the key institutions are identified in the proposal. Others will be identified according to needs and capabilities.</i> |
| Partners | <i>People or organizations working together in an agreed manner to meet common objectives</i> |
| Stakeholder | <i>A person or organization with a stake or strong interest in the outcome of an event or plan.</i> |
| Statutory land use planning | <i>Spatial Planning which is based on law</i> |
| Strategic planning | <i>Strategic planning of a city is the participative process of development of a medium term plan to meet strategic objectives set by key stakeholders in a city. It normally combines physical, financial and institutional aspects</i> |
| Sustainable development | <i>Development that takes place without depleting non-renewable resources</i> |
| Training | <i>Developing the skills and knowledge required for individuals or teams to be able to perform defined tasks.</i> |
| Urban Management | <i>The process of working with partners in a city to try to achieve a city's operational and development objectives</i> |
| ZOPP | <i>Ziel Orientierte Projekt Planung (Objectives Oriented Project Planning)</i> |

References

SINPA references

Garnelo, Maria Luisa and Florian Steinberg (2000), **The Municipal Sustainable Development Plan (PDMS) as a Planning Process in Santa Cruz de la Sierra**, SINPA Programme, IHS Rotterdam, mimeo

Malama, Albert and Harry Mengers (2000), **Building Capacity for Local Government: Evolutionary process of the SINPA Programme in Zambia**.

Mumba, John, Albert Malama, Monique Peltenburg (2000), **Improving the Responsiveness of Kitwe City Council to the Needs of Stakeholders**, SINPA Programme, IHS mimeo, draft.

SINPA Bangladesh (2000), **SINPA Bangladesh Report Strategic for Local Capacity Building Processes, Politics, Participation and Practicalities**, SINPA Bangladesh, Tangail and Dhaka, mimeo.

SINPA Zambia (2000), **SINPA Zambia Report**, SINPA Zambia, Kitwe, mimeo.

Wit, Joop de and Krishnamurthy (2000), **Learning Lessons from the Bangalore Urban Poverty Alleviation Programme, a Participatory Approach to Urban Development**, SINPA Programme, IHS Rotterdam, mimeo

General References

Davidson, Forbes (1996), "Planning for Performance: requirements for sustainable development", **Habitat International**, Vol. 20 No.3, Elsevier UK, pp.445-462.

Comments: review of changing environment of planning and its impact on performance required of planning. Performance orientation is compared to statutory planning particularly in the requirements for sustainable development. Implications examined for plans, institutions and planners. Conclusion: need both types of planning.

Davidson, Forbes and Payne, Geoff, (2000) **Urban Projects Manual, Second Edition**, Liverpool University Press.

Comments: a guide to preparing upgrading and new urban development projects with a particular emphasis on the approach and process rather than on specific solutions. Tasks are described and supported with technical notes on subjects ranging from intermediate survey techniques to calculating internal rate of return. Uses Ismailia demonstration projects as a reference, but aims at wider relevance. New version has additional material on participation, land and information technology.

Davoudi, Simin, (1995) "City Challenge The three way partnership", **Planning Practice and Research**, Vol. 10, Nos. 3/4 pp.333-344.

Comments: analysis of experience of City Challenge Programme in Newcastle, UK. Looks at history of involvement of local authority, community groups and local private sector. Finds local government still dominant, but that Central Government role with heavy monitoring and reporting tends to deaden local initiative. Doubts if initiative is sustainable.

Gibson, Anthony, **Planning for Real** .

Comments: see also Development Planning for Real Tony Gibson and Ellen Wratten

Gibson, Tony, (1991) **Taking the Neighbourhood Initiative: A facilitator's Guide**, Neighbourhood Initiatives Foundation, Dept of the Environment U.K.

Comments: describes process of planning with poor community in North Tyneside 1988-91 including range of techniques. Resulted in 78% drop in crime in early days plus improved working with council

GTZ, (1997) **Manual for Urban Environmental Management**, Eschborn, GTZ, pp.106.

Comments: a well-illustrated manual for environmental management drawing from GTZ experience, mainly in the Asian region. Draws on UDLE amongst other projects. References to resources available locally. Date not shown - probably 97 (fd).

Halla, Francos, (1994), "A Co-ordinating and Participatory Approach to Managing Cities. The Case of the Sustainable Dar es Salaam Project in Tanzania", **Habitat International**, vol. 18 No 3 pp19-31.

Comments: review of sustainable cities approach applied in Dar es Salaam

Hamdi, Nabil, Reinhard Goethert (1997), **Action Planning for Cities A Guide to Community Practice**, Chichester, John Wiley, pp.252.

Comments: a practical review of action planning methodology for community based interventions. Deals with Theory, Tools and Training. pp 81-117 on tools in operation.

ICLEI (1996), **The Local Agenda 21 Planning Guide. An Introduction to Sustainable Development Planning**, Toronto, ICLEI - International Council for Local Environmental Initiatives, pp.209.

Comments: a practical guide with worksheets and cases of developing local Agenda 21 plans. (fd)

Leitman, Joseph (1993), **Rapid Urban Environmental Assessment Lessons from Cities in the Developing World, vol. 2: Tools and Outputs**, Washington, World Bank, Urban Management Programme, pp.70.

Comments: description of approach and tools (Vol2) to be used as basis for developing environmental management plans following the approach of Agenda 21. Builds on the approach developed in participatory rural appraisal. This volume focuses on practical instruments to use in the field, including stakeholder analysis and sample terms of reference

Leitman, Joseph (1993), **Rapid Urban Environmental Assessment Lessons from Cities in the Developing World, vol. I : Methodology and Preliminary Findings**, Washington, World Bank, Urban Management Programme, pp.70.

Comments: description of approach and tools (Vol2) to be used as basis for developing environmental management plans following the approach of Agenda 21. Builds on the approach developed in participatory rural appraisal.

McMaster, James (1991), **Urban Financial Management. A training manual**. Washington, World Bank, EDI technical materials, pp.176.

Comments: developed from training courses run with UNCHS - inputs by a number of authors. Chapters on strategies and principles/ revenue mobilization/ expenditure planning/ private participation. Provides very useful core training material together with exercises . A very useful and practical review of experience in London boroughs of using participative approaches including Planning for Real. (fd)

UNCHS (1997), **Partnership for Local Action. A sourcebook on participatory approaches to shelter and human settlements improvement for local government officials**, Bangkok, Community Development Programme for Asia, Citynet, pp.172.

Comments: Sourcebook on community based and participative planning in Asia. Chapters: Overview, Urban Poor, Enabling Government, Case Studies - Naga City, Philippines; Kandy, Sri Lanka; Sukkur, Pakistan; Kitagata, Japan; KIP, Surabaya; UDLE Nepal. Also includes references and bibliography. A useful review of recent participatory planning practice.

Warner, Michael (1996), "Strategic Development Planning at the Community Level. A Modification to Participatory Planning", **Community Development Journal**, 31:4, pp.330-342.

Comments: relevance of strategic planning methodology for participatory planning of community development. Argues for combination of external and internal appraisals of such planning processes (JG)

Wates, Nick (2000), **The Community Planning Handbook**, London, Earthscan, pp.230.

Comments: a very useful, well designed book on practical techniques and cases of applying participatory approaches to planning with communities. Cases include European, American and developing countries. The author has experience particularly in UK

Wheeland, Craig M. (1993), "Citywide Strategic Planning An evaluation of Rock Hill's Empowering the Vision", **Public Administration Review**, Vol. 53:1, January/February, pp. 65-72.

Comments: review of strategic planning exercise in Rock Hill, South Carolina. Gives a useful review of the process of participation - the motivation, the "champions" involved in the process. Also the limitations of participation. Identifies key lessons: strong, stable leadership; sufficient public resources; strong champions; creative work process; visualising changes; broad based participation; "living plan". Interesting points also on wider experience of strategic planning in US - with good bibliography. Author is political scientist. Unfortunately, very little on what the plan actually contained and what has happened. (FD)

5

Financial Improvement Planning in Local Governments: a comparison of experiences in Santa Cruz, Kitwe and Tangail

Leon van den Dool

1. Introduction

This paper was prepared as one of the activities of the SINPA project (Support to Implementation of National Plans of Action). This started in August 1998 as a follow-up to the Habitat II Conference held in Istanbul in 1996. The SINPA project is financially supported by the Netherlands Government and is implemented in three cities: Santa Cruz (Bolivia), Kitwe (Zambia) and Tangail (Bangladesh).

Santa Cruz, Kitwe and Tangail, like many cities in developing countries, experience huge financial problems. It was therefore decided within the SINPA framework in Kitwe, and later also in Tangail and Santa Cruz, to look at possibilities to improve the financial situation of the city. In Kitwe a first inventory was made in April 1999. After a year and a half a report was prepared to evaluate the implementation of the various recommendations. In Tangail a similar inventory was made in August 2000. In Santa Cruz a process of strategic planning has been completed in which the resources needed for implementation were identified. As a result interest in financial issues has increased. An inventory of the financial situation was made in Santa Cruz in August 2000.

Many cities in developing countries will have very similar problems. It is hoped the paper will help in identifying these problems and provide fruitful ideas for financial improvement elsewhere. Any comments on this paper to the Institute for Housing and Urban Development Studies would be highly appreciated and would serve to increase our knowledge and experience in tackling this important problem better.

The final section of this paper attempts to summarise the main conclusions of the various experiences on which the work is based. It is hoped that will provide some pointers as to how to proceed with the important mission of financial improvement of local governments in the future.

2. Major approaches for financial improvement of local government

2.1 Why focus on financial improvement of local government?

The shortage of financial resources is probably the main problem facing local governments. Financial problems seem to hinder almost all policies they wish to implement and seriously limit the services they can provide. In past decades three developments have taken place which have accentuated the financial problems of local governments in developing countries.

First, there has been a shift away from the central government planning paradigm to civil society and a free market orientation. Although this shift has not been felt equally strongly in all countries a trend in this direction has been noted by several writers (Doornbos, 1990; Davis et al., 1994). The overall effect of this trend for local government has not been positive. When, in the 1960's and 1970's, central government was viewed as the engine of development, the consequences for local government were quite straightforward. They simply had to implement what was decided upon by central government. Local governments were seen as the hands that could implement whatever was planned at national level. High levels of autonomy of local government with regard to anything, including financial autonomy, did not fit into this view (Esman, 1972). Thus local governments were heavily dependent on central government grants.

When the results of central government development planning proved increasingly disappointing, an ideological shift took place. Because of the financial and economic crisis many countries experienced in the late 1970's and 1980's, government expenditure had to be reduced. Structural adjustment programmes were promoted by the World Bank and the IMF, reducing government expenditure and liberalising the economy. In the guise of privatisation, deregulation and a focus on the role of NGO's and civil society, central government grants to local governments were seriously cut (Mawhood, 1983; Cheru, 1989). Local governments, often not having a strongly organised lobby at central level, turned out to be an easy target for budget cuts. In some countries central government grants to local governments were even reduced to almost zero. Zambia and Bolivia are examples of this. At the same time these local governments had to readjust their role from an implementor of central government policies to an initiator of policies at local level and a facilitator or manager of the various actors that play their respective roles in local development. Many local governments had great difficulty adapting to these changes.

Secondly, the term decentralisation, initially having had a positive connotation for local government, turned out in many cases to be a threat. Although ideas like "power to the people", increased participation and efficient and effective service provision at local level all contributed to decentralisation policies in many countries in the 80's, the outcome has in many instances been less positive (Olowu, 1992). In many cases the tasks of local governments were increased without the necessary tools to implement them, such as adequate staff capacity, well equipped organisations and financial resources. In many cases decentralisation policies also created confusion about the roles and responsibilities of government organisations at local level, thus creating an excuse not to implement – and not to assume the financial burdens of - newly acquired activities. One may also note a reluctance of central government institutions to give up power such as in decisions over budgets, which in many cases have continued to be taken at central level.

Thirdly we are entering the urban century. In the year 2000, for the first time in history, the urban population is more than 50% of total world population. This increasing urbanisation can be fully attributed to the increase in the developing countries; urbanisation in Europe and North America has been stable for some time. Rapidly growing cities in developing countries also need rapidly growing services for their population. Often services in an urban environment, like water-supply, waste-management and infrastructure, are more crucial than in a rural environment. Obviously this places an increasing demand on the financial capacity of local government (Bahl and Linn, 1992).

For the above-mentioned reasons we can conclude that improvement of the financial performance of local governments is a highly relevant topic. This paper compares different strategies for such improvements.

2.2 A Financial Improvement Planning Framework

As already mentioned this paper is an attempt to combine lessons from three cities and to learn from experiences, both negative and positive. For any comparative analysis there is a danger that one ends up with a wide variety of experiences that cannot be connected to each other in a meaningful way. This paper aims to avoid being a 'curiosity shop' with all kind of specific descriptions of the exotic and peculiar circumstances in any of the three cities in question. Instead it will attempt to compare the experiences by using a common framework of analysis. Ideally one would like to compare the same variables and see how and why the scoring on these variables is the same or differs. To a certain extent that is possible. However, definitions vary in important ways from one country to the other. For this reason *local taxes* and *local fees* cannot easily be compared because they vary in definition. Still, much of interest can be learned by using a framework that has been developed by Dauskardt (Dauskardt, 2000).

Dauskardt first draws attention to various other contributions to financial improvement planning of local governments (McMasters, 1991; Bahl and Linn, 1992; ADB 1998). He then proposes to build the financial improvement planning work on four pillars:

1. Improving basic financial management systems and practices
2. Increasing revenue
3. Reducing expenditure
4. Building financial management capacity to undertake reforms.

The reports from Kitwe, Tangail and Santa Cruz all indicate these four areas deserve attention. They suggest that there may be two additional items of importance that are not included here. One is the need for checks and balances in the financial system. Here the role of internal and external auditors can be looked at, which is already done explicitly in the above framework. However, the role of political control over the financial system can also be argued to be a necessary part of this. This element will therefore be included in this paper.

Secondly, now that the process has been underway for some time in Kitwe - and to a lesser extent in Santa Cruz and Tangail - some initial observations on the process itself can be made. These will draw us closer to the theme of the SINPA seminar, "Politics, Processes and Participation"

The four areas of the financial improvement planning framework form the structure for this chapter.

- Improving basic financial management systems and practices

In the first place basic financial management systems and practices are crucial for financial performance.

- Increasing revenue

Secondly there is the increase in revenue. In this respect one can think about the tax-base, tax collection performance, financial performance of business-type activities carried out by the municipal government, and central government grants.

- Reducing expenditure

Thirdly the possible ways in which expenditure might be reduced need to be considered. Here one can think of priority setting, the - often high - expenditure on salaries and wages and all kind of management tools to cut-down or rationalise expenditure.

- Building financial management capacity to undertake reforms.

Fourthly, it is important to look at the financial management capacity of the city. Is the financial department well structured and organised? Possibly more importantly, is the staff well trained and experienced? What checks and balances exist in this field? Checks and balances are partly needed within the civil service (internal and external auditors) and partly at the political level (finance committee and role of councillors).

2.3 Basic financial management systems and practices

Since what is required from local governments differs from country to country it is difficult to give a precise definition of what a basic financial management system is. Here some of the most important characteristics are given. The financial management system needs to produce information that is up to date, reliable, understandable for everyone involved and founded on up-to-date databases.

- First of all, financial information needs to be up to date, reflecting income and expenditure adequately. In Kitwe the audited figures were more than five years out of date when the exercise started and up-to-date current figures were hard to get. In such circumstances financial problems demanding immediate attention can go unnoticed for a long time, thus posing a risk to the functioning of the Council. A concerted effort on the part of the Financial Department resulted in a considerable improvement within a year. In Santa Cruz and Tangail this problem was less apparent.
- A more fundamental problem for a basic financial management system is that it needs to have a solid foundation of databases. Many taxes and fees are collected on the basis of the information that is available at the Council. Here one can think of the valuation roll for houses and other buildings, proper registration of water-consumers and other databases that are vital for fee and tax-collections. To keep this information up to date poses major problems for all the councils involved. One problem is the need to computerise these systems, as stressed in Tangail, although

also relevant in Kitwe. In Santa Cruz, some positive experience was gained with the computerisation of motor vehicle registration. Cumbersome, slow central government regulations are a source of problems in this respect. Both in Kitwe and Tangail the long and difficult procedure to update the valuation roll for property was mentioned. Furthermore the combination of an enormous amount of data needed and unclear or impractical guidelines on how to register the data needed result in bad registers. On top of that some data change rapidly, such as the number of houses in the city eligible to property tax.

- Taxes should also be clear to everyone involved to avoid misunderstandings and frustrations. The interviews in Tangail revealed that almost no inhabitants in Tangail know how their tax is calculated. All they do is compare their tax bill with others and when they find that others pay lower taxes they feel unjustly treated and are unwilling to pay. Unfortunately up to now there is not much experience with how to solve these issues. Potentially there is scope for improvement in this field.
- Finally a basic financial system must be able to produce financial information that is clear for the people who have to use it. In the eyes of the financial experts their systems are absolutely able to produce information that can easily be interpreted. For councillors, often not familiar with financial statements, that is not true. Although the existing systems are mostly adequate, extra training is still needed for the councillors, especially in the finance committee. Indications of this need can be read between the lines in the reports for Santa Cruz and Tangail. In Kitwe a brief training exercise solved part of this problem.

2.4 Increasing Revenue

In principle, revenues can be increased by increasing the number of sources or by increasing income obtained from each source. In both cases the capacity and the willingness of the local population to pay plays an important role. During the Tangail inventory work the researchers interviewed 100 taxpayers. These interviews made it clear that the tax-payers are willing to pay their tax as long as a clear service is provided. For instance most tax-payers in Tangail mentioned they could understand an increase in the water rate as this was perceived as very low compared to the costs of this important service. An increase in the property tax would, however, meet more opposition, since the way this tax is calculated is unclear to people. This gives rise to feelings of injustice: people do not understand why they have to pay more than others. The property tax is also not clearly connected to a specific service of local government.

Tax base and central government grants

In general, the main sources of revenue for Kitwe and Tangail are indicated in table 1 below.

Table 1. Main sources of income (US \$)

| Revenue Source | Tangail (1998) | Santa Cruz (1999) | Kitwe (1998) |
|-------------------------------------|----------------|---|--------------|
| Central government grants | 299,529 | 0 (27.633,574 participation popular) | 0 |
| Property tax/property rates | 213,850 | 14,734,611 | 933,694 |
| Other income (other taxes and fees) | 94,550 | 12,293,089 | 597,370 |
| Total | 607,929 | 83,530,487 (inc. borrowing and donations) | 1,531,064 |

Note: The amounts are based on 1998 figures for Tangail and Kitwe.

Main sources of income as % of total income

| Revenue Source | Tangail (1998) | Santa Cruz (1999) | Kitwe (1998) |
|---|----------------|------------------------------------|--------------|
| Central government grants | 49.3 % | 0 (33.1% participation popular) | 0 |
| Property tax/property rates | 35.2 % | 17.6% | 61 % |
| Other own income (other taxes and fees) | 15.5 % | 14.7% | 39 % |
| Total | 100 | 100 (inc. borrowing and donations) | 100 |

One of the striking differences is that in Tangail almost 50% of the income is from central government, whereas Kitwe receives nothing from this source. Formally, Santa Cruz also does not receive grants from central government. These were given in the past but have step by step been brought down to zero. The Law on Popular Participation, however, has created special committees, which operate at the sub-local level, and they receive a sum equivalent to 33% of the total budget. This budget is intended for local services.

In general local governments rely for a considerable amount of their income on central government in many countries, as is shown in table 2.

Table 2: Percentage of local revenue from national government

| | UK | Denmark | Sweden | Germany | USA | Netherlands |
|------|------|---------|--------|---------|------|-------------|
| Year | 1981 | 1982 | | 1981 | 1983 | 1981 |
| % | 60.3 | 55.5 | 25.5 | 39.5 | 54.9 | 84.7 |

A common solution to finance local government is to have taxes collected at the national level and a kind of automatic revenue sharing by which local governments get a share of that income. The idea is that many taxes are more efficiently collected at local level and central government normally would like to control tax levels (for a more elaborate view on this refer to Peterson, 1995 or Smith, 1985). From these examples it is clear that Zambia is an extraordinary case. In few other countries do local governments not receive central government grants, such as Ethiopia. There are signs the Government of Zambia is reviewing this policy. There seems little that can be done by a single local government like Kitwe to change the current situation.

The total income from own sources differs partly because of the variation in central government grants. Kitwe has to rely entirely on own sources of income. In Tangail own income is approximately 50% of the total income of the city. In Santa Cruz approximately a third is income from own sources, one third is the central government grant for the Law on Popular Participation and one third is composed of donations from various donor organisations and borrowing.

Tax-collection

For all three cities property tax is by far the most important own source of revenue. For the purposes of our paper property tax is an important element. As Rosengard puts it: "Property taxes are commonly believed to be a dominant factor in investment and consumption decisions over which they [investors in the city – author] have negligible influence, rather than as a viable means for funding the local provision of public goods." (Rosengard, 1998). Looking at the character of property tax it is found to be able to ensure the long-term generation of adequate local government discretionary resources. Property tax can do no more, but can do considerably less. This implies to Rosengard (ibid.) the purpose of property tax is not:

- to guide allocative decisions;
- to achieve social goals;
- to recover capital costs;
- to price private goods.

The sustainability of the property tax system can be maximised by increasing the coverage, emphasising simplicity and enhancing buoyancy by indexing and re-valuations.

Rosengard believes efforts to improve the property tax system should contain:

- personal and organisational incentives;
- improving services provided;
- applying sanctions;
- mounting multimedia campaigns;
- linking policies and practices, phasing implementation and upgrading existing systems.

These observations on property tax are very relevant not only because it is the most important own source of income in the three cities. The central problem with this important source of revenue in all three cities appears to be under-collection. Remarkably, all three cities collect only 26% of the estimated income out of property tax.

Table 3: Collection rate property tax

| City | Santa Cruz | Tangail | Kitwe |
|------------------------------|----------------------------|--------------------------|-------------------------|
| Collection rate property tax | Less than 25% of potential | 26 % of estimated income | 26% of estimated income |

Unfortunately, there is no clear explanation why these percentages are so low Kitwe and Tangail. In both Bangladesh and Zambia there are cities that are able to collect well over 50% of their estimated property tax. Possible explanations are the unclear relation between this tax and specific services provided, leading to an unwillingness to pay. For Tangail the relatively low level of sanctions compared to

other cities is mentioned. Current collection practices, such as the registration of payments and the follow-up of non-payment, may very well contribute to increasing the amount collected.

In Santa Cruz two reasons are mentioned for under collection. In the first place, property tax is based on the cadastral value, whereas the commercial value of the real estate may be four or five times higher. A similar problem exists in Tangail and in Kitwe. To solve this problem Rosengard (1998) proposes a system of indexing or re-valuing the property more regularly. In several countries, including the Netherlands, a combined system is used. The property is re-valued every five or ten years; in the intervening period an index for the increase of value is used for the whole city. Since the valuation system in all three countries is wholly or partly decided upon and implemented by central government, here a relatively simple possibility to improve the property tax system is at hand. It could also be implemented at relatively low cost.

The second problem noted in Santa Cruz is the system of registration of taxpayers. It does not cover all property owners. Although not explicitly mentioned in the reports, similar problems may well exist in Kitwe and Tangail considering the slow and cumbersome process to get the valuation rolls updated. Again central government action would be needed to improve the situation.

It is noted in the Tangail report that doubling the current amount of property tax collected would have an enormous effect on the local revenue. Improvements here have a potential of solving many of the critical problems that currently exist. A similar observation can be made for Kitwe, where the effect would be even bigger, since property rates are the main source of income and there are no central government grants. Although the potential for revenue gains is lowest in Santa Cruz, since the share of property tax is 17.6%, it could still have an enormous effect. If income from property tax could be doubled – which may not be totally unrealistic given the cadastral under-valuation - it would result in an additional yearly income of 15 million US dollars.

Private undertakings

The extent to which private undertakings contribute to the financial performance of local governments differs greatly. In Tangail all private undertakings have a clear public character, such as the market or bus-stations. Income from these is marginal compared to the total annual budget. In Zambia there are also private undertakings with a less obvious public character like taverns and rest-houses. Here the undertakings are all loss-making and therefore draw on the general council budget, worsening its overall financial performance. A start has therefore been made with privatising these activities. For Santa Cruz there is no mention of similar undertakings.

2.5 Reducing Expenditure

Apart from increasing revenue, another solution for improving financial performance is to reduce expenditure. In general, increasing revenue is mostly spread over a large part of the population, while reducing expenditure often directly affects a relatively small group. This may cause protests from the people so affected. Nevertheless, increasing revenue but failing to re-consider current expenditures makes any Council

vulnerable to criticism. Experiences in the three cities suggest that there is great potential for improvement in this area as well.

Priority setting

It was recommended for Kitwe to set priorities on the basis of cost-benefit analysis. When trying to deal with this recommendation the financial department had difficulty comparing investment programmes. Costs and, more importantly, benefits of many public programmes like road rehabilitation and street lights cannot be easily expressed in financial terms according to the financial department in Kitwe.

A strategic plan for the city may also provide guidelines on priorities. In Santa Cruz the strategic planning exercise has already started, although financial priorities have not yet been established. The planned strategic planning exercise in Kitwe could potentially result in priorities for expenditure.

Salaries and wages versus capital investments and services

In all three cities it is felt salaries and wages are too costly and reduce the money available for investment and services. The problem is most urgent in Kitwe. Almost 92% of the expenditure is related to salaries and wages. The problem here is that salaries increase while the city's income does not. At the same time retrenchment is very costly because of the compensation packages required for staff affected. The city therefore feels trapped, and indeed there does not seem to be an easy way out of this problem. Kitwe has thus far not been very successful in reducing staffing costs. Recently salary payments were delayed and are now three months in arrears.

The Santa Cruz experience is very similar. The city spends around 20% of its total income on salaries, and has not been very successful in reducing this. In previous years expenditure on services and investment was slightly above 50%. The city has been borrowing increasingly to meet the growing demand for physical infrastructure. This has caused debt service to rise from 11% of total expenditure in 1991 to an alarming 32% in 1999. Income now covers only 77% of total expenditure with the remainder being met by borrowing.

In Tangail a considerable amount of the central government grant is reserved for infrastructure provision, constituting around 60% of the total budget. Salaries and wages are around 20% of the total budget.

2.6 Financial Management and Capacity to Undertake Reforms

Personnel situation

In all three cities the finance departments make similar remarks about the personnel situation. Basically there are two problems. One is the difficulty in filling all positions with staff with the right qualifications; another is high staff turnover, especially at higher levels. This problem caused serious delays in the implementation of the financial improvement plan. This implies that the problem is not only to train personnel up to the required level but also that attention is needed on how to keep trained personnel in the organisation.

Internal and External audits

In Tangail internal audits are implemented on a regular basis by the Finance Department. There is no separate internal audit function in the Pourashava organisation. In Kitwe an internal audit function is separately organised but has very under-qualified staff. A proposal to upgrade the internal audit function has not been implemented thus far.

In both Kitwe and Tangail central government performs external audits. These are, however, completed long after the financial year has ended. In Tangail the delay is five years and in Kitwe it is more than ten. This means that any reported irregularities have already become irrelevant. Corrective measures for something that happened five years or even more than ten years ago are often impossible.

Role of the Council

In Kitwe it was felt that councillors were ill equipped to take up their role of supervising the financial affairs of the Council. Training was conducted in November 1999. The results were positive, but it was felt more training was needed. Since the councillors rotate to other committees every year all will have to be trained and a reference manual could be helpful. The reports from Tangail and Santa Cruz do not specifically mention the role of the councillors in the financial management system.

Role of the Public

In Tangail it is suggested that involvement of the public in municipal finances should increase. When investment plans are being prepared it is envisaged that this could be done jointly with various stakeholders. In this way willingness to participate in the plan could increase. No experiences are reported yet however.

3. Statements on Process, Politics, Participation and Practicalities

Since the theme of the seminar is "Process, Politics and Participation" the conclusions of this paper are structured in the same manner. I have added a section on "Practicalities" to allow the financial improvement issue to be looked at in somewhat more depth.

Normally a paper would end with conclusions. However, since this paper is meant as an input to the SINPA seminar discussions the term "conclusions" would be misleading. The paper does not aim to reach conclusions. Instead it compares experiences in financial improvement planning in the three cities. Hopefully at the end of the seminar this paper will have received many useful comments, making it possible to conclude it in a more final manner. For the time being I will present some statements for the seminar discussion.

A. Process

1. The most logical start of financial improvement planning is to draw up an inventory of the current situation in terms of financial management systems, income and expenditure. This allows a first list of recommendations to be made.
2. Good progress is being made on the implementation of initial recommendations. In the case of Kitwe 49% has been carried out or is done or underway. However, the lack of a broad committee with key civil servants and councillors to monitor progress is causing a reduction in the attention given to financial improvement planning is.
3. An important incentive for continued financial improvement work is to have benchmarks at various stages in the form of clearly defined increases in income and decreasing in expenditure. These benchmarks should be realistic and should not have very long intervals (months rather than years) in between.

B. Politics

1. Before the start of a financial improvement planning process doubts and some resistance are common both among civil servants and politicians, since financial matters are always sensitive. However when the process has commenced political conflicts rarely occur. Financial improvement planning turns out to be a more neutral activity than was initially expected.
2. Continued political support for financial improvement by the Council is crucial and can only be obtained by holding special training courses. These should focus on enabling councillors to acquire an overview of income, expenditure and the main financial problems of the city.

C. Participation

1. Reports greatly underestimate the effect of improved financial management on increasing the trust of inhabitants in their city administration. Therefore both targets and results of financial improvement planning should be announced publicly.
2. Willingness to pay taxes can be influenced by the city administration by: relating taxes to the services received, making tax calculations more transparent and making tax-evasion and non-payment less attractive.
3. Participatory planning of investment projects creates opportunities for community and private sector contributions that go largely unexplored in all three cities now.

D. Practicalities

1. Analysis of property tax collection shows that improvement in collection and revaluation and indexing of property have by far the highest potential to increase income in a sustainable way in all three cities.

Spanish Translation of Part 3

4 Planteamientos sobre Procesos, Políticas, Participación y Prácticas

Las conclusiones del presente artículo están estructuradas según la temática del seminario: "Procesos, Políticas y Participación". Adjunto "Prácticas" para permitir una sección que con mas profundidad y más específicamente mira al tema de mejoramiento financiero. Normalmente un artículo termina con conclusiones, pero como el presente es un insumo para la discusión en el seminario de SINPA, el término "conclusión" podría engañar, ya que no se pretende concluir antes de abrir la discusión. Más bien, el objetivo es comparar las experiencias en la planificación para el mejoramiento financiero en las tres ciudades. Cuando termina el seminario se espera haber recibido muchos comentarios útiles, para poder llegar a conclusiones finales. Por el momento presento los siguientes planteamientos como insumo para la discusión.

A. Procesos

1. El inicio más lógico de planificación para el mejoramiento financiero es hacer un inventario de la situación actual en cuanto a sistemas de gerencia financiera, ingresos y egresos. Sobre la base de tal inventario se formula un primer listado de recomendaciones.
2. A pesar del progreso realizado a partir de las recomendaciones iniciales (en el caso de Kitwe 49% cumplido o en procesos de implementación), el factor más importante que determina la disminución en interés para la planificación de mejoramiento financiero, es la falta de una comisión amplia que monitorea el proceso y donde participan concejales y ejecutivos claves.
3. Una motivación importante para continuar un proceso de mejoramiento financiero es contar con indicadores que claramente definen un aumento en ingresos o una disminución en gastos. Tales indicadores tendrían que ser realistas, de corto o mediano plazo y sin mucho tiempo entre ellos (meses antes que años)

B. Políticas

1. Antes de iniciar un proceso de planificación para mejoramiento financiero, suelen ocurrir dudas y resistencia tanto en ejecutivos como en concejales, bajo la impresión que finanzas municipales es un tema delicado para discutir. Sin embargo, una vez el proceso está en camino, raramente surgen conflictos políticos. Planificación para el mejoramiento financiero resulta una actividad menos delicada de lo esperado.
2. El apoyo político continuo del concejo municipal para mejoramiento financiero es de una importancia crucial. Para tal fin, los concejales requieren de conocimiento específico que solamente pueden adquirir a través de eventos de capacitación. Tales eventos tendrían que concentrarse en capacitar los concejales en obtener conocimiento sobre los ingresos, gastos y los principales problemas financieros de la ciudad.

C. Participación

1. Se suele subestimar la importancia de información sobre el mejoramiento de la gerencia financiera como aspecto que crea confianza entre los habitantes en la administración de la ciudad. Por lo tanto, se tendría que transmitir los objetivos y resultados de la planificación para mejoramiento financiero públicamente.
2. La voluntad para pagar impuestos pueda ser influenciada por la administración pública mediante: una relación clara entre impuestos y servicios recibidos; mayor claridad en el cálculo de los impuestos; una disminución en la atracción de la evasión de impuestos.
3. La planificación participativa de proyectos de inversión representa una oportunidad para la contribución de la comunidad y del sector privado, oportunidades que hasta ahora no han sido exploradas en las tres ciudades.

D. Prácticas

1. El análisis de la recaudación de impuestos sobre bienes demuestra que mejorar el sistema recaudativo y revalorizar e indexar los bienes raíces tiene el potencial más grande para incrementar.

Literature

- Asian Development Bank (1998), **Capacity Building for Improved Infrastructure Development in Selected Municipalities in Karnataka State**, Karnataka and Rotterdam, ADB and Institute for Housing and Urban Development Studies, Final Report.
- Bahl, R.W. and Linn, J.F. (1992), **Urban Public Finance in Developing Countries**, New York and Oxford, Oxford University Press.
- Crook, R. C. (1994), *Four Years of the Ghana Districts Assemblies in Operation: Decentralization, Democratization and Administrative Performance*, **Public Administration and Development**, vol.14: 339-364.
- Dauskardt, R.P.A. (2000), **Applied Financial Improvement Planning in Local Governments**, Rotterdam, Institute for Housing and Urban Development Studies, SINPA Project Series.
- Davis, D, D. Hulme and P. Woodhouse (1994), *Decentralization by Default: Local Governance and the View from the Village in The Gambia*, **Public Administration and Development**, vol.14: 253-269.
- Doornbos, M. (1990), *The African State in Academic Debate: Retrospect and Prospect*, Maastricht, Seminar: Beyond Adjustment.
- Esman, M. J. (1972), **Administration and Development in Malaysia: Institution Building and Reform in a Plural Society**, Ithaca and London, Cornell University Press.
- Mawhood, P. (1983), **Local Government in the Third World: The Experience of Tropical Africa**, Chichester and New York, Wiley.
- McMaster, J. (1991), **Urban Financial Management: A Training Manual**, Washington, .C., World Bank.
- Olowu, D. and P. Smoke (1992), *Determinants of Success in African Local Governments: an Overview*, **Public Administration and Development**, 12, 1-17
- Peterson, G. E. (1995), **The Urban Age**, special issue on urban finance
- Smith, B. C. (1985), **Decentralization, the Territorial Dimension of the State**, London: George Allen & Unwin.
- Rosengard, J. K. (1998), **Property Tax Reform in Developing Countries**, Dordrecht and Boston, Kluwer.

The information with respect to Kitwe, Tangail and Santa Cruz is based on the following reports:

Sistema de Recaudación de Recursos Financieros del Gobierno Municipal de Santa Cruz de la Sierra, Santa Cruz, Agosto de 2000

Resource Mobilization and Management in Tangail Pourashava, Dr. Nawshad Ahmed, July 2000

Financial Improvement Plan for Kitwe City Council, F.T.J. Ndeke, A. Chitembo, R.P.A. Dauskardt, April 1999

Follow-up on Revenue Improvement and Expenditure Rationalisation at Kitwe City Council, A. Chitembo, July 2000

6

Strategies for Solid Waste Management under SINPA: Experiences from Kitwe, Santa Cruz and Tangail

Marijk Huysman

This paper was prepared for the international SINPA seminar to be held from 19-21 September 2000 in Rotterdam. SINPA is an abbreviation of Support to Implementation of National Plan of Action. The project is financially supported by the Netherlands Government and is implemented in three cities: Kitwe (Zambia), Santa Cruz (Bolivia) and Tangail (Bangladesh). The paper provides an overview of the capacity building strategies for solid waste management (SWM) that are adopted in these three cities and is divided into three main parts. The introduction briefly outlines the changes in present-day solid waste management systems in Southern cities. The second part of the paper focuses on the SINPA programme and describes respectively the background of the solid waste situation, the process of SINPA involvement in SWM, the role of politics and finally the participation of stakeholders for each city. In the concluding part some statements are posed, which can be taken up for further discussion during the seminar. The information provided in the paper derives from SINPA studies, annual SINPA reviews and progress reports, and interviews with SINPA / IHS staff.

1. Introduction

The collection and disposal of solid waste is increasingly perceived as one of the greatest environmental problems facing many municipal authorities all over the world. Especially in poor and fast-growing cities in the South, waste problems have reached crisis proportions. The exponential growth of the urban population, rapid industrialisation and changes in consumption patterns, have all contributed to a rapid change in waste composition and an enormous growth in waste quantities that seriously endanger public health, economic activities, and the overall environment of cities.

Efficient and effective Solid Waste Management (SWM)³ is critical for maintaining the quality of day-to-day urban life. In many Southern cities, SWM is, however, inadequate. A significant segment of the population does not have access to a waste collection system, especially the urban poor and those living on the

³ The term Solid Waste Management (SWM) is used to describe a system incorporating the storage, collection, transfer and transport, recycling, resource recovery and disposal of municipal solid wastes (Cointreau, 1994). Furthermore, SWM is considered as an essential task which has important consequences for public health and well-being, the quality and sustainability of the urban environment and the efficiency and productivity of the urban economy (Schübeler, 1996).

periphery of cities. In addition, only a part of the generated waste is actually collected. Systems of collection, transfer, treatment and disposal of solid waste are inefficient and unsatisfactory from an environmental point of view. Some factors that influence this poor state of SWM are diminishing municipal finances, lack of specified work norms and proper supervision, inadequate management capacity within municipal authorities and insufficient legislative support (Bartone *et al*, 1993).



Given present urbanisation trends, it is important to increase the quality and efficiency of solid waste services and to expand service coverage in a more balanced way. It is increasingly recognised that local authorities alone will not be able to bring about the necessary changes, and that a more user-oriented, participatory style of management is required (Gidman *et al*, 1995). Authors stress the importance of widening the service provision approach of SWM to include social and ecological goals. Essential aspects of such an approach are, among others, education of citizens on proper waste handling methods and participation of communities through waste collection schemes implemented by NGOs and CBOs (Furedy, 1992; Phammatter *et al*, 1996). There is also a growing acknowledgement that informal systems of waste recovery and recycling, often neglected or even forbidden by local governments, provide benefits to a municipal SWM

system. Due to constraints on government resources, one also witnesses an increasing process of privatisation. Governments decide to concede the whole waste operation, or to contract out particular parts of it to the private sector (Fernandez, 1993; Lee, 1997). Usually large companies are involved, although the scope for involvement of micro-enterprises is growing.

While SWM is traditionally a responsibility of local government, the number and type of other stakeholders in this field have been growing rapidly over the last decade. This not only requires a different role from local governments but also calls for a mixture of planning strategies and the establishment of partnerships to combine different approaches and resources and strengthen the integration of various activities into existing municipal systems.

2 Reviewing the SINPA experiences

2.1 Kitwe

The SWM situation

Kitwe, Zambia's second largest city, has evolved from a small town in the 1930's, to the present city with a population of roughly 500.000. In addition to the copper mines and interrelated light and heavy industries, the city has a fast expanding informal economic sector and is known as an educational centre.

In administrative terms, Kitwe is divided into two separate entities: the council area, which falls within the jurisdiction of Kitwe City Council (KCC), and the mine area previously falling under the Zambian Copper Mines (ZCCM). Currently, the KCC is responsible for infrastructure and utility services in the council area only. In the mine area, these services, including the collection and disposal of solid waste, were rendered by private companies under auspices of the ZCCM. After the privatisation of the mines in 1997, an Asset Holding Company (AHC), constituted with the support of the World Bank, has taken over the obligation of managing utility service delivery in all mine townships and is expected to do so for a period of three years. By the year 2002, this responsibility will most likely be transferred to the KCC, which will further complicate the situation in which the KCC has to operate.

It has been roughly estimated that the per capita waste production in Kitwe is 1.0 kg per day, resulting in a daily waste generation of 500 tonnes for both the municipal - and the mine area. In the municipal area, waste services remain limited to the waste generated in the Central Business District, the main markets, the hospital and some educational institutions. As a result, 90% of all the generated waste in the city remains uncollected. The little waste that is collected by the KCC is disposed of at an open dumpsite, 2 km from the city centre. This site is also utilised by the private contractors involved in service delivery in the mine townships and by industries.

At present, the municipality utilises one tractor-trailer and one truck for its waste operations, so it not surprising that residential areas, even those where the high-income groups reside, remain unserved. Since Kitwe is a green and a relatively low-density city with vast areas of open land, the waste problem is not that visible. The practices adopted by citizens to get rid of their waste have, nevertheless, a negative impact on the environment and the public health. Research reveals that a majority of the residents in high-income, low-density areas dispose of their waste in pits in their garden or compound. In medium- and high-density areas, residents largely resort to waste disposal at open public sites, the burning of waste or indiscriminate disposal at roadsides and in storm water drains. Due to lack of municipal services and the limited awareness on the negative impact of improper waste handling and disposal, many citizens consider these practices as the most convenient and cheapest alternative.

KCC's failure to manage the SWM system efficiently can mainly be attributed to:

- Inadequate resource mobilisation due to lack of central government grants and user charges for waste services;
- Low technical sustainability of the waste handling system due to lack of equipment, dumpsite management, and data on waste characteristics in the different parts of the city;
- Lack of adequate institutional arrangements including a clear SWM policy, licensing and monitoring mechanisms and a co-ordinated participation of other stakeholders;
- Failure to enforce existing legal provision due to lack of manpower and resources, and an overload of bureaucratic procedures.

For approximately two years, a number of small private companies have taken advantage of the lack of municipal services by offering primary collection services to mainly high-income residential areas and some commercial and institutional entities. These firms evolved independently from the KCC and, till recently, operated without official registration and licence.

The process

In a project formulation workshop organised by SINPA, key actors identified the SWM situation as one of the core problems in Kitwe. In line with this outcome, the SINPA staff undertook a study on the present SWM situation and carried out a survey among selected households to investigate options for improvement. The conclusions arising from these studies indicate the inevitability of privatisation of waste services, and simultaneously point to the need for a participatory approach and an active stand of the KCC in this process. Moreover, it is realised that the matter requires an official co-ordinating body, which resulted in the establishment of a Task Force in December 1999.

This Task Force meets monthly as and when the need arises⁴. During the 9 months of its existence the Task Force has set the following most urgent priorities:

- Rapid formalisation of private service delivery in the Central Business District;
- Directing the private sector involvement in high-income residential areas;
- Development of a proper SWM policy and the constitution of a regulatory body.

Soon after the formation of the Task Force, the city council demanded official registration of all the private companies involved in waste collection in the city. Through a public notice in the local newspaper, private companies involved or interested in waste collection were requested to register and pay a non-refundable application fee of K50.000. In total 9 companies are registered.

⁴ The task force consists of all the Directors of the different council departments, the chairperson of the Standing Committee of Public Health (councillor), the chairman of the Executive Market Committee (EMC) and SINPA staff.

In January 2000, SINPA organised a workshop for KCC officers and private companies to facilitate private sector involvement in waste collection. A total of 30 persons attended the workshop, including 8 owners of private companies, all the directors of the Council Departments and their technical staff engaged in SWM. The resource persons were drawn from the Environmental Council for Zambia, the Sustainable Lusaka Project and the Copperbelt University (CBU). The programme covered topics such as a general introduction to solid waste services and privatisation in SWM, Zambian legislation and policies regarding SWM, and procedures for tendering and contract management. At the end of the workshop all participants were given certificates of attendance.

By February 2000, the director of DPHS decided to register all business houses in the CBD, an exercise supported by the mayor and the town clerk who addressed the business houses on the need for private sector involvement. In the meantime, the Task Force granted permission to all the 9 registered companies to market their services among these business houses. As a result, 4 companies were able to obtain clients, of which 2 received permission to provide the service. Selection criteria included the expertise of the concerned companies in solid waste collection and their registration with the ECZ. A subsequent council notice was sent to all businesses in the CBD, requesting (not mandating) them to register with one of the selected companies. Charges are not regulated but left open for negotiation between the firm and the client. In June 2000, the SINPA staff initiates a survey among the business houses to investigate their registration, the fee levels and the type and quantity of waste they generate. The data collected are yet to be analysed.

In June-July 2000, the first bye-laws and Memoranda of Understanding (MOU) regarding solid waste were drafted, discussed by the Task Force and sent for amendment to the Director of the Department for Legal Services. They have yet to be approved by the Council and subsequently the Minister of Local Government and Housing, which is a time-consuming exercise.

In the meanwhile, SINPA staff conducted research on the position, capacity and problems of all the private firms involved in waste collection throughout the city. This study reveals that waste service delivery is profitable for private firms. To ensure a sustainable involvement of the private sector, facilitation, regulation and control is needed from the side of the KCC. This requires the development of a clear SWM policy, contract management and performance monitoring, and a re-orientation and re-organisation of the municipal system to enable staff to work accordingly.

A recently initiated Training Needs Assessment (TNA) will provide more insights into the training requirements of KCC staff, councillors and private firms. This exercise will be concluded during the latter half of 2000 and result in the development of a manual providing the material for training courses to be conducted by the CBU.

Politics

The Task Force plays an important role in the SINPA project, but it is to a great extent dependent upon the follow-up that is given to their recommendations and plans by the Council. Currently, one councillor attends Task Force meetings. She is the chairperson of the Public Health Committee, involved in a community waste project in her council area and actively involved in conducting public education campaigns on the local radio. The other councillors have, so far, played a minor role

in the process⁵. Overall, the Council is rather slow in decision-making, thereby making it more difficult and less economic for private firms to operate their businesses and ultimately delaying effective involvement of the private sector. Sometimes, the Council also takes decisions that negatively impact certain process directions. Contrary to the recommendation from the Task Force for a specific model of privatisation, the Council has signed, for instance, a franchise contract with a large private firm for waste collection in the main high-income areas. Neither the Task Force nor SINPA staff were officially informed about this arrangement and fear that it will pose a threat to other firms that are allowed to compete freely in the same areas.

So far, the capacity building needs of politicians have not been addressed but will form an important part of the planned TNA.

Participation of stakeholders

The KCC is currently the key stakeholder in the SINPA project. Overall, the project is maintaining good rapport with the executive staff of the KCC. The Town Clerk is essential in initiating and implementing the different elements of the privatisation programme but he is also limited in speeding up the decision-making process. The directors of the different council departments are members of the Task Force and KCC staff involved in SWM matters attended the workshop on privatisation. However, the fact that the KCC has since the end of 1999 been unable to pay salaries in time, has a slightly de-motivating effect on officers and staff.

Except for a survey in which selected groups of residents could give their opinions about privatisation of waste services, the general public has not been actively involved in the process. In illegal settlements, the Residents' Development Committees are involved in public education on good waste disposal practices. Most of the private contractors, currently involved in service delivery in the city, have attended the workshop organised by SINPA. Their operational problems and their expectations of the KCC have been investigated and will be taken into consideration by the Task Force.

2.2 Santa Cruz

The SWM situation

Santa Cruz is one of Bolivia's most rapidly growing cities. With an annual growth rate of 7%, the population of Santa Cruz increased from less than 700,000 in 1992, to over one million at present. This fast growth has brought with it several problems of service provision, among which the collection of solid waste is one of the most significant.

It is noticeable that the city lacks an overall culture of concern and care for the environment. Few citizens sweep the pavement outside their homes or shops, market stall-holders do little to deal with the waste which accumulates around their stalls and littering the streets is a widespread practice. Residential waste is commonly thrown into the streets and drainage channels or on to open sites. The waste collected by the Municipality, and later by private firms, is disposed of at an

⁵ A number of councillors from Chimwemwe (a low-income area) are involved in a community-based pilot project for waste collection. This project is implemented by the Trust Foundation.

open dumpsite, located close to the city. Local petroleum companies use the same site for disposal of industrial waste. As a result of this situation, solid waste poses a serious threat to the environment and the population of Santa Cruz.

The history of SWM in Santa Cruz is strongly determined by political processes with particular parties controlling the management of EMDELU, the municipal agency in charge of SWM, and allotting service contracts to private waste collection firms of their own choice. The first time that SWM became a real public issue was in 1993 when the MNR party governed the city. Since EMDELU was increasingly accused of poor service delivery and inadequate management of the dumpsite, the Municipality decided to privatise the entire solid waste service. The contract was awarded to JICHI, a private company, but EMDELU remains responsible for monitoring and control. Overall, this company offers a more effective and efficient service, but only partly accomplishes the establishment of a sanitary landfill.

In 1995, when the MNR lost the municipal elections and a mayor of the UCS / MIR coalition took office, the management of EMDULU was handed over to the MIR. Soon afterwards, a councillor of yet another party accused JICHI of water contamination due to leachate at the landfill. This was confirmed by an external audit and the municipality ended the contract with JICHI. The competition during the bidding process was small since private firms had to pay a considerable amount of money to acquire a contract (1% of the expected tender amount). Moreover, the negotiations and the contract agreements were not accessible to the public. In the end, an official contract with CLISA was signed. The contract included the collection of solid waste within the 4th ring of the city (where the city centre and the high- and middle-income areas are located), its transportation to the landfill and the management of the landfill.

For the sections outside the 4th ring, where the main slum areas are located, the Municipality opted for service delivery by micro-enterprises. This decision was mainly determined by the fact that CLISA refused to operate in areas that are poorly accessible. The establishment of these micro-enterprises as well as the formation of their association (ADMASUR) is supported by ASEO, an association of NGOs and civil organisations, and by GTZ⁶. In addition, political affiliation has a significant influence in relations between municipality and micro-enterprises.

During the service delivery of CLISA, the city not only faced a further deterioration of the landfill but also a decrease in service quality. In addition, residents serviced by CLISA paid for the service as a percentage of their electricity bill and felt increasingly discontented with the system. They indicated that the relation between electricity consumed and waste produced is often non-existent. Besides, municipal payments to both CLISA and the micro-enterprises were irregular and differed widely, with CLISA receiving about one-third more than what was actually indicated in the contract. This practice specifically impacts on the configuration of the micro-enterprises that quickly transform themselves from associations of the self-

⁶ In 1996, ASEO and GTZ organised a workshop on environmental education and neighbourhood participation in solid waste management. This workshop was attended by the national and the municipal government, a women's organisation, neighbourhood committees, EMDELU, and the water and electricity co-operatives. Although the municipality was involved in this workshop, it never adopted the recommendations.

employed into medium-scale enterprises whose shares are concentrated in the hands of a few.

Public dissatisfaction with both service quality and costs led to a series of criticisms of the management of EMDELU. The organisation faced an enormous discontinuity in management. Within four years the manager of EMDELU changed nine times; only one of the nine was technically qualified in the field of SWM. By the end of 1998, complaints about the quality of SWM increased, especially in the local press. The municipality was accused of insufficient control over the private company and of a general lack of transparency and clarity regarding operational and financial arrangements.

The process

SINPA entered the picture at a moment when SWM in Santa Cruz was already a problematic issue in many ways: the management of EMDELU, the terms of contract with the different private operators, the quality of the delivered service and the costs, the technical/environmental implications of the dumpsite, the position of the low income neighbourhoods, and the precarious position of the micro-enterprises.

SINPA's involvement in SWM started in 1999 with a case study on the situation in low-income neighbourhoods, conducted by the NGO CIDCRUZ. This study was initially meant to formulate recommendations on improving solid waste collection services in low-income areas. While conducting the research, it became increasingly clear that there was a need for a study that described and analysed the overall solid waste situation in Santa Cruz, and the terms of reference for the study were adjusted accordingly.

In the meantime elections were held, resulting in a change in the ruling coalition party. Instead of MIR, the UCS now rules together with ADN. As of February 2000, ADN took charge of the management of EMDELU. In March 2000, the Municipality suspended the contract with CLISA in view of juridical problems. In anticipation of a new bidding process, a temporary contract was signed with the private operator SUMA. This contract was extended by three months, since the bidding process had not been completed. The bidding process is currently under way. Moreover, the Municipality decided to contract only one operator for the whole urban area, including low-income neighbourhoods. The costs involved in acquiring the contract will be so high, that micro-enterprises will undoubtedly be unable to participate in the bidding.

The start of a new bidding process coincided with the publication of the SINPA study, which was officially presented to the municipal government and representatives of civil society. The presentation of the study was covered extensively in the local press and was widely considered to be the first report on which a real dialogue between the different actors could be based. It was distributed at national level, to ministries and international co-operation agencies and at city and district level to all libraries, universities and professional associations. Overall, the study was instrumental in securing more public control over the situation due to the in-depth information about the irregularities in the privatised SWM system. Consequently, it formed an important means for SINPA to lobby for improvement.

As a follow-up to the study, SINPA, GTZ and EMDELU jointly supported and facilitated the development a strategic plan for SWM in Santa Cruz. This process started with a participatory workshop of two days in which a large variety of

stakeholders participated. The strategic plan is now finalised, but not yet implemented.

Politics

Political parties' interests largely influence the management of solid waste in Santa Cruz. The lack of transparency of bidding and contract processes and of arrangements with the private firms makes judgement about the selection of private operators by the public difficult. Above all, the political management of EMDELU has had a negative influence on the quality of service, especially during the contract with CLISA. A recent effort to make EMDELU more independent by installing a mixed board of directors has yet to prove positive.

For an independent project like SINPA, that aims to provide support based on technical and professional criteria, it is difficult to express professional opinions openly since that could injure political sensibilities, in both the ruling and opposition parties. Additionally, SINPA would risk being accused of identifying with one specific political party.

Participation of stakeholders

No continuous participation of stakeholders (especially citizens) took place in SINPA's SWM activities in Santa Cruz. EMDELU, as well as the private operator and the micro enterprises, are rather closed entities from which it is difficult to obtain information.

In 1996, before SINPA started its activities, ASEO and GTZ organised a workshop on neighbourhood participation in SWM. In July 2000, SINPA together with GTZ organised a participatory strategic planning exercise. During this exercise the following stakeholders participated: the Municipality, the municipal council, the regional authority, universities, neighbourhood committees, the micro enterprises, EMDELU, ASEO, CIDCRUZ, SUMA and several NGOs. Except for this event, SINPA has not organised any activities that aim at broadening participation.

A steady increase in public awareness at all levels has, nevertheless, been noted since 1993. The population is more aware of the fact that solid waste is not just a problem of collection, but a complexity of factors. For the past 6 months the issue has had continuous coverage in the press. Since the presentation of the SINPA study, 60 articles have been published in the main local newspapers. This has, among other things, resulted in demands that SUMA present more realistic invoices.

2.3 Tangail

The SWM situation

Tangail, an important secondary city in Bangladesh, has a population of nearly 180,000 and is divided into 80 para (neighbourhoods). At present, the city generates 45 tons of waste per day of which 70% is bio-degradable.



The Tangail Pourashava (the municipal authority) faces severe problems of effectively managing its solid waste. The health department of the Pourashava, obligated to render street sweeping and waste collection and disposal services to the entire city, currently covers only one fourth of the total area under its responsibility and even then not all streets are included. Moreover, the quality of service delivery varies according to the political links of an area with local politicians. With only two trucks and one tractor-trailer and no official dumping site, most of the generated waste in the city remains uncollected or ends up in ditches, the central drainage canal, open sites and marshy lands around the city. The consequences for the city's environment are clearly visible, while public health is endangered through the added risks of spread of communicable diseases.

In addition to the municipal service system, the city has a small informal sector involved in the collection and trade of recyclable waste materials. This sector comprises a number of waste pickers engaged in the collection of recyclables from streets, the markets, shops and dumpsites.

The process

During the first SINPA workshop held in 1997, participating stakeholders identified environment and housing as the high priority concerns in Tangail. The established Tangail Urban Platform (TUP) thereupon earmarked SWM, traffic management and slum improvement plus housing as the three core areas for improvement under SINPA. Subsequently, three task forces have been constituted and made responsible for developing strategies and measures for improvement in their respective areas of attention through a participatory approach. Later a fourth Task Force was constituted to deal with the cleanliness of the Central Canal.

With regard to SWM it was decided that people's participation and co-operation was required to improve the existing situation. The TUP selected four

areas in the city where cleanliness drives and pilot schemes for improvement of the SWM system were to be initiated. These areas represented a mixture of high- and middle-income households. During its first meeting in February 1999, the SWM Task Force⁷ decided to conduct a baseline survey in the four selected areas. This survey aimed to provide insights in the waste problems and in the waste handling patterns of residents of these areas. Staff members of three local NGOs were specially trained at the SINPA office to conduct the survey. During the survey, several influential persons at community level were identified who showed a keen interest in the SINPA programme. In consultation with the Task Force, these persons undertook the formation of Community Committees (CC) in their respective neighbourhoods⁸.

Each CC drew up a plan for implementing a primary waste collection scheme at neighbourhood level. Depending on the needs of each CC, the Task Force assisted in the provision of awareness and promotion material and in the organisation of a cleanliness drive. To further strengthen their capacity, SINPA provided each CC with a cycle-rickshaw van for the collection of the waste and committed itself to paying the salary of the driver/collector for the duration of one year. All the four pilot schemes were inaugurated during the latter half of 1999 and have since been offering a primary waste collection service to a total of 1,112 households. The waste is collected daily and is directly transported to the dumpsite by the driver/collector. In general, these drivers/collectors are drawn from the traditional sweeper community. In some schemes the drivers are also entrusted with the collection of scheme fees that range from Tk 10-20 per month. The schemes are supervised and monitored by CC members.

To make the schemes self-financing, it has been agreed that the CCs will introduce the concept of waste service fees among participants. At first, the CCs have been reluctant to collect fees, especially because this decision met with resistance from certain households who argued that they already paid for services through their local taxes. To date all CCs have started collecting fees ranging from Taka 10 to 20 per month and deposit these in a dedicated bank account. Initial reports on the efficiency of collection are various, but some good results are reported. To ensure continuation and sustainability of the schemes, the Task Force remains in close contact with the respective CCs. It is clear that sufficient fee collection is absolutely vital to the ultimate sustainability of this self-managed system. SINPA staff offers training and technical support and CC members attend Task Force meetings during which operational and organisational aspects are evaluated and solutions to problems are discussed.

With the help of the Pourashava Chairman, the SINPA staff has also contacted the business community and several NGOs and CBOs in order to initiate waste schemes in other parts of the city. So far this has resulted in the formation of another 12 waste collection schemes managed by various NGOs, CBOs and business associations. SINPA provides the required vans, but the salary and the maintenance costs are to be covered right from start by the implementing organisations that for this purpose collect fees from the clients they serve. In addition, they have also installed independent management and monitoring mechanisms. To

⁷ The SWM Task Force, which is chaired by the Commissioner, consists of 21 members including representatives of the Pourashava, the Press Club, business associations, and NGOs and CBOs. Representatives of the CCs joined after implementation of the collection schemes. Since its initiation (February 1999) the Task Force has met six times.

⁸ The para include: Akurtakur Taltala: 530 households and 16 CC members; Paradise Para: 212 households and 14 CC members; College Para: 186 households and 15 CC members; Bepari Para: 184 households and 13 CC members.

keep track of the developments in these schemes, the SINPA staff remains in frequent contact with the organisations, some of which are represented in the Task Force.

As a result of the operations in the 16 areas of the scheme, the cost of dustbins and the collection and disposal of waste by the Pourashava have decreased. In addition, the physical environment in the scheme areas has considerably improved: existing dustbins have been removed and the overall cleanliness of streets and drains has noticeably increased. The latter is also due to an increased environmental awareness among community members. In a recent SINPA workshop, the stakeholders discussed the integration of segregation at source and the re-use and recycling of recyclables in the schemes. To facilitate this process, stakeholders have requested SINPA to arrange for training in this field.

Recently, some new waste schemes have started under the Small Towns Infrastructure Development Project (STIDP) financed by the Asian Development Bank. These schemes, which are implemented by a local NGO, function independently of the SINPA framework.

Politics

The political situation in Tangail has an important bearing on the SINPA process, both in the supportive and constraining sense. Whilst the Pourashava Chairman has been helpful in establishing the Urban Platform and its task forces, their operation has at times been less vigorous than needed. However, in subsequent sessions with the leadership most of the issues could be clarified through providing full transparency of the local SINPA operations and budget.

At the ward level some Commissioners have been very helpful, whilst others do not see any benefit in collaborating with the project. Throughout there has been an expectation at both the Pourashava Elective and Executive that SINPA would bring in substantive investment in hardware – like most of the other foreign (and locally) sponsored urban projects do. On repeated occasions it has been clarified to the Pourashava that SINPA – by contrast - is just a facilitating and capacity building project – which is in fact quite widely recognised by now.

The comparatively complex political dynamics of Tangail and hence the political environment of the project cannot be separated from national level politics. Any change at national level tends to affect Tangail as well. The project, however, aims to work with any willing stakeholder, regardless of political affiliation. This works best at the level of the para where neighbourhood dwellers from a variety of political and professional backgrounds join forces for the good of the community. Hence, SINPA has put continuous and very consistent effort into working at grass roots level and with grass roots organisations, whilst at the same time being available for dialogue with the Pourashava politicians. The situation has convinced the SINPA staff in Tangail that after the work with the para, dialogue and personal communication with political representatives is of most importance. In order to avoid conflicts and get them involved in SINPA activities, decisions and operations should be as transparent as possible.

At the same time SINPA has maintained good communications with the district level administration, realising the role that the district plays in managing a number of national and regional level programmes besides that of co-ordinating Pourashava and district level interventions.

Capacity building among politicians should involve training in resistance management and conflict resolution. Social structures, service delivery mechanisms and citizens' welfare are other topics that should be addressed. Experience, so far, is that whilst a good number of politicians enjoy the training, there are quite a few who are reluctant to participate because of other priorities or simply because they feel they are sufficiently knowledgeable.

Participation of stakeholders

Almost all stakeholders in SWM participate in the Task Force and in the CCs, although representation from women and youth in some para's is limited. Nevertheless, in those para's where women and youth do participate, the results are positive. These CC in turn tend to be mini platforms for undertaking an increasing variety of activities for the benefit of the local community (such as running a nursery school, crèches, etc). Low-income and rural areas falling under municipal jurisdiction have, so far, not been involved in the SWM interventions of either the Pourashava or SINPA.

The Pourashava, through its Chairman, commissioners and executive staff, participates in the SINPA process through the TUP and the SWM Task Force and in training, workshops, seminars and motivational meetings. Obtaining this participation has demanded considerable effort of SINPA staff. Although the Pourashava allows SINPA to intervene in its jurisdiction and operations, the executive staff has placed obstacles in the way of developing the process. As already discussed, some politicians have their personal reasons for (non-)participation that are not always in line with the intentions of the programme.

So far, active partnership in SWM has been established with 4 CCs, 7 NGOs, 3 CBOs and 2 business associations. To help these stakeholders to operate effectively in the area of SWM, motivational, managerial and technical training is required. This is expected to help bring on board more local stakeholders in this local level SWM activity.

3. Reflections

It is not the aim of this paper to draw conclusions from the case studies which have been reviewed because the contexts are too diverse. It is nevertheless possible to comment on some of the similarities in the three cities. Firstly, in all the three cities the municipalities are in principle responsible for effective waste service delivery, but are incapable of coping with the increasing amounts of solid waste. Financial means and operational capacities are limited, resulting in low service coverage, mismanagement of dumpsites and overall environmental deterioration. Secondly, although strengthening of the municipal systems is seen as essential, immediate solutions for dealing with the existing SWM problems are sought externally and /or expected from privatisation. Thirdly, these external solutions focus in essence on service delivery in city centres and high- and middle-income areas, with little attention paid to the needs of low-income communities.

The following statements, which are based on the experiences in the three SINPA cities, are intended to generate discussion during the seminar.

Process

One of the main constraints in an improved SWM system is the lack of clear jurisdiction in waste management tasks among the concerned stakeholders as well as the roles, rights and responsibilities of service users from different income groups.

- A pre-condition for a better functioning municipal SWM is the organisation of a more effective collection of local revenues, both in terms of management and political support. The issue here, however, is whether municipalities/users can afford a proper SWM system.
- Strategies for improvement of SWM systems should be built on an understanding of the existing system to ensure that targets are realistic and improvements are implemented step-by-step. To secure the sustainability of improvements, a good understanding is also required of the actual process of change that is taken place. Qualitative and quantitative research is therefore an important element of the SINPA strategy. The question is what research would be required under SINPA in the future and how should this be institutionalised?

Politics

- Full engagement of politicians seems vital to the success of any programme but varies across cities. The sustainability of strategies and projects can be endangered by the lack of long-term commitment from politicians and can only be secured by legally binding decision-making and transparent procedures that are open to the public.

Participation and partnership

- Privatisation of waste services can reduce the potential for community participation and the options for involvement of informal resource recovery and recycling activities. Plans for improvement of SWM systems, therefore, require a good balance between, on the one hand, more cost-effective strategies (privatisation?) and on the other, public participation and support of environmentally sound practices.
- The benefits of partnerships and participation are obvious. However, achieving them in practice often remains difficult. What mechanisms would be required therefore to ensure that stakeholders recognise that their interests are better served in partnerships than without them?
- Community level networking is vital to the long-term success of the SINPA project and solid waste issues appear to be a good starting point for active involvement of communities in civic affairs. For effective participation, however, communities require the necessary skills and confidence.
- Clearly defined outputs and risk- and benefit-sharing arrangements are the keys to efficient partnerships.

Literature

Bartone, C. and J. Bernstein, (1993), "Improving Municipal Solid Waste Management in Third World Countries", **Resources, Conservation and Recycling**, vol. 8, 43-54.

Cointreau - Levine, S. (1994). **Private Sector Participation in Municipal Solid Waste Services in Developing Countries: Volume 1, The Formal Sector**, Washington D. C, World Bank, Urban Management Programme, No. 13.

Fernandez, A. L. (1993), "Public-Private Partnerships in Solid Waste Management", **Regional Development Dialogue**, vol. 14, no. 3, 3-23.

Furedy, C. (1992), "Garbage 1992: Exploring Non-Conventional Options in Asian Cities", **Environment and Urbanisation**, vol. 4, no. 2, 23-34.

Gidman, P., I. Blore, J. Lorentzen, & P. Schuttenbelt (1995), **Public-Private Partnership in Urban Infrastructure Services**, Nairobi, UNCHS (Habitat), Urban Management Programme Working Paper Series, no. 4.

Lee, Yok Shiu, F. (1997), "The Privatisation of Solid Waste Infrastructure and Services in Asia", **Third World Planning Review**, vol 19 (2), 139-161.

Pfammatter, R. and R. Schertenleib (1996), **Non-Governmental Refuse Collection in Low-Income Urban Areas. Lessons Learned from Selected Schemes in Asia, Africa and Latin America**, Duebendorf, Swiss Federal Institute for Environmental Science and Technology.

Schübeler, P. (1996), **Conceptual Framework for Municipal Solid Waste Management in Low-Income Countries**, Washington D.C., World Bank, Urban Management Programme, Working Paper Series no. 9.

SINPA reports

For Kitwe:

Senkwe, B., J. Frijns and M. Sankwe Kambole (1999), **Improvement of Refuse Collection in Kitwe: a Participatory Approach**.

Senkwe B. and M. Huysman (2000), **Privatisation of Solid Waste Services in Kitwe: an Outline of the Process, the Companies and the Required Future Actions**.

For Santa Cruz:

Rosario, R. and M.A.Vespa, (2000), **La Basura en los Barrios Populares**

For Tangail:

Nafees, M.S. (1999), **Solid Waste Disposal and Management Household Survey in Tangail Pourashava**.

Alam, S. (2000), **The Solid Waste Management Process in Tangail under SINPA**.

PART III

Case Studies

THE BIOMANIZALES APPROACH - A Local Environmental Policy

EXECUTIVE SUMMARY

Presented by Florian Steinberg

1. Introduction

The present experience in urban environmental management in the city of Manizales, Colombia was documented between 1999 and 2000 within the framework of the SINPA project (Support for the Implementation of National Plans of Action) - HABITAT II.

Biomanizales was adopted as the city's environmental policy in 1995. Together with the Bioplan as a local plan of action and the monitoring system of the city development plan are initiatives that aim at attaining a sustainable future for the city. This experience, which was presented in the Habitat II Conference in Istanbul in 1996, has developed innovative ideas and undertaken actions and activities that have been of interest for the SINPA and the Institute for Housing and Urban Development Studies (IHS). This is also true for the Italian government and organisations such as ICLEI and CEPAL which have signed agreements in support of some of the components of this environmental policy.

The present document aims to analyse the case constructively in terms of the extent up to which it has influenced better and sustainable practices. With the documentation and dissemination of this experience SINPA also aims to make urban environmental experiences and lessons learned more accessible.

We hope this experience is of interest to other countries and cities, especially those which are part of the SINPA Programme in Bolivia, Bangladesh and Zambia.

2. The Biomanizales Approach

"Biomanizales" is the environmental policy of the Municipality of Manizales and has been adopted as its main tool in attaining sustainable development. It has integrated into the city development plan in two consecutive administrative periods, becoming a legal framework for actions of private and public institutions in the city.

The events, projects and activities generated by the Biomanizales have enjoyed the participation of several public and private institutions, such as the municipal government (led by the Mayor and the Municipal Planning Secretariat), CORPOCALDAS (the regional environmental authority), universities, and educational and research centres (led by the Institute of Environmental Studies (IDEA) of the National University of Colombia in Manizales). Civil society has been represented by the Local Administrative Boards (JAL's), the Land Use Planning Council, the

Municipal Council's Planning Committee and other organisations that work to protect the citizens' interests.

In many instances, the participation of institutions varied according to the knowledge and acceptance of their leaders regarding environmental policy. The Municipality's participation and commitment varied according to the priorities and interests of the political party of the Major in office at the time. Although the last Major and its administration were not very actively supportive of the Biomanizales approach, it is expected that the present administration's involvement will improve. This is because a former mayor (1995-1997) has been appointed the present Mayor's adviser in environmental management issues.

Up to now the Universities have led most of the processes; however, management and other responsibilities are shared with other institutions. The fact that the Director of the Regional Autonomous Corporation of [the Department of Caldas – editors] (CORPOCALDAS) has been in office for seven consecutive years has contributed to the development of a very strong alliance between the environmental authority and the universities. This has also helped to bring together various other organisations and stimulated joint actions. A more active participation and commitment from the Municipality is expected now that the Mayor's adviser is working and co-ordinating actions of the environmental policy with the support of the National University.

Biomanizales makes use of the environmental profile made of the city. It has generated innovative initiatives that have helped to enrich and strengthen the environmental management of the city. For the purposes of this document, the following events, considered as the ones that have contributed most to its sustainability, are described and analysed:

- ***Formulation of the Environmental Profile of the City***

The environmental profile of the city of Manizales was made with national and local support, through a participatory process. This has since been taken up by the Ministry of the Environment as the basis of the methodology it recommends for environmental profiles in other cities of the country.

- ***Processes Used in Development Planning in the Periods 1995-1997 and 1998-2000***

These plans are important because they are the result of participatory processes which brought together several public and private sector institutions. They are also important because they integrate the Biomanizales, as the environmental policy for sustainable development, within the spatial and development plans of the city. However, it has not been easy to reconcile the interests of the different institutions and define their relative importance within the municipal development plan.

- ***Formulation of the Bioplan***

The Bioplan, or Local Environmental Action Plan, was drawn up in order to facilitate the implementation of the various components and projects of the city's environmental policy. This plan was prepared with the idea that it would become the main driving force for the implementation of Local Agenda 21. It defines policies, programmes and projects as well as strategies in selected areas. In short, the plan focused on the priorities defined in the environmental profile and tries to present solutions to the main problems of Manizales and its region.

The plan was formulated over a long period and was co-ordinated by IDEA, of the National University, and the Territorial Planning Council. It incorporated several working groups in which many institutions participated. These round tables resulted in the definition of policies, programmes and projects within the plan which can be summarised as follows:

Biotourism:

The main idea behind Biotourism is to encourage the sustainable use of available natural resources to promote the tourism and recreation industry as a means of stimulating the local economy. One of the projects is “Bioroutes”, which aim at the development and promotion of existing urban and rural pathways which are of ecological and cultural interest for recreational and educational purposes.

Biotransport: Sustainable Urban Transport:

This component is addressed at integrating the economic, social and environmental aspects of the development and use of urban and rural transport services. This relates to reconsidering the location and design of the regional bus terminal for goods and passengers. The preliminary assessment study for the mass transport system was completed in 1997.

Civic Environmental Education and Recreation in the Ecoparks:

The projects within this component aim to increase the number of regional and city recreational and educational parks and to encourage the development of environmental education through recreational activities. Nine parks have been identified, and so far five had been approved by the municipality, three as conservation areas and two for recreation and educational purposes. One of the recreational parks receives an average of 25,000 to 30,000 visitors per weekend. In the other, although some of the installations are still under construction, cultural and educational events are already being held.

Integral Waste Handling:

These programmes aim to strengthen awareness and responsibility about the production of polluting solid waste. It seeks to encourage the participation of citizens' groups in the management, collection and handling of waste. Projects within this component include support for the consolidation of the Corporación Ciudad Verde (the Green City Corporation), which manages the city's recycling plant and is partly owned by the recyclers' associations and the company Bioservicios Ltd., which is wholly owned by recyclers' associations and provides cleaning services. Through another project, various private sector enterprises have been participating in the implementation of the MEDIA Manual, a handbook on the minimisation of harm to the environment by industrial processes.

Formulation and Management of the Pilot Action Plan of the Olivares Commune

The results of the Municipal Environmental Profile indicated that this commune was the community with the greatest number of economic, physical and social problems. In addition, considerable information on the Olivares Commune was available as many university studies targeted this particular community. For these reasons, it was

chosen as the pilot community for the Environmental Action Plan. This plan includes, among others, the following projects:

- Integrated waste management in the Ciudad Verde Recycling Plant.
- Urban environmental revitalisation and bio-trade along 27th street.
- Environmental management of the protected open spaces and the creation of agricultural nurseries.
- Relocation of households located in areas of risk and the environmental improvement of vacant land.
- The Olivares environmental observatory.

The Environmental Action Plan for this commune was drawn up in nine steps, a process which has been used as the model for the Communal Environmental Action Plans for the 11 communities into which Manizales is divided.

Design of the Monitoring, Follow-up and Control System of the Development Plan

This system will be based on two very innovative and practical tools being developed by local professionals. These are the Urban Environmental Observatories and the Environmental Quality Signals ("Traffic Lights").

The Urban Observatories are the places where environmental information on the communes will be physically collected and fed into the monitoring system. The Environmental Quality Signals (or "Traffic Lights") are the tools that will allow the visual representation of the city's environmental quality. Information on the variables and indicators of quality of life is shown through a kind of "traffic lights" using the colours green, yellow and red, to indicate good quality, problematic and critical conditions respectively.

The software through which the system operates has been designed and is currently being revised and tested. Agreements have been signed with different organisations which will provide information for the system. Among these are the Municipality of Manizales, the Autonomous and National Universities. The implementation of these agreements and the functioning of the Municipal Information Centre will determine how soon the system could become fully operational. An agreement between the National University and CEPAL was signed at the beginning of 2000, under which dissemination of, and training in, this system will start in five South America and Caribbean countries.

The complete system involves the placing of 11 observatories and 3 environmental quality signals in the city. In first phase three observatories will be constructed and assembled in Esponsión, Olivares and Arenilo Communes and one signal will be located near the Fundadores theatre, a prominent site in the city centre. To put the complete system into operation, which includes the construction of observatories, provision of equipment and training of personnel, is expensive. One observatory costs approximately US\$ 100,000. Implementation of the first phase has been made possible by funding from various sources including the Municipality, the Ministry of the Environment, the National and Autonomous Universities and CEPAL.

This system is being developed to facilitate decision making, as it allows the continuous monitoring and evaluation of indicators of impacts of municipal investments. In addition, it is a key tool for the follow-up and evaluation of the Development Plan and the Local Environmental Action Plan (Bioplan) and the

Municipal Development Plan, and provides transparency to the decisions and investments of the municipal administrations.

Although it is not yet operational, the design of this system is an important achievement for Biomanizales. It is valuable for the city and its inhabitants because it provides a reliable means of monitoring policies, programmes and projects. In this they will be able to access clear and realistic information that will allow them to judge the performance and actions of their governments.

The integrated planning of the economic, environmental and social issues along with the concerted work of the municipality, the university and the environmental authority, represents an important achievement that has been fundamental for the integration of environmental issues within the urban planning of the city. This integration also recognises the link between conscious environmental planning and reducing the risk of disasters.

The connection between the economy and the environment can be seen in the Bioservicios (Bioservices) company and in the Green City Corporation. These are dedicated to generating employment and offering a wide range of services in the sanitation and waste recycling sector, using resources that had been ignored in the past.

Another important achievement has been the use of participatory mechanisms to promote citizens' interest in urban planning. The holding of open fora and round tables, with the participation of organised civil society, has helped validate the planning process and its contents and guarantees much wider support for its implementation and management.

3. Main challenges for the Biomanizales approach

The results of environmental management in Manizales have not been achieved without complications and problems that need still to be solved. Among the most important challenges being faced by the Biomanizales, we can mention:

To socialise and make the Bioplan more dynamic

The Bioplan has not yet been afforded the importance desired for it as a dynamic component of environmental policy. This is in part due to lack of leadership from previous municipal administrations. Greater joint efforts are required to disseminate its content and establish its importance not only among the professionals of successive municipal administrations but also amongst other stakeholders.

To encourage greater commitment to environmental management on the part of the Municipality

Although great efforts have certainly been made, the Municipality should demonstrate an even stronger commitment to the environmental management of the city. In this way more continuity can be given to the programmes and projects that make up the environmental policy. The appointment of the new adviser for environmental management is a step forward, but there remain issues such as the re-instatement of the Environmental Unit of the Planning Secretariat, suspended during the last administration, that need to be resolved.

To increase resource mobilisation for the Bioplan

The challenge is to increase resource mobilisation for the projects included in the plan. Greater efforts need to be directed towards convergence of resources from different organisations in order to finance implementation and assure regular flow of local funds to support sustainability of actions. Stronger leadership and commitment from the Municipality could help to improve this situation.

Lack of convergence of resources for the Pilot Plan of Olivares Biocommune

The Pilot Plan of the Olivares Commune has not received the necessary support to initiate the implementation of projects which need a heavy financial input and involvement of local government. Greater efforts need to be made in order to mobilise resources from different institutions and to have its projects included in the Multi-year Investment Plan of the municipality.

Training and capacity building for participatory planning and urban environmental management

There is a noticeable need for institutional capacity building for the Municipality and other relevant organisations so that they are able to respond more efficiently and effectively to the new challenges of environmental management and sustainable development. The development and implementation of a capacity building plan would increase the possibilities of all the actors involved becoming better equipped with the same information and know-how to participate in these processes which are decisive for the development of the city.

4 Conclusion

We can conclude that environmental management in Manizales has been a continuous process taking place on several fronts in which the incorporation of environmental education and the participation of the organised civil society has been important. Environmentally oriented participatory planning became part of the development plan, reinforcing the efforts being made to achieve sustainable municipal development.

Better inter-institutional coordination of actions, employment generated through Ciudad Verde and Bioservicios, more efficient waste management with the operation of the recycling plant, improvement of the working conditions of recyclers' families, an increase in green areas for recreational and educational purposes, an increase in awareness of environmental issues by public and private organisations as well as individuals, are some of the impacts of the Biomanizales approach.

It is important to note that the achievements of this policy have not been obtained overnight. It has been almost eight years since the exercise to draw up an Environmental Profile of the city began and six since the Biomanizales approach was adopted as the environmental policy of the Municipality for the first time. The achievements in the area of environmental management in Manizales have been the result of the continuous pressure of various actors who are convinced that environmental issues should receive the necessary importance in order to achieve balanced and sustainable development.

The results of this experience in Manizales are relevant since they have contributed to consolidating environmental management within municipal development planning. However, it has not been achieved easily and without difficulties. This is understandable since it has been a process taking place over many years, in which the participation of many sectors has been sought, dealing with an issue that had until recently been neglected in the urban sector.

Continuity in some of the main programmes and projects of Biomanizales has been achieved largely because of the leadership that IDEA has given with the support of public and private organisations, local and international. The challenge is to motivate and encourage more active involvement of municipal administrations and to continue working together to achieve concerted actions that could be the product of a participatory process of urban planning.

Problems such as securing resources for the management of the Bioplan and the implementation of the Olivares Commune Pilot Plan have to be found in order to give continuity and greater credibility to the actions that are being promoted under Biomanizales as the municipality's environmental policy.

The basis of sustainable development has been laid; it is now the task of all stakeholders to continue to work so that the dream of a "city for life" may become a reality.

Mechanisms such as participatory and consensus-oriented processes, tools such as the Local Environmental Action Plan (Bioplan) and the Monitoring, Follow-up and Control System, and the Olivares Bio-Commune Pilot Plan are just a few of the features of Biomanizales that could, with the necessary adjustments, be adopted in other cities with similar characteristics.

The practical nature and innovative and participatory spirit of these elements is an invaluable contribution to the search for economically efficient, socially equitable and environmentally sustainable cities for today's residents and for future generations.

8

The Córdoba Strategic Development Plan, Argentina: Lessons Learnt

Jorge Romero Pittari and Florian Steinberg

1. INTRODUCTION

Over the last two decades the city of Córdoba has gone through a series of significant changes. In 1983, democratic institutions were re-established in Argentina; at the beginning of the 1990's, the process of national stabilisation began; since the 1980's, development has been consolidated under globalisation and the ongoing process of regional integration, initiated in South America during the mid 1980's.

The Municipality initiated different actions that were directed at:

- a redefinition of its institutional capacity to assume a new role as promoter of local development, working in three well-defined areas:
 1. development planning,
 2. public information and
 3. citizen's participation.

Principal approaches

1) At zonal (district) level, through municipal decentralisation in territorial entities - the Centres of Community Participation (Centros de Participación Comunal - CPC).

2) At global, city level, through the first Córdoba Strategic Plan (PEC).

The formulation of the Strategic Plan took place in 1994-95 starting with nine public workshops. Some 194 institutions in Córdoba – both public and private – Córdoba participated in these, with the active involvement of almost 2000 technicians, professionals, business people, politicians, citizens and their representatives.

This created an opportunity for dialogue and analysis, collaboration in defining a fresh, shared vision of the future, something which was new to the political culture of Argentina.

From the outset the Strategic Plan was to be a vehicle for collective work, and represented a new approach which sought to integrate economic, urban development, social and ecological aspects of development while respecting natural resources (air, water, soil and the acoustic and visual environment).

In this way economic growth has been given a new focus and definition: it is being transformed into the means of achieving citizen well being.

The PEC was developed along four thematic lines of action:

- (1) ***Urban:*** making proposals for a city which is functionally balanced, spatially integrated, multi-centred and which is the engine of the metropolitan region;
- (2) ***Economic:*** aiming at positioning Córdoba as a competitive city, contributing to the development of the Central, Northern and Western Argentinian city network, within a national economy integrated within Mercosur;
- (3) ***Environment:*** directed at the creation of high quality social and environmental conditions that make Córdoba one of the most attractive metropolises of the Southern Cone;
- (4) ***Social:*** aiming at a united city which is equitable and socially integrated and committed to the implementation of specific, cross-disciplinary integrated actions which promote poverty reduction.

2. GENERAL CHARACTERISTICS OF THE CITY OF CÓRDOBA

The city of Córdoba is one of the most dynamic cities in Argentina:

- it is the capital of the Province of the same name
- a population of approximately 1,500,000 lives in its metropolitan region
- the Province of Córdoba is second most importance nationally in terms of (population and GDP) demographic and economic relevance
- the municipality covers an area of 576 km², with a population density of 2,274 persons per square kilometre.

The city of Córdoba is organised administratively into 10 zones (districts) with the objective of promoting citizen participation and administrative efficiency and effectiveness. Each zone is managed by a Centre for Community Participation (Centro de Participación Comunal - CPC) which provide services and where administrative matters can be dealt with (registration of birth, deaths, marriages, payment of taxes and fees, etc.) and which function as sub-municipalities. Here cultural and educational, formal and non-formal education activities also take place, as well as social programmes for children, youth and the aged.

Municipal Finance: Córdoba has an important degree of financial autonomy: 67 per cent of municipal resources are own income under municipal jurisdiction, 27 per cent derives from co-financing of national and provincial government levels, and 6 per cent is income which comes from various sources.

3. STRATEGIC PLANNING METHODOLOGY

The PEC was conceived as a pro-active plan *through which the city would* identify and integrate strategies once there was a collective commitment to joint inter-institutional action.

The PEC methodology involved participation and consensus amongst different actors within the city. This contributed significantly to development, strengthened a range of mechanisms of local democracy, and at the same time led to greater efficiency in public administration.

It included:

- The recognition that the city is built from day to day through numerous actions initiated and executed by different individuals and local actors.
- The development of mechanisms of consultation and citizens' participation which, through open and broad ranging participation, seek to establish consensus on the most strategic actions necessary to availing of the opportunities and reducing the threats facing the city.
- The prioritisation of urgent problems, concentrating resources and management capacity on those issues collectively identified as the really important ones, according to the impact they will have both now and in the future.
- Development requires an integrated and comprehensive vision of the city.

The PEC took upon itself the task of designing elaborate strategies to achieve a profound transformation of the city. The PEC did not want to draw up a long list of small projects which would only correct current problems (as conventional physical-spatial planning usually does).

Instead, the PEC aimed to identify those major actions of fundamental significance which the city of Córdoba needed to achieve qualitative change and make a leap forward.

4 THE PEC PLANNING AND DEVELOPMENT PROCESS

FUNCTIONAL STRUCTURE

Executive Committee.

Consisting of 23 public and private institutions and organisations

Overall Coordination.

Creation of an Under-Secretariat of Strategic Planning and Economic Development.

Technical Coordination.

Under the responsibility of the Directorate of Urban Planning, a small Technical Committee coordinated the day-to-day preparation and implementation of the PEC.

5. STAGES OF THE PEC PLANNING PROCESS.

Stage 1. APPRAISAL OF THE SITUATION

- Execution of studies and preliminary analysis.
- Overall planning of the process.
- Stakeholder analysis.
- Agreements concerning division of tasks (within and outside the Municipality).
- Draft general assessment of the city and its districts, and certain key sectors.

Stage 2. SWOT WORKSHOPS AND DEVELOPMENT MODEL

- Holding workshops, SWOT analysis (strengths, weaknesses, opportunities, threats)
- Drawing up a development model.

Stage 3. STRATEGIC GUIDELINES, ANALYSIS OF SCENARIOS, PROJECT PROFILES

- Definition of strategic lines of action.
- Formation of working groups.
- Definition of the general and specific objectives of the plan.
- Analysis of scenarios.
- Identification and design of projects and strategic actions.
- Drawing up of agreements for coordinated actions and interventions.

Stage 4. IMPLEMENTATION

- Project implementation.

Stage 5. FOLLOW-UP AND MONITORING

- Follow-up and monitoring.
- Incorporation of new strategic projects.
- Presentation of annual reports.

Stage 1. APPRAISAL OF THE SITUATION

▪ “Pre-Appraisal by Thematic Areas”,

A draft proposal of critical priority issues and the main positive and negative features (strengths and weaknesses) which had been identified.

- ✓ Poverty and social development.
- ✓ Urban environment.
- ✓ Public health.
- ✓ Education.
- ✓ Reform and modernisation of the Municipality.
- ✓ Traffic and transport.
- ✓ Urban development.
- ✓ Economic development.

Stage 2 SWOT WORKSHOPS AND DEVELOPMENT MODEL

Nine appraisal workshops in which the development objectives were also defined. Undertaking a SWOT analysis (SWOT- Strengths, Weaknesses, Opportunities, Threats). Participation of about 180 persons and over 150 institutions.

Stage 3 STRATEGIC GUIDELINES, ANALYSIS OF SCENARIOS AND PROJECT PROFILES

General Objective: *Córdoba “the wise”, a modern American city, environmentally sustainable, competitive and united.* (The Spanish docta means learned).

Specific Objectives:

Guideline 1: Urban Development:

This proposes a functionally balanced city, which is spatially integrated, polycentric and the ‘engine’ of the metropolitan region;

Guideline 2: Economic

The aim is to position Córdoba as a competitive city, contributing to the development of the city network of Central, Northern and Western Argentina, within an economy integrated within Mercosur;

Guideline 3: Environment

This seeks the creation of social and environmental conditions that make Córdoba one of the most attractive metropolises of the Southern Cone;

Guideline 4: Social

The aim is for a united city, with equity and social integration, committed to implementation of specific, integrated actions to reduce of urban poverty.

6. THE PEC PROJECTS

GUIDELINE 1: URBAN DEVELOPMENT

- Improvement and structuring of the urban and metropolitan primary road network.
- Urban development and revitalisation of peripheral areas.
- Updating and revision of urban land use norms (general and industrial and commercial use).
- Infrastructure Master Plan.
- Revitalisation of the city centre.
- Redesign of the public passenger transport system.
- Management of the Metropolitan Region.

GUIDELINE 2 ECONOMIC DEVELOPMENT

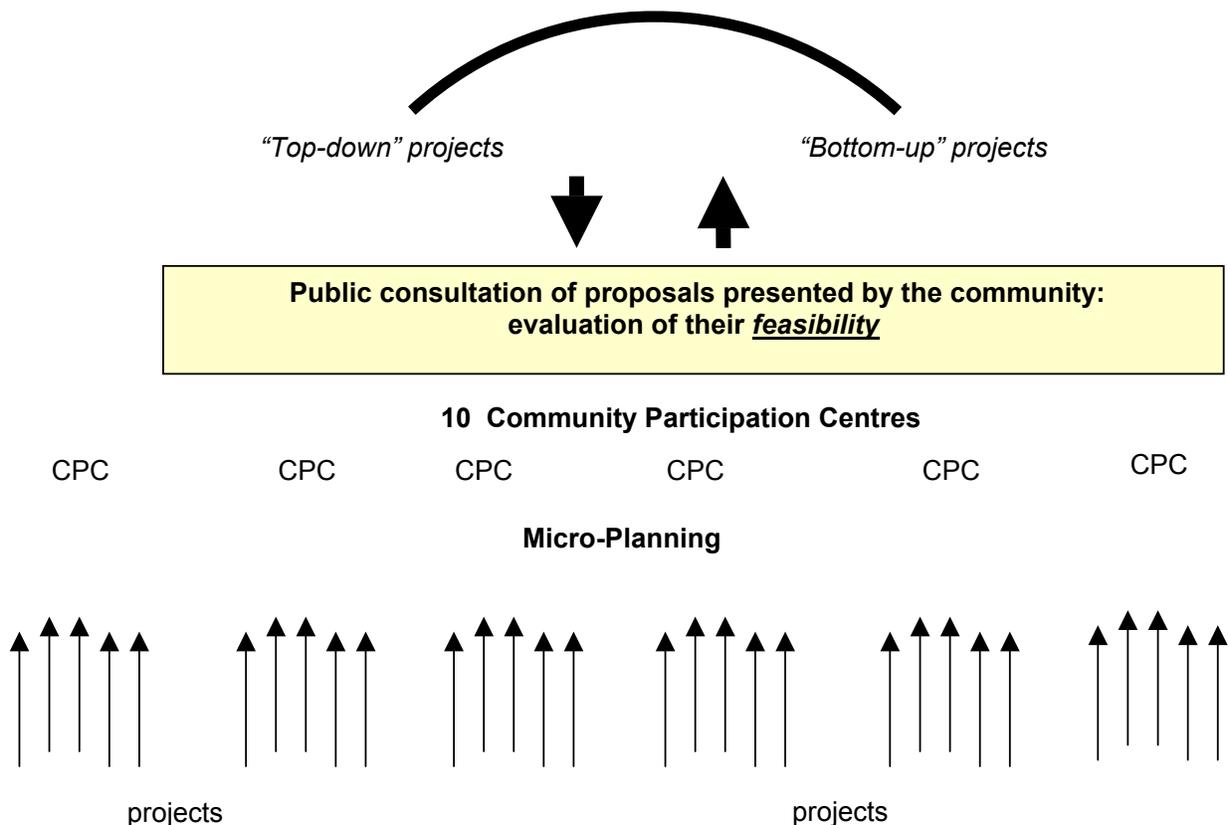
- Creation of the Agency for City Economic Development
- Incubator for new small enterprises.
- Development of recreational tourism.
- City Information Centre.
- Special enterprise development areas, technology parks and complex infrastructural works.

GUIDELINE 3 ENVIRONMENT

- Integrated management of natural waterways.
- Citizens' education on environmental issues, formal education through the "environmental university" and non-formal education.
- Integrated management of industrial solid waste and hazardous wastes.
- Evaluation and contamination control of natural resources (air, water, soil).
- Environmental renovation of the university campus.
- Sustainable development of the green belt.

GUIDELINE 4 SOCIAL

- Mother and Child Nutrition Programme (PROMIN)
- Community Health campaigns as a strategy for a participation.
- Improved response in cases of endangerment of health.
- Food supply for urban communities.
- Participatory strategy for sexual and reproductive health.
- Rehabilitation project for children and youth at risk (“Street Children”).
- Drawing up scenarios of probable futures for the next 10 years.
- The Municipal Information System (MIS) was established to support the Strategic Development Plan.
- In 1995, the Inter-American Development Bank (IADB) approved funding for the Programme for the Integrated Development of Large Inland Agglomerations, which will finance various PEC projects. At the same time, the Hispano-American Cooperation Institute (ICI), the German Agency for Technical Cooperation (GTZ), the international organisation METROPOLIS and the Economic Commission for Latin America (CEPAL-UN) approved various cooperation programmes with the PEC.



Stage 4 IMPLEMENTATION

- In 1996, the **Guidebook to Business Opportunities in the City of Córdoba**, and the **Guide to Administrative Procedures for Setting Up Business**” were published.
- 1996: the final version of the **Strategic Development Plan** was published.
- 1996: the Córdoba Home-Page on the Internet was set up.
- 1996: launch of the Enterprise Incubator, a PEC project.
- 1996: creation of the Córdoba Development Agency (ADEC), incorporating 12 Chambers of Trade and Commerce, the Municipality and various representatives.

Stage 5 FOLLOW-UP AND MONITORING

- In November 1996: 4 PEC Follow-up and Monitoring Commissions were set up for each strategic guideline to observe project progress.
- December 1997: the launch of annual public meetings where progress reports would be presented to civil society per strategic guideline. This kind of event resulted in public progress reporting, i.e. results, delays, expenditures and future plans, proposing corrective measures where necessary.
- Since 1997 the PEC has incorporated the following new projects: Córdoba Teleport, the Ferreyra Integrated Development Programme, the Strategic Transportation Plan and Córdoba Olympic City (ODESUR games)
- Ecological Zone for Agricultural Production (ZEPA).

7. CONCLUSIONS

- PEC is one of the few Strategic Development Plans in Latin America which has been implemented.
- PEC has been conceived as a collective and global city project, with no exclusive “ownership” on the part of any actor (such as the Municipality).
- The PEC as a public forum has succeeded in organising a large number of civil society organisations, thereby making the PEC representative and legitimising it.
- The 1997 Municipal Charter introduced and institutionalised the concept of strategic planning.
- The PEC has been able to give a new focus and increased management capacity to the Municipality.
- The PEC has developed innovative and participatory forms of management (e.g. the Follow-up and Monitoring Commission and annual public meetings to present progress reports).

- There has been a strong incentive for citizens to participate since they know that they can present concrete projects which have a chance of being implemented..
- The PEC designed certain projects, but delegated others to sectoral agencies.
- The PEC has been flexible enough to incorporate new, integrated projects (such as Telepuerto, PRODIAF, Green Belt and Olympic City).
- The PEC has been able to initiate projects “from above” but has also adopted projects presented “from below”.

9

Arnhem 2015: Development of Vision

Dr. Anne Flierman, Arnhem Town Clerk, explained the research carried out in his municipality to show what makes a city successful. This showed that some key factors determine a city's development: organisation, drive, networks and vision.

Firstly, a city should develop its own vision. Without clear choices a city cannot develop and this leads to stagnation. A vision has the power to activate and direct organisational potential. A vision defines the city's identity and strengths. It directs policies and activities. By raising motivation and driving forces, it has the potential to surmount general deficiencies. Developing different scenarios, it is possible to set a direction for the future.

Developing a vision is not difficult, but it has the potential to generate creativity and imagination. Although it often says more about the here and now than about the future, the targets must exceed existing means and possibilities. For example, NASA did not have the technology to send a man to the moon when the project was launched by Kennedy; however, the vision of a man on the moon activated and directed the actions of everyone involved directly or indirectly in the project, from astronauts to cleaner. So it is possible to create an organisation on the limits of the possible, leaving the past behind.

In addition, the process of developing a vision should be shared with all stakeholders. In this way it represents a challenge not only for those directly involved in the process of making the vision but also for citizens, companies, media, schools, etc.

It could be said that There Is No Alternative (TINA) to the development of a city. Information development and globalisation connect places and people, increasing competition among cities in an unprecedented way. Increased individualism has challenged our capacity to achieve common goals and consensus. Urban life is getting more complex and unpredictable. The future of a city, therefore, depends on its capacity to deal with these forces. Choices have to be made to focus the city's future towards increasing poverty or wealth, sprawl or compactness, congestion or accessibility, a place to work or a place to live.

But how is it to be done? There is no a model to follow, but lessons can be learnt from other experiences. In Arnhem the process started with a series of city consultations. Between December and January, preparatory discussions were held to prepare the playing field and to identify relevant questions. Four thematic meetings took place in March and April to brainstorm possible solutions and develop scenarios. A city debate was organised in June to construct an image for the city and select strategies. In September a final document was produced laying out the city vision. As result of the debates, four thematic areas were identified: the future of the city as working place; the future of the city as an organisation; the future of the city as society, and future of the city as environment.

Four scenarios emerged from the debates which aimed at revealing the ways in which to move and respond to different developments:

- 'Eurodynamic Arnhem'
- 'Greater Arnhem'
- 'Footloose (Borderless) Arnhem'
- 'Caring Arnhem'

The result of the city consultation pointed out the uniqueness of Arnhem and the direction to go. Arnhem was acknowledged as being a crossroads between East and West, as well as having a uniquely scenic and green. The city should direct itself towards increasing its attractiveness, balancing economic growth and ecology, increase density instead of sprawl, as well as building up the quality of society as a whole. The tools to achieve these objectives are political, development and investment programmes, policy papers and land use plans.

As mentioned above, the city needs not only a vision, but also to maximise the benefits of networks, organisation and drive in order to achieve better development. In this respect, some activities and programmes have been developed in Arnhem such as the Arnhem Forum, Arnhem Network, Vision Day, finding partners and improving communication initiatives. These efforts aim at increasing the synergy from networking as well as improving the communication among all stakeholders involved.

Arnhem has also attempted to improve its organisational drive and development features. The city has emphasised five points: culture, strategy (steer more, row less), comprehensive action, public service, and investing in people.

Plenary Discussion

During the plenary discussion, Dr. Anne Flierman explained that technical staff involved in the process of developing the city's vision did not have a clear idea of the budget needed to implement it. Extra funds were needed but fortunately it coincided with the Housing Ministry requiring similar projects to be undertaken in other Dutch cities and providing corresponding financial support.

It takes a long time for all stakeholders to understand the importance of the programme. Some governmental departments could not see the benefits of participating during the first phase and several difficulties were encountered in incorporating cultural changes in their institutions.

Dr. Flierman also explained that there is no baseline for measuring the impacts of the process as it is generic, and therefore impacts are mixed among other initiatives and projects. It was possible to measure impacts only in relation to the specific objectives of the development programme created after the definition of the city vision.

To increase participation two nationally well-known speakers were used during public meetings. Statements were submitted for panel discussion during dinner meetings. It is very difficult, however, to say how focused the programme is because it is impossible to predict the future with any accuracy.

Dr. Flierman also explained that the initiative of developing a city vision started with the Mayor and five commissioners. After two years some achievements

could be seen, such as the granting of national funds to refurbish the railway station, a debate on the cultural climate was held, and a development programme and policy were drawn up. But as Dr. Flierman illustrated, the results of this process are more 'felt' than tangible.

Before developing the Arnhem 2015 Vision, the city had many isolated urban plans, such as land use plans, which have been redesigned according to the scenarios developed during the process.

PART IV

Future Strategies

Future Strategy Bangladesh

After the thematic and country group discussions, the Bangladesh Delegation presented an outline of the future strategy of SINPA Bangladesh. It focuses on five points: adjusting the emphasis of activities in Tangail; dissemination of the Tangail Experience; ensuring the functioning of National Forum for Capacity Building Institutions; replicability and sustainability, and activities beyond SINPA.

Adjusting the emphasis of activities in Tangail

In order to adjust the Tangail activities it is necessary to shift the emphasis of the programme. Firstly the Tangail Citizen Information Centre should receive more support and several internal activities strengthened in order to guarantee its sustainability. The overall responsibility of the Information Centre should be moved to the Pourashava. Investments should be made in the training of relevant staff and the responsiveness of the Centre should be narrowed directly to local needs.

Secondly, the Tangail Urban Platform (TUP) and the Task Forces should be strengthened and replicated in order to improve the effectiveness and efficiency of the programme as well as its sustainability. It is also acknowledged that the TUP and Task Force models need further revision.

It was agreed that some of the SINPA interventions in Tangail could be phased out and responsibilities transferred, shifting the emphasis and priorities of the programme to a next phase. In this respect, solid waste management will be handed over to NGO's and CBO's as well as the Pourashava. The Ministry of LGRD and Cooperatives will be approached to supply the required number of waste carrying vans to the Pourashava. Traffic management activities will be merged with the existing interventions. On the other hand, the Pourashava can continue the Slum Improvement and Housing Development Activities and Central Canal Cleaning in partnership with BWDB, LGED, communities, professional groups and business associations that are already functioning.

Finally, training on Pourashava Resource Mobilisation and Management should be emphasised. This could be done through developing training manuals with help from different training institutes. Courses should be organised to build the capacity of Pourashava Councillors and officials from Tangail and other municipalities. Rather than overlapping with existing training programmes, these initiatives should complement them.

Dissemination of the Tangail Experience

The Tangail Experience is sufficiently developed to permit its dissemination. This will allow replication of its experiences and permit comparative analysis. The project could therefore be expanded to the other five regions of Bangladesh in a next phase. In this respect, it is first necessary to improve the documentation of SINPA

Bangladesh. The SINPA model is not entirely new so that a comparative study can be carried out with similar models and case studies. Other participatory planning models such as the WHO's Health City Project, UBSDO and LPUPAP could provide the inputs necessary for a comparative cost-benefit analysis.

It is imperative however to disseminate the concept before initiating any further action. In other words, there must be training, planning and other institutions must fully understand the concept before starting any intervention.

Ensuring the Functioning of the National Forum for Capacity Building Institutions

The functioning of the National Forum for Capacity Building Institutions (NFCBI) is considered essential to the future strategy of SINPA Bangladesh. To strengthen the activities of NFCBI a stakeholder analysis of NFCBI institutions should be conducted. A survey should be carried out to assess capacity building needs.

Replicability and Sustainability

As mentioned above, the project has developed sufficiently to allow replicability; but it has also entered a phase in which the imminent termination of SINPA support may undermine its sustainability.

It is therefore proposed to produce a Practical Manual for Urban Stakeholders' Participation in order to give an opportunity for other actors to share and learn from Tangail's ideas and experiences. Sharing experiences through workshops and seminars could convince other development actors to replicate the experience as well as drawing new partners to Tangail.

Beyond SINPA

The SINPA experience in Bangladesh has shown the importance of the SINPA model in dealing with the complexity of urban issues and multiplicity of interests of the different stakeholders involved in the participatory planning approach. In this respect it has been stressed that the Tangail Urban Platform (TUP) should continue its involvement in national and international exchanges of experience and know-how. TUP, acting as a training and research location for other aspiring towns to learn, would foster the model replication of the model.

In addition, a permanent national level secretariat for urban platforms (UP's) should be created complete with a help-desk. A federation of UP's should also be organised under a rotating chairmanship. Dissemination of experiences and lessons learnt could be channelled through an Urban Platform Newsletter, Urban Platform Web Pages and Urban Platform publication series.

Finally, as stated by the Mayor of Tangail, SINPA is needed not only for Tangail but also for other cities. Therefore SINPA should be extended beyond the present project period.

Future Strategy Zambia

Representing the Zambia Delegation, the Mayor of Kitwe, Mr. L. S. Kazabu, presented the *Proposed Future Strategy of SINPA Zambia* based on the discussions held and lessons learnt during the seminar. According to the Mayor, despite major financial obstacles faced by Kitwe City Council (KCC), the SINPA project has scored some key successes that can only be consolidated with the continuation of the project.

In this respect it has been acknowledged that training workshops have allowed KCC to open up to popular participation in service delivery. Moreover, SINPA Zambia has built capacity within KCC so that it can source hardware from donors and other development agencies. It has, for example, trained government staff in the formulation of project proposals. For these reasons the SINPA project is recognised as a useful and very necessary support for Kitwe.

The project has already identified five key activity areas for capacity building in KCC: reducing its manpower levels to increase investment capacity; poverty alleviation; responsiveness towards popular participation; improving municipal finances and solid waste management.

Future strategy should focus on scaling down the aforementioned key areas to only three: improving the financial capacity of KCC, solid waste management and enhancing the responsiveness of KCC towards stakeholders. The reason for focusing on these three areas is, firstly, that solid waste management is already institutionalised in KCC and is the most visible contribution of SINPA to the City Council. Secondly, financial improvement is imperative for improved service delivery by KCC. Finally, popular participation is necessary for the success and sustainability of all other activities.

One of the main problems of the SWM is that the CBD is managed by the private sector but the residential neighbourhoods cannot afford the system. The strategy for improving the SWM is two-fold. Firstly, KCC should look for linkages with the Sustainable Lusaka Programme and CARE International activities to attract additional resources, tapping relevant lessons and building synergies and networks. Secondly, it should involve CBO's and source equipment to implement community-based approaches to SWM. At the institutional level, it should develop a strategic plan for SWM. As a foundation to the Strategic Plan a SWM policy must be drawn up, SWM by-laws approved, a solid waste typology study carried out and training for KCC officials provided in facilitating and regulating SWM. KCC has learnt from previous experiences that leaving everything in the hands of the private sector may undermine the effectiveness of the service.

The strategy for improving the financial position of KCC is based on raising tax revenue and improving management systems. Firstly, a Task Force should be formed to enhance and monitor tax collection. An autonomous debt collection unit should also be established free from political influence. KCC should also lobby central government through LGAZ to retain a percentage of local taxes. To cope with high inflation, KCC should introduce an indexing of the valuation roll. A data base

and information management system should be established for all council revenue sources and customers. Finally, KCC should implement a number of levies such as parking fees, community service levy, green levy and toll levy.

In order to promote popular participation, KCC strategy should focus on capacity building of government and non-governmental organisations, better communication and networking. At capacity building level, actions should be focused on training of trainers, particularly Community Development Officers and assistance in the formation of Residents' Development Committees (RDC). In order to improve communications between government and civil society, it is proposed to create a City Forum where the local leadership can meet residents and discuss key development issues. Radio and TV programmes could be used to disseminate state, city and KCC programmes. Schools could be used as an entry point into the communities as young people are very enthusiastic and can disseminate information. Drama, theatre and the Kitwe Club are important tools for communication with civil society as a whole. Finally, efforts should be made to widen networks and make exchange visits with towns undertaking similar projects as well as co-opting members of the public on to council discussions.

In conclusion, the achievements of SINPA so far suggest development within the city will be enhanced. The Zambian delegation in this respect is confident that through the proposed strategy they shall not enhance the contribution of the project but that they shall realise their vision. In the words of the Mayor of Kitwe:

"it is our firm belief that our co-operating partners will continue to share this vision with us"

Comments and discussion

The audience questioned the Mayor of Kitwe with respect to the political impact of reducing government staff and introducing levies for KCC and his own political interests. Mr. L. S. Kazabu explained that the secret of reducing staff and increasing tax revenue lies in the way it is done. This should be carried out incrementally and together with raising awareness and improving communication with the community. Nevertheless, it represents a personal challenge for the Mayor.

Answering questions from seminar participants, the Mayor explained that legal frameworks already exist for co-opting members of the community onto the administration. He also explained that special attention has been given to women in development through a partnership with an NGO. Instead of classifying the actors involved in the process as 'partisan', the Mayor of Kitwe considers all actors as stakeholders of the process.

Future Strategy Bolivia

The future strategies the Delegation of Bolivia presented are based on the analysis of the lessons learnt during the SINPA project and focus on four areas: governance; planning and participation; finance and solid waste management. At local government level, it has been perceived that there is a divorce between the executive and the legislative. Both have projects and activities that do not necessarily coincide, undermining possible co-operation, co-ordination and synergy. The executive and legislative should co-operate more closely. It is recommended in this respect that SINPA pay attention to governance. For instance, the Municipal Information Centre is an idea that exists both in the Council and in the municipal executive, and could be used as a pilot project for closer co-operation.

In order to improve municipal organisation for the strengthening of participatory planning, the strategic planning team (technical team) should become a permanent unit, articulated with the other parts of the municipality: council, technical offices and Planning Committee. It is recommended that the Law on Public Officials



should be respected and changes in personnel within the team should be avoided. The technical team should coordinate better with the Finance Department in order to produce more viable projects. The existing overlap in functions between different committees and bodies that deal with urban planning should be tackled more openly. The same applies to the decisions taken on the responsibilities for the diffusion and ownership of the PDMS. In this way it will be possible to increase ownership and co-ordination of the project among all planning bodies.

It has been recognised that 'participation' can be both excessive and its costs higher than its benefits. It is therefore important to improve co-ordination between the various participatory processes. It is also important to ensure continuity in the present planning process by creating permanent opportunities for participation

as well as searching for national dialogue, involving all levels of government and society. In other words, it is vital to explore all the tools and mechanisms of institutionalised participation that could permit citizen participation in a single unified system encompassing all levels of government.

On the other hand, it has been noticed that the inhabitants of Santa Cruz de la Sierra do not have sufficient information to be able fully to use their rights to participate. The establishment of an information centre is crucial to enhance citizens' ownership of the municipality and to improve the means of communication.

From the financial point of view, it is acknowledged that planning with excessive participation, which does not take into account the financial means available for implementation, raises expectations and can lead to frustration and loss of credibility. Participation can create more expectations among the community than there are possibilities to meet them. In this respect, the strategic planning unit should work together with the financial unit to formulate a realistic five-year plan. Moreover, the financial unit should be strengthened to assure a sustainable flow of finance for the implementation of the plan. It has been learnt from other countries' experiences that universities can give support to the municipality in improving the revenue collection system. For example, a replication of the Guatemala City experience with DHV Consultants could be explored in order to establish hardware and software cadastral systems which could increase municipal revenue.

The strategy for solid waste management is based on the recognition that the current bidding procedure, that will result in a contract with a private operator for eight years, is not supported with adequate studies of costs, technologies and procedures. In this respect, a study should be carried out to give the Municipality a better overview of all the costs involved before launching the new bidding process.

Comments and discussion

Answering a question on the existing logistics of SWM, the Bolivian Delegation explained that currently dumping of solid waste in Santa Cruz is carried out without treatment, which may in the future contaminate water sources. An obstacle to improving the SWM system is that most inhabitants are unwilling to pay more for this service.

Mr. Osvaldo Gutierrez, the Head of Administration (Oficial Mayor de Administración) in the Municipality, commented that the Municipal Government believes that SINPA has done an important job in the different fields, but that its support should continue in the future. Although the PDMS will be concluded in October 2000, it will be necessary to provide training during the implementation phase. The Municipality also needs support to implement an integrated SWM and SINPA could play an important role in providing knowledge and experience in this field. The same applies to support for the implementation of the city information centre and improving financial management.

Part V

Panel Discussion

Brainstorming

Hardware x Software

The dilemma between hardware and software investment was one of the main points raised by members of all delegations during the brainstorming session. Whereas SINPA has been important in building local capacity, it has not tapped direct investment in social and physical infrastructure.



According to Forbes Davidson, on the other hand, the SINPA model is based on investing fundamentally in people, helping cities to create a strategic vision. Leadership is the key to attracting and managing resources. SINPA does not itself provide hardware but helps to build capacity so that future hardware resources are well managed. Bringing different actors to work in the same direction, it creates a favourable environment to increase synergy and decrease energy lost. SINPA is in the business of teaching skills.

Networks

All participants acknowledged that SINPA has played an important role in building and strengthening networks between both local and external actors. These have the potential to fill existing gaps and provide opportunities for achieving the needs and aspiration of the different partners.

SINPA has strengthened internal alliances that have improved levels of co-ordination and synchronicity such as those between mayors and councils. This has also happened between different levels of government and between different cities. In this way it has created an opportunity to share development planning experiences among cities and institutions. Cities that already have outstanding experiences have started 'selling' their reputations. For example, Barcelona provides advice in the field of strategic planning for many cities. Learning from others' experience is vital in a time of competitive advantages, as donors can be interested in linking to a city that is successful.

Sustainability

With the SINPA programme entering its last phase, the members of the three delegations expressed concern about the sustainability of the SINPA model beyond the programme period. One of the strategies presented was to seek extra resources from the Dutch government and other donors.

Self-replication of the programme in other cities could be an alternative strategy for assuring sustainability of the model. SINPA should prove that it has not only been vital for the cities where it has been implemented but that it can also build sustainable capacity on a broader scale.

Florian Steinberg argued that SINPA has helped to disseminate the concept of partnership. Once the model of SINPA is consolidated, it will be possible to mobilise many more resources. In addition, NGO's should not be considered as structures to attract resources. NGO's are sometimes weak structures which depend on external funding. Another aspect of sustainability is organisational consolidation. As the Mayor of Kitwe stated, the continuation of the SINPA model will depend on strengthening institutional frameworks.

According to Maria Luisa Garnelo, SINPA Co-ordinator in Bolivia, it is necessary to look at the sustainability of the process, not only of the programme. The continuation of SINPA as a programme depends on those institutions that have resources: municipalities and universities. The sustainability of the process, therefore, can be found in an alliance between municipalities and universities, combining human resources with financial ones.

Nazrul Islam argued that the Bangladeshi government should acknowledge the role of universities. If this is not done, the sustainability of the programme will be seriously compromised once Dutch financial support comes to an end

Finally, Florian Steinberg argued that it is necessary to look at issues of sustainability at two different two different levels:

the capacity building process and institutional strengthening. It is vital in this process to strengthen the capacity of universities to work with municipalities as well as to strengthen municipal institutional frameworks.



Concluding Remarks

Nazrul Islam – Director of C.U.S, Bangladesh

The SINPA model of investing in people should be supported and endorsed. If we want to invest in our cities, partnerships among all actors must be strengthened. But who are they? What are the capacities to be invested? The answer should be capacity building of authorities. It is a long-term learning process which other institutions and programmes should put together. For example, we could learn from the experiences of Arnhem, Bolivia, and Zambia. The Bangladesh programme did not focus on strategic planning. So Bangladesh should start focusing on a vision for future.

Bangladesh is a poor country. Resources can be obtained from external sources, but experience shows that resources can also be generated within Bangladesh.

There was a discussion that academic institutions should be involved. There are very strong university and research institutions in Bangladesh. Donors have the tendency to work only with NGO's. They have even become stronger than national universities. But the model of development followed by dissemination fits universities very well.

The principles underpinning this model should be: social equity, governance (which means transparency, accountability and control mechanisms), city level organisation and decentralisation.

Oswaldo Gutiérrez – Head of Municipal Administration, Santa Cruz, Bolivia

Although SINPA Programme has a short timeframe, it has shown important results. SINPA has succeeded in creating linkages between all actors, bringing together not only government but also universities and NGO's.

Although Santa Cruz de la Sierra is considered to be a rich municipality, 58 percent of the population live in poor conditions. The present administration has created a new political environment, as well as drawing up a new five-year plan. In October, the new Law of Municipalities will open up another route for participation. SINPA has helped to implement a set of recommendations on solid waste management which was identified as a critical problem,. In fact, SINPA can play an important role in all stages of solid waste management.

SINPA has also improved relationships between executive and legislative levels of local government. It has widened the feeling of ownership on the part of all stakeholders. It has helped to show how to a development plan can be drawn up with the participation of all citizens.

The areas to be strengthened in the future should be in the implementation of the PDMS and capacity building programmes.

Finally, it could be said that the Bolivian delegation has learned a lot from the seminar. This initiative, therefore, should be replicated.

Ms. B. K. Senkwe –Copperbelt University, Kitwe, Zambia

In order to live without external financial support and to make the SINPA process sustainable, we should find ways to build synergy and networks as well as exchanging experiences in fundraising.

SINPA opens a window of possibilities for exploring financing sources for such activities as the development of solid waste management strategies.



Ownership derives from the benefits the project has provided, not on the amount of financial resources it has been able to bring. SINPA's sustainability does not depend on individuals, but on institutions that are truly committed and that can see beyond the programme's short-term objectives.

Mr. Overs Banda – Principal Secretary, Ministry of Local Government and Housing, Zambia

Mr Banda has been pleasantly surprised by the very fruitful exchange of experiences. He is strongly of the opinion that the SINPA project should continue and expand to other cities.

Furthermore, he advocates having further opportunities to exchange experiences such as has been possible in this seminar, probably through visits to the other SINPA countries.

Dr. Emiel Wegelin – Director of IHS, the Netherlands

In order to answer the question about what we expect beyond SINPA, we should challenge the meaning of SINPA and the meaning of sustainability. The answer is the sustainability of *INPA* not SINPA. In other words, the continuation of the implementation of national plans of actions not the SINPA programme *per se*. So far the programme has been a successful learning process, but at the end of the day

what matters are the policies and the institutionalisation of the experiences learnt during the programme.

In a time of shortage of human resources in the issues of urban development, there is a need to look at all kinds of ways of improving this situation. In this respect, we should improve *partnerships* in the 21st Century. Partnerships can create value-added by everyone.

We cannot forget that *equity* is a vital element of the development equation; this is all the more important at a time when globalisation has increased poverty and social exclusion.

In order to be able to strengthen these areas of weakness it is important also not to forget the political dimensions. Capacity building of politicians is a key element. In an urbanising world, *decentralisation* is crucial but should not be taken for granted; it is something we need to fight for.

The *sustainability* of the SINPA approach primarily requires capacity building and resources. But above all it requires *leadership*. There are plenty of internal and external resources available; we need to know how to tap them. In this respect, we should not focus mainly on international donors, but on the entities that have resources so that they make better use of them. We can conclude that investments in capacity building represent an investment in the future.

Annexes

SINPA Seminar Programme

Processes, Politics and Participation
Experiences of Strategies for Local Capacity Building

**The international SINPA seminar
 19, 20, 21 September 2000**

Tuesday 19th September

| Time and place | Programme | By | Description and remarks |
|-------------------------------------|---|---|---|
| 9.15 Tulip Inn | Departure to I.H.S. | | Bus can be recognized by the name "Snelle Vliet". |
| 9.30 Bar I.H.S. | Coffee/tea | | Annette Duivenvoorde will register the participants and hand out the badges. |
| 10.00 Room 8 | Welcome | Forbes Davidson | Welcome, introduction to participants and explanation of the programme. If a member of a delegation would like to address the seminar participants officially it can be done at this point. |
| 10.50 I.H.S. bar | Coffee/tea | | |
| 11.00 Room 8 | Introduction to the SINPA Project Series Papers | Leon van den Dool | Several Project Papers are edited and reproduced in the SINPA project series. These will be presented briefly. |
| 11.20 Room 8 | Progress in each country | Members of delegations. Facilitation: Forbes Davidson | There will be a 30-minute presentation of progress and experiences with the SINPA project in each country. Questions can be asked after each presentation. |
| 12.30 Erasmus University Canteen | Lunch | | |
| 13.30 Room 8 | Progress in each country (continued) | Members of delegations. Facilitation: Forbes Davidson | There will be a 30-minute presentation of progress and experiences with the SINPA project in each country. Questions can be asked after each presentation. |
| 15.00 | Departure by bus | | |
| 15.30 Marconi-straat 2 | City Information Centre, Rotterdam | Mrs. Wirschell | Presentation on the organisation and functioning of the Center. |
| 17.00 | Departure by bus | | |
| 17.30 – 21.30 | Boat Trip and dinner | | |

Wednesday 20 September

| Time and place | Programme | By | Description and remarks |
|---|---|---|---|
| 8.45 Tulip Inn | Departure by bus to I.H.S. | | |
| 9.00 Room 8 | Thematic introduction | Forbes Davidson | Introductory session on the SINPA approach and processes, politics and participation and experiences with strategies for local participation. The session will end with three recommendations for the SINPA programme. |
| 9.30 Room 8 | Comments | Prof. Isa Baud | Some relevant experiences from elsewhere. Comments focused on the three recommendations. |
| 10.00 Room 8 | Plenary discussion | Facilitation Hans Teerlink | Plenary discussion focused on the theme and the presentations of Forbes Davidson and Isa Baud. |
| 10.30 I.H.S. bar | Coffee/tea | | |
| 11.00 Room 8 | Solid Waste Management | Marijk Huijsman | Presentation based on the experiences of Kitwe, Tangail and Santa Cruz and additional research. |
| 11.30 Room 8 | Participation and Planning | Forbes Davidson | Presentation based on the experiences of Kitwe, Tangail and Santa Cruz and additional research. |
| 12.00 Room 8 | Financial Improvement of Local Government | Leon van den Dool | Presentation based on the experiences of Kitwe, Tangail and Santa Cruz and additional research. |
| 12.30 Erasmus University Canteen | Lunch | | |
| 13.30 Room 8, two lecture rooms | Discussions in thematic sub-groups | Facilitation by Forbes, Marijk and Leon | Discussion in three separate groups (solid waste management, participation and planning and financial improvement of local government) based on the morning presentations. No plenary presentation of the sub-groups but results will be used in country discussions. |
| 15.30 Room 8, two lecture rooms | Discussion by country | Facilitation by Harry, Hans and Maria | The delegations from each country will consider how the ideas presented in previous sessions can be incorporated in their own future strategy. Future strategies for the last year of the project and beyond the project period are to be presented on Thursday morning. One person per country should be selected for the presentation and one person for the panel. |
| 17.30 | Departure by bus to hotel | | |
| 18.00-19.30 Conference Room, Tulip Inn | Presentation of SINPA studies: Santa Cruz and Córdoba | Florian Steinberg | Dr. Florian Steinberg is a senior I.H.S. staff member based in Peru. His presence during the seminar provides an opportunity to present and explain some interesting studies he implemented for SINPA. |

Thursday 21st September

| Time and place | Programme | By | Description and remarks |
|-------------------------------------|---|-----------------------------------|---|
| 8.45 Tulip Inn | Departure by bus to I.H.S. | | |
| 9.00 Room 8 | Recapitulation | Forbes Davidson | The SINPA team leader highlights the main points of the seminar so far and facilitates the presentation of the future strategies of the three countries |
| 9.30 Room 8 | Future strategy Bangladesh | Representative | A representative from Bangladesh presents its future strategy as discussed on Wednesday. |
| 10.00 Room 8 | Future strategy Bolivia | Representative | A representative from Bolivia presents its future strategy as discussed on Wednesday. |
| 10.30 I.H.S. bar | Coffee/tea | | |
| 11.00 Room 8 | Future strategy Zambia | Representative | A representative from Zambia presents its future strategy as discussed on Wednesday. |
| 11.30 Room 8 | Brainstorming session on: "Beyond the SINPA Project Period" | Forbes Davidson/ Harry Mengers | |
| 12.30 Erasmus University canteen | Lunch | | |
| 14.00 Room 8 | Presentation/ Explanation on Strategic Planning in Arnhem | Dr. Anne Flierman | In Arnhem a remarkable strategic planning process has been implemented. The C.E.O. will briefly present what happened. |
| 14.30 Room 8 | Panel discussion | Facilitation by Hans Teerlink | The future strategies of each of the three countries are discussed by the panel and the audience. |
| 15.30 Room 8 | Conclusion of panel discussion | Hans Teerlink | The facilitator gives a summary of the main points discussed. The intention of this seminar is not to come up with final "official" resolutions. |
| 16.30 Room 8 | Closure of the SINPA seminar | Emiel Wegelin | The Director of I.H.S. officially closes the seminar. |
| 16.45 I.H.S. Bar | Drinks | | |
| 18.00 | Departure by bus to hotel | | |

List of Participants

Bangladeshi Delegation

Mr. Md. Mizamur Rahman, Joint Secretary, Ministry of Housing and Public Works, Bangladesh Secretariat, Dhaka
Mr. Nazrul Islam, Director C.U.S.
Mr. Syed H. Loton, Secretary General RADOL and National Coordinator SINPA
Mr. M.A. Gofran, SINPA Adviser
Mr. Md Zamilur Rahman Miron, Chairman, Tangail Pourashava TUP
Mr. Shariful Alam, Tangail Coordinator
Mrs. Monowara Begum, Commissioner, Tangail Pourashava
Mrs. Kahinoor Hoque, Commissioner, Tangail Pourashava
Mr. Karar Mahmudul Hasan, Joint Secretary , Ministry of Local Government, Rural Development and Cooperatives; member of national SINPA Steering Committee.

Bolivian Delegation

Mr. Ives Pereira, member, Municipal Technical Team for Strategic Planning
Mr. Osvaldo Gutiérrez, Head of Municipal Administration, Municipality of Santa Cruz.
Mr. Roberto Fernández, Councillor.
Mr. Carlos Barrero, Dean, Faculty of Architecture, Universidad Autónoma Gabriel René Moreno.
Mr. Jorge Romero, Dean, Faculty of Architecture, Catholic University.
Mr. Felipe Caballero, Ministry of Planning and Participation.
Mrs. Rosario Rosa, Director, CIDCRUZ (NGO).
Mrs. Maria Luisa Garnelo, SINPA Coordinator.

Zambian Delegation

Dr. G.A.C. Khonje, Director , Department of Physical Planning and Housing, Ministry of Local Government and Housing.
Mr. Mbaimbai, Director of Administration, Kitwe City Council.
Mr. C. Kambole, Assistant Dean, School of Built Environment, Copperbelt University, Kitwe .
Mr. A. Chileshe, CARE International – Zambia, CULP Project, Ndola.
Mrs. B.K. Senkwe, School of the Built Environment, Copperbelt University, Kitwe.
Mr. L.S. Kazabu, Mayor of Kitwe.
Mr. A. Malama, National Coordinator SINPA Programme Zambia, Copperbelt University, School of Built Environment.
Mr. Overs Banda, Principal Secretary, Ministry of Local Government and Housing.



Participants from the Netherlands

Dr S. Volbeda, Ministry of Foreign Affairs.
Dr. W. Prins, Dutch Habitat Platform.
Dr. A. Flierman, Town Clerk, Arnhem.
Mrs. B. Scheepstra and Mr. Sutmuller, DHV Consultants.
Mr. A. Galema, SNV (Netherlands Development Organisation).
Representative, Netherlands Union of Local Authorities
Mrs. M. van Tintelen and Mr. W. Hurkmans, Cordaid.

Participants I.H.S.

| | |
|-------------------|-----------------------|
| Forbes Davidson | Andre Herzog |
| Hans Teerlink | Leon van den Dool |
| Harry Mengers | Reinhard Skinner |
| Maria Zwanenburg | Annette Duivenvoorden |
| Jos van Renswoude | Marc Jansen |
| Florian Steinberg | Marijk Huysman |
| Jaap de Vries | Isa Baud |

Translators:

Spanish – English , English - Spanish: Manuel Beltrán, Laura Capel, Maria Zwanenburg and Reinhard Skinner
Bengali – English, English - Bengali: Zobair Hasan



SINPA Research Paper Series

Bangladesh

Learning Lessons from the Bangalore Urban Poverty Alleviation Programme. Participatory Approaches to Urban Development.

Aprendiendo del Programa de Alivio de la Pobreza Urbana de Bangalore.

Perspectivas Participativas en el Desarrollo Urbano

Authors:

Joop W. de Wit, IHS, Rotterdam, the Netherlands.

A.N. Krishnamurthy, HSMI/HUDCO, New Delhi, India.

August 2000

Organizational and Training Needs Assessment of Tangail Pourashava, Bangladesh

La Evaluación de las Necesidades Organizativas y de Capacitación de la Municipalidad de Tangail, Bangladesh

Authors:

Musleh Uddin Ahmed, University of Dhaka

Jamshed Ahmed

Sept. 2000

Resource Mobilization and Management in Tangail Pourashava

La Movilización y Gestión de Recursos en la Municipalidad de Tangail

Author:

Dr. Nawshad Ahmed

July 2000

Bolivia

La Basura en los Barrios Populares : Propuesta para un Sistema de Recolección

Refuse in Low-Income Neighbourhoods: a Proposed Collection System

Authors:

Rosario Rosa and Miguel Angel Vespa, CIDCRUZ

Centro de Investigación y Documentación Santa Cruz (Santa Cruz Centre for Research and Documentation)

May 2000

Perfil Ambiental de Santa Cruz de la Sierra

Environmental Profile of Santa Cruz de la Sierra

Author:

Fernando Prado, CEDURE

Zambia

Applied Financial Improvement Planning in Local Governments

La Planificación del Mejoramiento de Sistemas Financieros en los Gobiernos Locales

Author:

Rolf P.A. Dauskardt, IHS

2000

Private Sector Participation in the Delivery of Municipal Services Kitwe

La Participación del Sector Privado en el Suministro de Servicios Municipales en Kitwe, Zambia

Authors:

M.K. Banda, Copperbelt University, Kitwe

A.W. Saka, Management Services Bureau, Lusaka

H. Mengers, Institute of Housing and Urban Development Studies Rotterdam

21 May 1999

Widening the Resource Base of Kitwe City Council

Ampliando la Base de Recursos de la Municipalidad de Kitwe

Authors:

Feliaty TJ Ndeke, Copperbelt University, Kitwe

Andrew Chitembo, Bowanda Consultancy Services, Lusaka

Rolf P.A. Dauskardt, Institute of Housing and Urban Development Studies, Rotterdam

April 1999

Improvement of Refuse Collection in Kitwe : A Participatory Approach

El Mejoramiento de la Recogida de Desechos en Kitwe (un Enfoque Participativo)

Authors:

Barbara Kazimbaya Senkwe

Kambole Michael Sankwe

Jos Frijns

May 1999