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Stakeholder Engagement and Partnership Building in the Lake Victoria Region Water and Sanitation Initiative

How to Set Up and Manage a Town-Level Multistakeholder Forum

A Step-by-Step Guide

Abbreviations and Acronyms

BNWPP	Bank Netherlands Water Partnership Program
BPD	Business Partners for Development
BQ	Bill of Quantities
CDS	City Development Strategy
CRC	Citizen Report Card
ESMAP	Joint UNDP/World Bank Energy Sector Management Assistance Programme
FGD	Focus Group Discussion
ICLEI	International Council for Local Environmental Initiatives
IIED	International Institute for Environment and Development
LAVRLAC	Lake Victoria Region Local Authorities Co-operation
NWASCO	National Water Supply and Sanitation Council, Zambia
OFWAT	U.K. Office of Water Services
PAC	Public Affairs Centre
PIU	Project Implementation Unit
PMU	Project Management Unit
ULB	Urban Local Body
UMP	Urban Management Programme
UN-HABITAT	United Nations Human Settlements Programme

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Foreword

The Lake Victoria Region Water and Sanitation Initiative is one of the concrete steps taken by UN-HABITAT in association with the Governments of Tanzania, Kenya and Uganda, and the Secretariat of the East African Community to support small towns in the region to attain the water and sanitation targets of the Millennium Development Goals. Following the admission of Rwanda and Burundi as members of the East African Community, UN-HABITAT has partnered with the African Development Bank to expand the programme to the two countries.

The Initiative is designed to demonstrate that the water and sanitation target could be met in these towns with modest investments targeted primarily to rehabilitation of existing infrastructure, with due emphasis on capacity building at local level to ensure the sustainability of these services. It is expected that demonstrating an integrated approach to the provision of basic services in these towns and creating management capacity at local level would provide a model for national authorities and donors, including international financing institutions, to replicate this approach in other towns in the region.

I am glad to note that considerable progress has been achieved in programme implementation in the towns covered in the first stage of the Initiative. These include Kisii and Homa Bay in Kenya, Masaka and Kyotera in Uganda, Bukoba and Muleba in Tanzania and the border town of Mutukula.

To ensure local ownership of the programme, multistakeholder forums have been set up in each project town. The forums bring together representatives of women and youth groups, orphan-headed households and other vulnerable groups, community-based organizations, faith-based groups, non-governmental organizations, local government, local media and the private sector, among others.

The rationale for setting up these forums is to ensure that the interventions under the Lake Victoria Initiative are developed and implemented in a manner that is informed by and responds to the needs of the local stakeholders. Through regular communication and feedback, the forums also ensure that stakeholders understand and support the achievement of the goals and objectives of the Initiative.

It is worth noting that since their formation, the forums have continued to create a meaningful space for town residents, especially the urban poor, to engage with service providers and the local government on a number of service-related issues.

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This Step-by-Step Guide is part of a series of publications to be released by UN-HABITAT to document experiences and lessons learned in the implementation of the Lake Victoria Initiative. It outlines the process of setting up and managing a town-level multistakeholder forum. It also proposes some areas where the forums can effectively be used as platforms for involving town residents in dealing with citywide issues such as participatory planning and budgeting, preparation of citizen report cards, strengthening of consumer voice in utilities and preparation and implementation of city development strategies.

I extend my sincerest gratitude to the Government of The Netherlands for the valuable financial support to this programme. I am also grateful to the Governments of Kenya, Uganda and Tanzania and the Secretariat of the East African Community for their continued support and guidance in its implementation.

Signature of ED
Anna Tibaijuka
Executive Director

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Table of Contents

Annexes

Boxes

Figures

Tables

Case Studies

Executive Summary

There is no one best way to set up and manage a town-level multistakeholder forum. The composition of the multistakeholder forum and issues to be addressed will differ from one town to another. This *Step-by-Step Guide* has been developed with the understanding that one-size-does-not-fit-all. The users of the Guide are, therefore, encouraged to be flexible in developing multistakeholder partnerships in line with their local needs and resources.

A substantial part of the Guide is based on UN-HABITAT's own learning and experiences gained in the first phase of the Lake Victoria Region Water and Sanitation Initiative[1]. Current thinking on multistakeholder partnerships and the experiences and practices of other development partners are also used to illustrate some points.

The Guide is intended to help new towns in the second phase of the Lake Victoria Initiative to get started in developing and managing effective multistakeholder partnerships. The town-level multistakeholder forum is also designed to involve town residents in citywide issues, including the improvement of municipal governance.

Rationale for Multistakeholder Partnerships

Multistakeholder partnership has become a common phrase in recent development discourse. In the water and sanitation sector, a number of factors explain the emerging prominence of multistakeholder partnerships:

i. Considering that the provision of water supply and sanitation services increasingly involves numerous stakeholder groups, coordination of effort towards a more holistic approach through multistakeholder partnerships makes good sense.
ii. There is increasing consensus that projects are much more likely to meet their objectives when solutions are arrived at through meaningful participation of the intended beneficiaries.
iii. Innovation is increasingly acknowledged as a necessary ingredient for meeting the challenging water and sanitation needs of the urban poor. Many would agree that such innovations emerge from the environment where knowledge is valued and where different views and opinions of stakeholders are encouraged and aired in an open participatory manner.

1. *Phase I of the Lake Victoria Initiative covers the following towns: Kisii and Homa Bay in Kenya, Masaka and Kyotera in Uganda, Bukoba and Muleba in Tanzania and the border town of Mutukula.*

Photo: © UN-HABITAT

iv. The current pitch for reform of the water and sanitation sector acknowledges the need for participation of the local people.
v. Multistakeholder partnerships generate greater buy-in by, for example, promoting a greater willingness to engage with poor communities and a greater willingness to pay for services.
vi. From a rights-based perspective, development is people-centred. Rights-based approaches require a high degree of participation, including from communities, civil society, minorities, indigenous peoples, women and others[2].

Photo: © UN-HABITAT

2. *http://www.unhchr.ch/development/approaches-04.html*

The Structure of the Guide

The Guide has five basic steps:

Step 1: Mobilize and Sensitize Stakeholders on Project Objectives

The first step is to identify who your stakeholders are. In the context of the Lake Victoria Initiative, practically all the town residents are stakeholders because, as consumers, they are directly affected by any planned improvements in the water and sanitation services.

Whereas the Lake Victoria Initiative stakeholders go beyond the project towns to include national and sub-national institutions, this Guide focuses on the town-level stakeholders. The national ministries and regional bodies are, therefore, not considered in the list of town-level stakeholders. They are, however, represented in the Project Management Units (PMU) and Project Implementation Units (PIU) in each country.

It is important to involve all stakeholders right from the beginning. After identifying all the stakeholders, they should be mobilized and sensitized on the objectives of the project and their involvement in the achievement of its objectives. Their expected involvement in citywide issues, including the improvement of municipal governance should also be clearly explained from the start.

Special effort should be taken to promote the inclusion of less powerful groups or individuals such as poor women and men, orphans and other marginalized groups in the Multistakeholder Forum.

Step 2: Establish a Multistakeholder Forum

The second step begins with the development of the terms of reference for the multistakeholder forum. Discussions should be guided by the following questions, among others:

i. What is the purpose of the multistakeholder forum?
ii. Who should be a member of the forum?
iii. What criteria are used for choosing forum members?
iv. How is the Forum's executive committee chosen?
v. How often should the forum meet?
vi. What are its responsibilities?
vii. Who does the multistakeholder forum report to?
viii. Who will ensure that concrete actions are taken to address multistakeholder forum recommendations?
ix. How will the activities of the multistakeholder forum be funded?
x. How will the multistakeholder forum engage with the larger community?

These questions are not cast in stone. They are intended to guide discussions on the nature, composition and responsibilities of the multistakeholder forum. Participating towns are encouraged to add as many questions as their local situations may demand.

Step 3: Establish Thematic Working Groups

Thematic working groups are smaller groups carved out of the multistakeholder forum to focus on specific project issues. In the case of the Lake Victoria Initiative, project activities can be categorized into three main areas:

i. Investment in physical infrastructure, including water, sanitation, solid waste and drainage;
ii. Capacity building activities required to support and sustain physical infrastructure investments; and
iii. Awareness creation and education to sensitize and create attitudinal change among consumers.

In order to facilitate the participation of multistakeholder forum members from different backgrounds, sectors, and levels of expertise in discussing the above issues, three Working Groups should be established to deal with each of these areas. These include:

i. Physical Infrastructure Working Group
ii. Capacity Building Working Group
iii. Public Awareness and Education Working Group

The towns are encouraged to set up any other working group they deem relevant for the purposes of tackling wider issues of municipal governance.

Where necessary, individuals and representatives of community groups who are not members of the multistakeholder forum but have relevant skills, interest and/or experience, should be co-opted into the thematic working groups.

Working groups will need different types of capacity building support in order to perform effectively. This support will vary from town to town and in relation to the different working group activities, but should include:

i. General process support – such as moderation of meetings, training in facilitation, and mediation in negotiation and conflict resolution;
ii. Substantive support – such as guidance in action planning and project monitoring and evaluation; and
iii. Specialized technical advisory services – in specific areas of water, sanitation, solid waste and drainage.

Step 4: Develop Project Monitoring Plans

For purposes of monitoring the implementation of the Lake Victoria Initiative, each Thematic Working Group should develop a monitoring plan to measure progress in the implementation of project activities. The monitoring plan should specify the activities in the order that they will be executed and the individuals to execute them. This helps the thematic working groups to know the activities that should be carried out by particular contractors or individuals in a given period of time.

Step 5: Implement the Plans

To implement the monitoring plan, each thematic working group should discuss and agree on the key issues to be monitored, definition of monitoring indicators,

means of observing, frequency, and suggested monitoring procedures as shown in Table A below.

Table A: Sample of Issues to be monitored

Issue	Monitoring Indicator	Means of observing	Frequency	Monitoring Procedure
Timely implementation of projects	Number of project activities implemented in time	Routine project site visits	Weekly	Members use routine monitoring form
Appropriate use of project resources	No of materials misused	Routine project site visits Project quality checks	Weekly	Members use routine monitoring form

Institutionalizing the Multistakeholder Forum as a Pro-poor Governance Mechanism

Apart from being a mechanism for inclusive governance and decision-making in the implementation of the Lake Victoria Initiative, the town-level multistakeholder forum is also designed as a pro-poor governance mechanism for actively involving the poor in tackling citywide issues, including improvement in municipal governance.

For the multistakeholder forum to be effective in improving governance at the municipal level, it should be formally recognized by the local government. The recognition provides both democratic accountability and a close link with the official activities of the local government.

The recognition can take the form a municipal by-law, a memorandum of understanding, a letter of agreement or minuted deliberations of the local government, among others. Participating towns are encouraged to explore an agreeable option for recognizing the multistakeholder forum. The mandate should specify the roles and responsibilities of the forum vis-à-vis the local government.

Role of the Multistakeholder Forum in Municipal Governance

The ability of town residents to influence decision-making and operational processes of local governments is often curtailed by lack of meaningful space to engage with service providers and the municipal government on service-related issues, and investment and reform decisions. The last section of this Guide describes how the multistakeholder forum can fill this gap and improve municipal governance in the following areas, among others:

i. Participatory planning and budgeting;
ii. Preparation of citizen report cards;
iii. Strengthening consumer voice in utilities; and
iv. Preparation and implementation of city development strategies.

Introduction

Over the past two decades, small towns bordering Lake Victoria have experienced rapid growth due to increased economic development from a variety of activities including fisheries, industrial development and growth of small-scale businesses. In many of these towns, basic infrastructure and services are often run-down due to poor maintenance, lack of rehabilitation and low human resource capacity for operation and maintenance. The most affected are the poor who often remain outside the reach of municipal services.

The Lake Victoria Region Water and Sanitation Initiative is a collaborative effort between UN-HABITAT, the Governments of Kenya, Tanzania, Uganda, and the Secretariat of the East African Community. It supports small towns in the Lake Victoria region to attain the water and sanitation target of the Millennium Development Goals. The Initiative is designed to demonstrate that the water and sanitation target could be met in these towns with modest investments targeted primarily to rehabilitation of existing infrastructure, with due emphasis on capacity building at local level to ensure the sustainability of these services.

The programme is being implemented in a two-stage process. In the first stage, implementation is carried out in six towns, two from each of the three countries. The objective is to gain experience from the implementation of the first stage and to refine the implementation methodology in additional nine towns in the second stage. Towns covered in the first stage include Kisii and Homa Bay in Kenya, Masaka and Kyotera in Uganda, Bukoba and Muleba in Tanzania and the border town of Mutukula.

Following the admission of Rwanda and Burundi as members of the East African Community, UN-HABITAT has partnered with the African Development Bank to expand the programme to the two countries.

1.1 Programme Management Structure

A programme management structure has been set up to coordinate the implementation of the Lake Victoria Initiative at various levels. At the regional level, the Ministers responsible for water and sanitation in the three partner countries provide political oversight and policy guidance. A strong partnership has also been established with the secretariat of the East African Community.

In each country, three levels of programme management have been established. At the national level, a project management unit (PMU), responsible for overall

Photo: © UN-HABITAT

coordination and management of project activities, has been established. Members of the PMU include representatives of the Ministry responsible for water and sanitation, representative of the Ministry of Health and a representative of the Ministry of Local Government, among others.

At the town level, project implementation units (PIU) chaired by respective town clerks, coordinate project implementation. A multistakeholder forum, bringing together representatives of women groups, youth groups, orphan-headed households and other vulnerable groups, community-based organizations, faith-based groups, non-governmental organizations, local government, local media and private sector, among others, has been formed in each project town.

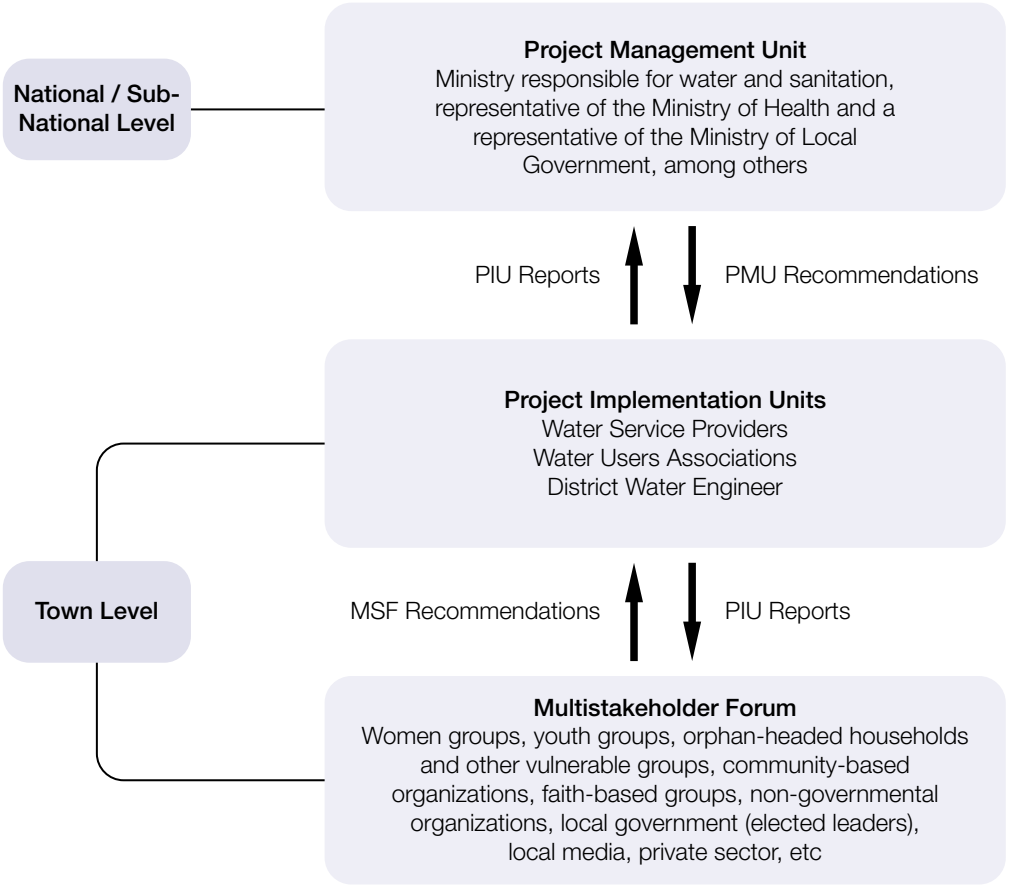

Figure 1: Programme Management Structure

1.2 Rationale for Multistakeholder Partnerships

In the past few decades, four main trends have opened up the development arena to non-state actors such as poor communities, the civil society and the private sector[3]. These include:

3. *ESMAP and BNWPP. July 2003. A Sourcebook on Stakeholder Involvement in Options Assessment: Promoting Dialogue in Meeting Water and Energy Needs, pg.2*

i. The changing role of governments from their traditional role as a sole service provider to that of regulator and occasionally facilitator, enabling the private sector, communities, and multistakeholder partnerships to play expanded roles in service provision and management.
ii. An expanding definition of the public interest that places more weight on rights and interests of people and communities affected by development activities.
iii. Increasing efforts by stakeholders to hold authorities and projects accountable for their decisions and actions.
iv. Increasing emphasis on good governance and transparent and participatory decision making, which requires that stakeholders are both consulted and empowered to participate in decisions that affect them.

The result of these trends is succinctly described in this quote by the Business Partners for Development (BPD):

> *"These new dynamics have led to some fundamental shifts in how societies work and how they are governed. Governments are relinquishing some of their traditional roles and power by making the challenging transition from implementers to enablers. Increasingly the role of business in development has been recognised. Civil society is finding a more confident voice and communities are becoming empowered"*[4].

Following from these trends, multistakeholder partnership has become a common phrase in recent development discourse. The risks associated with poor stakeholder relations – and the opportunities provided by constructive ones – are also now better understood by experts and development practitioners alike[5].

In the water and sanitation sector, a number of factors explain the emerging prominence of multistakeholder partnerships:

i. Considering that the provision of water supply and sanitation services increasingly involves numerous stakeholder groups, coordination of effort towards a more holistic approach through multistakeholder partnerships makes good sense. Both development experts and practitioners agree that partnerships can achieve more than any individual group acting alone. Sector coordination is also critical given the urgency of the water and sanitation situation in many poor communities and the fact that financial and human resources are limited.
ii. Innovation is increasingly acknowledged as a necessary ingredient for meeting the water and sanitation needs of the poor. Many would agree that innovations emerge from the environment where knowledge is valued and where different views and opinions are encouraged and aired in an open participatory manner.
iii. The current pitch for reform of the water and sanitation sector acknowledges the need for participation of local people[6]. It also emphasises the

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4. *Business Partners for Development. 2001.Flexibility by Design: Lessons from Multi-Sector Partnerships in Water and Sanitation Projects, London, UK. Pg. 2.*
5. *International Finance Corporation. May 2007. Stakeholder Engagement: A good practice handbook for companies doing business in emerging markets. Washington D.C.*
6. *WSP. 2007. Engaging with Citizens to improve services. Water and Sanitation Program – Asia*

Photo: © UN-HABITAT

transformation of the role of the public sector, the participation of the private sector and the role of water and sanitation services in poverty eradication. Multistakeholder partnerships provide a framework to bring these elements together. At the same time, such partnerships offer the flexibility to provide more creative and sustainable solutions to meet the current water and sanitation needs.

iv. Multistakeholder partnerships also generate greater buy-in by, for example, promoting a greater willingness to engage with poor communities and a greater willingness to pay for water and sanitation services. This argument is reinforced by the fact that only end users can determine the type of services they find most relevant, convenient and affordable[7].

v. From a rights-based perspective, development is people-centred. According to the United Nations Declaration on the Right to

7. *Water and Sanitation Programme (WSP). 2007. Overview and Key Findings: Engaging with Citizens to Improve Services. Water and Sanitation Program – Asia*

Development, development involves not just economic growth, but equitable distribution, enhancement of people's capabilities and widening of their choices[8]. Rights-based approaches require a high degree of participation, including from communities, civil society, minorities, indigenous peoples, women and others[9].

vi. There is increasing consensus that projects are much more likely to meet their objectives when solutions are arrived at through meaningful participation of stakeholders[10]. Experience shows that development becomes beneficial only when the people it is intended for have a say in defining what their problems are and actively participate in providing solutions. The stakeholder engagement process is helpful in sustaining and building trust, cooperation, and partnerships that are required for sustainability of development interventions. Multistakeholder partnerships that involve poor communities are, therefore, presumed to be a way of providing a sustained voice to voiceless communities. Many would agree that a sustained community voice in the management of water and sanitation services leads to a greater chance of a system's long-term sustainability. This in part, is what is often referred to as pro-poor water and sanitation governance.

Box 1 below summarizes what pro-poor water and sanitation governance is and its importance in improving sector performance.

What is Pro-poor Water and Sanitation Governance?

Although there is no consensus on a single definition of pro-poor governance, a recent review of existing concepts of water and sanitation governance and an analysis of pro-poor approaches in UN-HABITAT's interventions, concludes that any definition of pro-poor water and sanitation governance should include two important elements:

- *Add more voices, responsibilities, transparency and accountability to the formal and informal organizations associated with water and sanitation management as a whole; and*
- *Create structures in which the poor can participate in the planning and implementation processes of interventions for improved water supply and sanitation service delivery.*

Why Focus on Pro-poor Water and Sanitation Governance?

The focus on pro-poor water and sanitation governance is necessitated by a number of factors:

- *The poor comprise the majority of potential new customers in many towns, yet most water utilities lack skills, knowledge and will to adequately respond to this demand and to design services with the particular needs of low-income customers in mind.*
- *Most water regulators have no specific policy for the poor unserved areas and do not consider the poor when drawing up private sector management contracts and concessions. They do not encourage service providers to equate economic, efficient and viable operations with serving the poor.*
- *Widening the scope of governance to include CBOs, NGOs, religious organisations and businesses, both formal and informal, addresses local government institutional accountability – the need for openness and transparency in the operations of local authorities.*
- *Lack of power and choice often makes it difficult for the poor to obtain adequate resources. Human Rights-based approaches have integrated the achievement of democratic rights such as participation into the development dialogue.*

Adapted from Rose N. Osinde. 2006. Pro-poor water and Sanitation Governance: The Review of existing concepts of water governance and an analysis of pro-poor approaches in UN-HABITAT's interventions, *UN-HABITAT, Nairobi.*

Box 1

8. *UN. 1986. Declaration on the Right to Development Adopted by General Assembly resolution 41/128 of 4 December 1986*
9. *http://www.unhchr.ch/development/approaches-04.html*
10. *David Jones. Jan 2003. Analysing the potential of multistakeholder dialogue in water and sanitation sector reform, Building Partnerships for Development in Water and Sanitation, Occasional Paper Series.*

Step 1: Mobilize and Sensitize Stakeholders

The first step is to identify who your stakeholders are. Stakeholders can be defined as organizations or individuals who are affected by your project, have influence or power over it, or have an interest in its successful or unsuccessful conclusion[11]. In other words, stakeholders are those groups or individuals with a vested interest in the objectives, activities, and outcomes of your project. In the context of the Lake Victoria Initiative, practically all the town residents are stakeholders because, as consumers, they are directly affected by any planned improvements in the water and sanitation services.

Whereas the Lake Victoria Initiative stakeholders go beyond the project towns to include national and sub-national institutions, this Guide focuses on the town-level stakeholders. The national ministries and regional bodies are, therefore, not considered in the list of town-level stakeholders. They are, however, represented in the PMU and PIU in each country.

A list of town-level stakeholders of the Lake Victoria Initiative is contained in *Box 2* below. It should be noted that this list is not exhaustive.

Stakeholders will vary from one town to another and the participating towns are encouraged to identify and bring on board all stakeholders right from the start.

2.1 Support the Participation of the Poor and Vulnerable Groups

It cannot be assumed that less powerful groups or individuals such as poor women and men, the elderly, youth, orphans and other vulnerable groups will effectively participate in the multistakeholder forum. These groups and individuals have traditionally been excluded from governance and public decision-making because they lack the organizational, social or financial means to make their voices heard and participate effectively.

11. African Development Bank. 2001. Handbook on Stakeholder Consultation and Participation in ADB Operations, pg. 2

Town-Level Stakeholders of the Lake Victoria Initiative

Poor women and men, the elderly, youth, orphans and other vulnerable groups *– are often excluded from decision-making but are the most affected by the lack of water and sanitation services. The Lake Victoria Initiative supports the participation of poor women and men, youth, orphan-headed households, the elderly, people living with AIDS and other marginalized groups in the Multi-Stakeholder forum.*

Local Authorities *– they are legally obliged to provide water, sanitation and urban planning services to their town residents. The staff and the elected leadership of the Local Authorities such as the mayor and councilors are expected to participate in all stages of the Lake Victoria Initiative to ensure that it is properly integrated into the local urban system.*

Non-governmental Organizations and community-based organizations *– responsible for community mobilization and implementation of community water and sanitation schemes. They are also responsible for community awareness raising, training and education activities. Partnership building with local authorities also create opportunities for contracting non-governmental organizations and community groups for service provision.*

Local Water and Sanitation Service providers *– water and sanitation utilities and small-scale providers are managers of assets and any assistance in infrastructure or capacity building have a direct impact on the management of their operations. The Lake Victoria Initiative improves on their assets and management capacity, for sustainability of the project. It also assists in building the capacity of local service providers in the areas of business plan development, financial management, technical management, including operations and maintenance and demand management.*

Local private sector *– town-wide improvements in water supply, sanitation, drainage and solid-waste management will attract further investments and increase local economic activities in the participating towns. The local private sector will, therefore, be direct beneficiaries of the Lake Victoria Initiative.*

Local water vendor associations *– are currently responsible for most of the service provision to the poor communities in the participating towns. The Lake Victoria Initiative will support them in facilitating and supporting the formation of associations of small-scale service providers; providing access to finance and supporting development of entrepreneurship skills; regulating prices and monitoring quality of water supplied to consumers; and establishing linkages with utilities (through franchising etc.) to ensure vertical integration and synergy.*

Local Media *– responsible for raising levels of awareness about water, sanitation, waste management and drainage issues in the Lake Victoria Initiative in general, and in the participating towns, in particular, among political leaders, policy makers, development partners, and beneficiary communities.*

Box 2

Special effort should be taken to promote the inclusion of less powerful groups or individuals such as poor women and men, orphans and other marginalized groups in the multistakeholder forum.

The 1996 *World Bank Participation Sourcebook*[12] outlines various efforts to address the disequilibrium of power, knowledge and influence among stakeholder groups and to allow weaker, less organized groups to interact effectively with stronger, more established stakeholders. These include:

i. ***Capacity building*** – providing training, coaching, financial or other resources to marginalized groups to assist them in organizing, mobilizing support, identifying and articulating their interests.
ii. ***Mandated representation*** – where there is a danger of exclusion, it may be useful to establish targets of representation, for example, agreeing that the multistakeholder forum will include an established number of women or that orphans and the elderly in a given community will be represented on the multistakeholder forum.

12. *The World Bank. 1996. The World Bank Participation Sourcebook, Washington, D.C.*

iii. ***Separate events*** – in some cases, it may be valuable to meet with specific population groups separately, for example, to hold a separate women's meeting to discuss their particular concerns.

iv. ***Levelling techniques*** – power differentials between stakeholders can be reduced through the use of participatory methods. A skilled facilitator can use a number of techniques to ensure that all participants have equal opportunity to make their voices heard. Negotiating systems may need to be developed for handling conflicting interests between different groups of local stakeholders.

v. ***Use of intermediaries*** – in circumstances where the direct participation of marginalized individuals themselves is not feasible, intermediaries or surrogates may be identified to represent their views and defend their interests.

Conduct a participatory stakeholder mapping exercise to ensure that no stakeholder is missed out.

Box 3

Stakeholder Mapping

The UN-HABITAT Toolkit for supporting Participatory Urban Decision Making *spells out a group technique that can be applied in mapping stakeholders:*

- *The participants put the name of each stakeholder on white, circular cards of approx. 10cm in diameter, and put them on a big table, or the floor or a wall (with removable adhesive).*
- *When no more suggestions for stakeholders are presented, the main interests of each stakeholder are identified in relation to the focus questions.*
- *The cards are organized in clusters of related interests. When agreement has been reached, the white cards are replaced with coloured cards, one colour for each cluster. The name of the stakeholder is transferred to the coloured card, and the main interests of the stakeholder are written on the card below the name.*
- *The coloured cards are organized in starlike fashion along a line for each cluster where the centre of the star is the project or the initial focus question. Using group judgments, the cards are placed at a distance from the centre corresponding to the importance of the stakeholder for the project. The cards must be fixed with removable adhesive, allowing later modifications of the visual presentation.*

Source: UNCHS Habitat. 2001. Tools to Support Participatory Urban Decision Making, Urban Governance Toolkit Series. Nairobi pg. 24

2.2 Sensitize Stakeholders

After identifying all the stakeholders, they should be mobilized and sensitized on the objectives of the project and their involvement in the achievement of its objectives. In the preparatory phase of the Lake Victoria Initiative, stakeholder sensitization was done at three levels:

i. High level town hall meetings;
ii. Consultation with individual community groups; and
iii. Town-level stakeholder workshops.

The section below summarizes the result of these sensitization sessions.

2.2.1 High Level Town Hall Meetings

A series of town hall meetings were held with key stakeholders in the participating towns to sensitize them on the importance of the Lake Victoria Initiative, including their active participation in the achievement of its objectives. To create political support and commitment for the programme at the regional level, the Executive Director of UN-HABITAT, Dr. Anna Kajumulo Tibaijuka was joined in the town hall meetings by three East African Ministers for Water: Minister for Water and Irrigation in Kenya, Hon. Martha Karua, Uganda's Minister of State for Water Resources, Hon. Maria Mutagamba and Deputy Minister for Water and Livestock Development, Hon. Anthony Diallo. The meetings took place from 23-25 November 2004 in Bukoba and Muleba in Tanzania, Mutukula and Kyotera in Uganda, and Kisii and Homa Bay in Kenya.

This was the first time that three ministers from the region conducted a joint tour of the region to meet and discuss with local stakeholders.

The meetings brought together various stakeholders, including, among others: local Members of Parliament for the constituencies under which the towns fall; the Mayor and Councillors for each town (and other relevant officials such as town clerks, water engineers and health inspectors); the District and Regional Commissioners; representatives of water and sanitation authorities, regulators, service providers, catchment management authorities, district water engineers etc.; Non-governmental Organizations; community groups; faith-based groups, private sector; and the local media.

During the meetings, the Ministers stressed the need for stakeholder involvement and active participation in the formulation and implementation of the Initiative to ensure its sustainability beyond the project period. The stakeholders, on their part, expressed their support and commitment to the implementation of the Initiative.

2.2.2 Community Consultations

As part of the preparatory activities, focus group discussions were held with individual women and youth groups, orphans, other community self-help groups and local Non-governmental organizations in various sections of the towns to discuss the water and sanitation needs and priorities of the poor communities. The discussions were guided by three basic questions:

i. What are the problems of water, sanitation, solid waste and drainage in your neighbourhood?
ii. What actions (both physical infrastructure and capacity building) do you think should be implemented to address the above problems?
iii. What contribution can you and/or your community group make to solve the above problems?

The community consultations ensured that poor women and men, the elderly, youth, orphans and other vulnerable groups, whose voices are otherwise not often heard in a structured workshop environment, were listened to and documented.

> *Engage with local stakeholders in their own communities. It sends the message that you value their input enough to go and spend time with them in their households or markets or community centres. It also contributes to community members' feeling of ownership over the engagement process*[13].

2.2.3 Stakeholder Workshops

Workshops were held in the participating towns to sensitize stakeholders and build local consensus on the proposed immediate interventions. The workshops were held in Kyotera (Uganda) on 15 December 2005; Homa Bay (Kenya) on 24 January 2006; Kisii (Kenya) on 27 January 2006 and Nyendo (Uganda) on 3 February 2006. Additional stakeholder workshops have also been held in Bukoba, Muleba and Mutukula.

Photo: © UN-HABITAT

13. *International Finance Corporation. 2007. Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets, Washington D.C.*

Tips on Integrating Women's Perspectives in Stakeholder Consultations

The following tips may be helpful when thinking about how to more fully integrate women's perspectives into your consultation process.

***Get the full picture** – Experience shows that men and women often have different needs and priorities, different perspectives on key water and sanitation issues, and may be differentially impacted by a project or program – with women bearing disproportionate negative impacts. Good practice encourages seeking out the views of women, because they will provide you with a more complete picture of the problems, actions required and their willingness to contribute to the problem.*

***Disaggregate your data** – A lot of data is generated during community consultations and other related assessments. To allow this data to better serve you in terms of understanding gender differences related to your project, it should be disaggregated by gender. A related point is making sure you have a representative sample by gender when undertaking surveys and interviews. Given that most interviews are done with the "head of household" – which usually means men – this requires finding other ways to get an equivalent female sample.*

***Get more women in the room** – Often, the key to getting more women in the room is to make meetings more accessible and convenient. For example, choose a time of day, date, and location convenient for women.*

***Use active facilitation** – Women's participation can be facilitated in public meetings or workshops through a number of different techniques, such as increasing the amount of time spent in smaller groups; having some group-work that is single sex; asking specifically "What do the women in the room think about this issue?"; and/or using games, drama, or drawing to increase women's level of comfort and contribution. An alternative could be to have the first part of a workshop or meeting in plenary to explore community-wide issues, and then to divide into smaller working groups (e.g. women, men, youth, elderly) so that issues of concern or priority to those specific groups can be explored in greater detail.*

***Hold separate meetings** – Since in many cultures women's voices are often not effectively present or heard in traditional meetings or workshops, it may be necessary to take special steps to create a venue in which women's own issues and concerns can be raised. Common practices include having focus group meetings with women, or calling separate women's meetings specifically for your purposes, or as an additional item at an existing meeting where women have gathered. It is advisable to reach out to women through as many different networks as possible, including women groups, parents' school meetings, mothers' or women's clubs and associations, artisan groups, women's cooperatives, health promoters, and church or other religious groups.*

***Raise priority issues for women** – It is not uncommon for discussions to become dominated by men and the issues that matter most to them. But what do the women want to talk about? Active intervention may be required to identify issues that are important to women and to make sure they are given equal weight. This includes getting such issues onto the meeting agenda, raising them in group discussions, and including them in survey questionnaires.*

***Remember that "women" are not a homogenous group** – It is helpful to keep in mind when trying to engage women that they are not a homogenous group. All women will not necessarily have the same interests or priorities. Therefore, when involving women in consultations, attention is needed to ensure representation of different perspectives across socioeconomic, caste, ethnic, and religious lines. Marital status and age can also be important factors. It may also be useful to identify and consult with NGOs or community-based organizations that represent women from minority groups.*

Source: *Adapted from International Finance Corporation. 2007.* Stakeholder Engagement: A Good Practice Handbook for Companies Doing Business in Emerging Markets, *Washington D.C. Pg 56-60*

Box 4

Hosted by the respective Municipal Councils, the workshops were attended by representatives of poor women and men, the elderly, youth, orphans and other vulnerable groups, non-governmental organizations active in the towns, community and faith-based organizations, water service providers and regulators, private sector, Municipal Authorities and Ministries of Water, Environment and Health, and the local media, among others. The workshops provided stakeholders with an opportunity to review and provide input on the design of the physical and capacity building interventions in water, sanitation, solid waste and drainage.

2.2.4 Gender Considerations in Stakeholder Consultations

All too often, women are excluded from decisions about the kind of services they need or are receiving, location of facilities and operation and maintenance. *Box 4* above gives tips on how to integrate women's perspectives in stakeholder consultations.

Step 2: Establish a Multistakeholder Forum

Stakeholders should meet approximately two weeks after the workshops to set up the multistakeholder forum. The two weeks allow for time to consult various interested groups on the selecting their representatives to the multistakeholder forum. During the stakeholders workshop, stakeholders should also agree on who will arrange for the meeting to establish the multistakeholder forum. The meeting can be organized within the offices of the Municipal Council or any other venue agreed on by the stakeholders. Discussions should focus, among others, on the development of the terms of reference for the multistakeholder forum.

3.1 Develop the Multistakeholder Forum's Terms of Reference

The development of the Terms of Reference for a multistakeholder forum should be guided by the following questions, among others:

i. What is the purpose of the multistakeholder forum?
ii. Who should be a member of the forum?
iii. What criteria are used for choosing forum members?
iv. How is the forum's executive committee chosen?
v. How often should the forum meet?
vi. What are its responsibilities?
vii. Who do the multistakeholder forum report to?
viii. Who will ensure that concrete actions are taken to address multistakeholder forum recommendations?
ix. How will the activities of the multistakeholder forum be funded?
x. How will the multistakeholder forum engage with the larger community?

Box 5 below outlines what should be contained in the multistakeholder forum's terms of reference. Note that these questions are not cast in stone. They are intended to guide discussions on the nature, composition and responsibilities of the multistakeholder forum. Participating towns are encouraged to add as many questions as their local situations may demand.

The following section attempts to respond to the above questions based on the experiences of the towns where multistakeholder forums have been established. Note that the responses are not conclusive and may vary depending on a town's local circumstances.

Content of the Multistakeholder Forum's Terms of Reference

The Multistakeholder Forum's terms of reference should describe the following:

- *The activities to be undertaken by the MSF;*
- *The roles of the different Thematic Working Groups, including the specific activities to be performed, information to be provided, and schedules for their input and contribution;*
- *Standards for the sharing of information to be used in the process, including agreements on confidentiality;*
- *Methods of decision making, including dispute resolution and review;*
- *Resources to be provided by the Multistakeholder Forum and the Municipal Council; and*
- *Agreements on how the outcomes of the MSF deliberations will be integrated into the PIU process.*

These terms of reference should be signed by the members of the Multistakeholder Forum and the Municipal Council, and reviewed periodically to assure that they are being observed and are up-to-date.

Adapted from the International Council for Local Environmental Initiatives (ICLEI), Local Agenda 21 Planning Guide, *1996.*

Box 5

a) What is the Purpose of the Multistakeholder Forum?

A multistakeholder forum is a group composed of representatives of various stakeholder groups who meet regularly to monitor and guide the performance of the PIU. The main purpose of the multistakeholder forum is to strengthen and enhance stakeholders engagement and commitment to collaborate in the planning, implementation and monitoring of Lake Victoria Initiative activities. The multistakeholder forum is also designed as a longer-term forum for involving stakeholders in city-wide issues and long-term democratic governance in the participating towns.

b) Who Should be a Member of the Forum?

The forum draws its membership from a broad range of stakeholder groups operating in the participating towns. Identifying credible individuals who can represent the issues and concerns of a particular stakeholder group is an efficient way of active engagement. Special efforts should also be made to include representatives of vulnerable groups who are traditionally underrepresented in planning efforts.

As indicated in the *Local Agenda 21 Planning Guide*, proper selection of participants for the stakeholder group is perhaps the most critical step in establishing a multistakeholder partnership process. The composition of the participants will determine both the legitimacy of the group and its ability to develop new ideas, insights, and consensus for action. As a rule, it is important to always include service user representatives and representatives of groups who are traditionally underrepresented in planning efforts such as poor women and men, the elderly, youth, orphans and other vulnerable groups[14].

c) What Criteria are Used for Choosing Forum's Members?

In choosing forum's members, consideration is given to the diverse stakeholder interests in the participating towns and the need for a balanced geographical and gender distribution. *Box 6* below can be used to verify that stakeholder representation is inclusive.

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14. *The International Council for Local Environmental Initiatives (ICLEI) Local Agenda 21 Planning Guide, Toronto, Ontario, Canada, 1996.*

Box 6

Checklist on the Selection of MSF Members

Ensure Representation of:

- *Local Women and youth groups and other local groups who are always under-represented.*
- *Service users – those people who use and are affected by services.*
- *Service Providers – Those people who control and manage services.*
- *Individuals or groups with a particular expertise related to the services or issues.*
- *Individuals or groups whose interests are affected by the service or issues.*

In selecting Forum members consider:

- *The scope of work to be undertaken by the forum.*
- *The involvement of a critical mass of organizations and individuals who have the political will to take action.*
- *The degree of inclusiveness you hope to achieve.*
- *The skills, knowledge, and experience the different individuals or organizations can contribute.*
- *The inclusion of parties who will need to be involved in the implementation of any plan.*
- *The inclusion of organizations or individuals with credibility within their own constituencies.*

Source: *Adapted from the International Council for Local Environmental Initiatives (ICLEI). 1996.* Local Agenda 21 Planning Guide, *Toronto, Ontario, Canada.*

Forum members should have the following qualities:

i. Commitment to the programme – readiness to participate in meetings and other forum activities;
ii. Overall knowledge and ability to clearly articulate their group's interests;
iii. Ability to assess impacts of the programme on their groups;
iv. Authority to make decisions on behalf of their group; and
v. Capacity to maintain regular communication with their group.

d) How is the Multistakeholder Forum's Executive Committee Chosen?

The forum's executive committee should be elected by multistakeholder forum members through a secret ballot or any other method considered appropriate by the multistakeholder forum. Participating towns are encouraged to use the most appropriate means of choosing the multistakeholder forum's executive committee.

e) How Often Should the Forum Meet?

The chairperson will call and convene the forum at least once a month depending on actual need. Meeting schedules may vary depending on the amount of work at a particular time. *Annex 2* contains a sample of minutes of a meeting held by the Homa Bay Town Multistakeholder Forum.

f) What are the Multistakeholder Forum's Responsibilities?

Multistakeholder forum's activities include, but are not limited to:

i. Provide regular feedback on the relevance and impact of the programme on the local community;
ii. Negotiate for employment of local skilled and unskilled labour;
iii. Negotiate tariffs and user charges, on behalf of the poor and other disadvantaged groups such as orphans, widows and the elderly, in collaboration with the Municipal Councils and the Government;

Photo: © UN-HABITAT

iv. Mobilize the local community for project implementation;
v. Regularly monitor the implementation of the programme for regular feedback and learning;
vi. Ensuring transparent and corruption-free project implementation (See *Box 7* below);
vii. Arbitrate over local conflicts arising from the implementation of Lake Victoria Initiative (See *Box 8* below);
viii. Negotiate for community-based management of public facilities such as water kiosks and toilets (See *Box 9* below for the criteria developed by the Kisii multistakeholder forum for awarding water kiosks to community groups for management). *Annex 1* also contains a sample lease agreement signed between a women group and a water service provider in Homa Bay town.
ix. Share information and exchange experiences gained from programme implementation with other Lake Victoria Initiative stakeholders;

It should be noted that these responsibilities are not exhaustive. Participating towns are encouraged to include additional responsibilities where necessary.

h) Who does the Multistakeholder Forum report to?

The multistakeholder forum reports its recommendations to the PIU on a regular basis for further deliberations at the site meetings. During the site meetings, the PIU also regularly briefs representatives of the multistakeholder forum on the progress in project implementation.

Box 7

Multistakeholder Forum as a Mechanism for fighting corruption

The ongoing development of water sector policy and broader institutional reforms in a number of developing countries are creating an enabling environment for anti-corruption efforts, including transparent financial management in public institutions. However, it is really not yet clear if or how such high level enabling environment efforts can be made to work for the poor. There is much to suggest that most pro-poor efforts will be local efforts, and the closer the better to the activities involving the poor.

The multistakeholder forum is a key vehicle for addressing corruption at the project and municipal levels. At the project level, anti-corruption efforts should focus on the use of financial resources, tendering and procurement and project implementation among others. The multistakeholder forum should be empowered with information on the flow of project funds and their use in project activities. Armed with this, the forum will be in a better position to demand better accountability and transparency in the execution of project activities.

Current trends in municipal governance, including participatory budgeting and involving local stakeholders in vetting municipal expenditure have also created an avenue for effective participation of the multistakeholder forum. In Kisii town, for example, the Municipal Council has, for the first time, put its annual budget in the local newspapers for scrutiny and input by local stakeholders. The Council has also, for the first time, invited town residents to contribute to the development of its service charter. The multistakeholder forum, therefore, provides an organized platform for citizen's actions in processes such as participatory planning and budgeting, promoting open and transparent publication of information and budgets, public expenditure tracking, reporting and monitoring of expenditures and outcomes, as well as public social audits.

Box 8

Multistakeholder Forum as a Mechanism for Conflict Management and Resolution

The multistakeholder forum is a mechanism for managing potential conflict and political influences over the project. Given the highly localised nature of water and sanitation services and the balancing act that occurs between stakeholder groups, partnerships may assist in more ably managing local conflicts and political influences over the project. Disputes over land on which the water pipeline passes can easily be dealt with within the multistakeholder forum.

In Kisii, for example, high population density in the town and its surroundings has put immense pressure on land. It was difficult to convince landowners to allow the water pipeline to pass through their plots. The resistance was complicated by the fact that no provision was made to serve consumers along the pipeline. In addition, no priority was given to landowners in digging the trenches that pass through their plots. The contractor had to suspend works until the multistakeholder forum negotiated with individual landowners to allow the water pipeline to pass.

In the end, the landowners agreed to allow the pipeline to pass through their plots on condition that provision was made to serve them with water and give them priority in digging the pipeline trenches passing through their plots at a fee.

Conflicts and political influence are also likely to arise in the location of the water and sanitation facilities. In Homa Bay town, for example, the multistakeholder forum had to negotiate with individual plot owners to equitably distribute toilets and water kiosks in the Shauri Yako area.

Ensure that channels of communication between the multistakeholder forum and the PIU are clear. Mechanisms should be in place to provide continual feedback between the multistakeholder forum and the PIU.

i) Who will ensure that concrete actions are taken to address Multistakeholder Forum's recommendations?

To ensure that the results of multistakeholder forum's deliberations feed purposively into the PIU's decision-making process, the multistakeholder forum chair and heads of the three working groups should attend PIU site meetings. This will also allow the multistakeholder forum's chair and the heads of the three working groups to regularly

brief the PIU on the multistakeholder forum's activities. The PIU also regularly briefs the members of the multistakeholder forum on the progress in project implementation.

j) How will the activities of the Multistakeholder Forum be funded?

One of the biggest challenges for the multistakeholder forum is lack of funds to support its activities in a sustainable manner. While it is possible to provide fast track financial resources to facilitate the forum's activities during the project period, it is likely to remain dormant or disband when such resources dry up at the end of the project. The current Cooperation Agreements between UN-HABITAT and the Municipal Councils of the participating towns will, for now, facilitate the multistakeholder forum's activities. UN-HABITAT will also allocate a budget for community-based monitoring of the project, which will be coordinated by the multistakeholder forums.

From a long-term perspective, it is critical to institutionalize the forum within the operations of the local government and lobby for future funding of the forum's activities through the local government budget. It is also possible for the multistakeholder forum to raise funds from internal and external sources to support its city-wide activities and long term democratic governance of the town.

k) How will the MSF engage with the larger community?

Regular meetings with the larger community will enhance information exchange between the multistakeholder forum and its larger constituency. The forum's action plan should provide for regular community meetings to get their feedback on the progress of project implementation. This also facilitates the presentation of updates on project implementation to the community, particularly the follow up actions taken at the PIU site meetings to address issues raised by the forum.

Criteria for awarding Water Kiosks to Community Groups in Kisii

The multistakeholder forum in Kisii has developed guidelines to avoid conflicts and potential political influence in the award of the water and sanitation facilities to local groups to manage. A task force drawn from members of the multistakeholder forum was formed to develop the criteria. The criteria was arrived at after long consultation amongst many stakeholder groups represented in the multistakeholder forum.

The following is the criteria recommended by the multistakeholder forum for awarding Water Kiosks:

- *There must be an area committee to oversee the group selection and recommend the suitable one to run the water kiosk. The Gusii Water and Sewerage Company was to provide a list of interested groups.*
- *The group must belong to the same area where the kiosk is located.*
- *The group must have been registered with the Ministry of Social Services for the last two years.*
- *The group must show members' register (not less than 15 people), financial record and a valid bank account with at least a balance for Kshs.3000/=.*
- *The group must exhibit their group activities and future plans.*
- *The group must have submitted their group files and objectives to the respective area chiefs.*
- *The interested groups should have a recommendation letter from the area chief.*

The task force also recommended that to be able to achi their targets, the following must be done:

- *A meeting between the multistakeholder forum and all selected block committee members be held.*
- *The physical planner should be invited to address multistakeholder forum members and the selected committee members on this agenda.*
- *The task force committee members to visit two area chiefs for Township and Bosongo together with the block committee members.*
- *They also recommended interviews with the town's residents and requested the area chiefs, their assistants and clan elders help in disseminating the information.*

Source: *Minutes of the Kisii Multistakeholder Forum*

Box 9

Step 3: Establish Thematic Working Groups

Thematic working groups are smaller groups carved out of the multistakeholder forum. The working groups make it easier for the forum to focus on specific project issues. In the case of the Lake Victoria Initiative, project activities can be categorized into three main areas:

i. Investment in physical infrastructure, including water, sanitation, solid waste and drainage;
ii. Capacity building activities required to support and sustain physical infrastructure investments;
iii. Awareness creation and education to sensitize and create attitudinal change among consumers.

In order to facilitate the participation of multistakeholder forum members from different backgrounds, sectors, and levels of expertise in discussing the above issues, the MSF will establish three Working Groups to deal with each of these areas:

i. Physical Infrastructure Working Group
ii. Capacity Building Working Group
iii. Public Awareness and Education Working Group

4.1 Physical Infrastructure Working Group

The Physical Infrastructure Working Group is responsible for monitoring physical infrastructure interventions, including, but not limited to:

i. Selection of low-income settlement areas within the town where interventions are required. The selection should be guided by the findings of the baseline survey;
ii. Location of public facilities such as toilets and water kiosks;
iii. Advise on specific design criteria such as lay-out of sanitation blocks, water kiosks and washing facilities;
iv. Settling of land disputes and other local conflicts, where they may arise;
v. Involvement of local skilled and unskilled labour in construction activities;
vi. Identifying local groups or individuals to manage public facilities such as water kiosks and toilets.

Photo: © UN-HABITAT

4.2 Capacity Building Working Group

The Capacity Building Working Group is responsible for monitoring capacity building activities, including, but not limited to:

i. Participation in the planned capacity assessments;
ii. Identification of suitable local groups to be involved in capacity building activities;
iii. Involvement of local groups in on-the-job training activities to promote skills development at the local level;
iv. Identification of local economic development projects to be supported.

4.3 Public Awareness and Education Working Group

The Public Awareness and Education Working Group will be responsible for designing and monitoring public awareness and education programmes, including, but not limited to:

i. Participation in public awareness and education situation analysis;
ii. Identification of suitable local groups to develop and implement public awareness and education programmes;
iii. Development of appropriate and relevant public awareness and education messages/materials with support from UN-HABITAT;
iv. Involvement in organizing and conducting public awareness campaigns and education.

The roles of each thematic working group and how they should carry out the project monitoring process should be discussed and explained to all members of the multistakeholder forum.

Members of the multistakeholder forum constitute the thematic working groups. Where necessary, individuals and representatives of community groups who are not members of the multistakeholder forum but have relevant skills, interest and/or experience, should be co-opted into the thematic working groups.

Each Working Group contributes its findings and recommendations to the larger multistakeholder forum for review and discussion. Based upon these recommendations, the multistakeholder forum engages with the PIU for follow-up actions. *Table 1* below presents a matrix exercise that can help in the identification of Thematic Working Group Members.

4.4 Capacity Building Requirements of the Working Groups

Working groups will need different types of support in order to perform effectively. This support will vary from country to country and in relation to the different working group activities, but should include:

i. General process support – such as moderation of meetings, training in facilitation, and mediation in negotiation and conflict resolution.
ii. Substantive support – such as guidance in action planning and project monitoring and evaluation.
iii. Specialized technical advisory services – in specific areas of water, sanitation, solid waste and drainage.

Table 1: Matrix for Identifying Thematic Working Group Members

Representatives of Stakeholder Groups	Thematic Working Groups		
	Physical Infrastructure	Capacity Building	Awareness Creation and Education
Poor women and men			
Youth			
Orphans, the elderly and other vulnerable groups			
Local Government			
Non-governmental Organizations			
Community-based Groups			
Faith-based Groups			
Local Water and Sanitation Service providers			
Local private sector			
Local water vendor associations			
Local Media			

Adapted from the International Council for Local Environmental Initiatives (ICLEI) Local Agenda 21 Planning Guide

Step 4: Develop a Project Monitoring Plan

For purposes of monitoring the implementation of the Lake Victoria Initiative, each Thematic Working Group should develop a monitoring plan to measure progress in the implementation of project activities.

5.1 What is Project Monitoring?

Monitoring is the regular observation and recording of activities taking place in a project or programme. It is a process of routinely gathering information on all aspects of the project. To monitor is to check on how project activities are progressing. It is observation – systematic and purposeful observation.

Monitoring also involves giving feedback about the progress of the project to the donors, implementers and beneficiaries of the project. Reporting enables the gathered information to be used in making decisions for improving project performance.

Monitoring provides the necessary information to identify and take action to redress gaps and weaknesses in project implementation. As many individuals and institutions as possible that have any interest in the project, at all levels, should participate in monitoring.

Box 10 below contains the principles and criteria that determine the success of stakeholder participation in monitoring.

Box 10

Principles and Criteria that determine the success of stakeholder participation in monitoring

- *Recognition that the community is heterogeneous, with different social groups which have different interests, challenges and perceptions. The various groups should be identified and engaged either separately or in mixed forums, depending on the effectiveness of either approach in ensuring their full engagement. Attention should be particularly paid to ensuring good representation of women.*
- *The exercise itself and tools used must be beneficial for future use by community participants and a wide range of stakeholders.*
- *The monitoring or evaluation exercise should have added value in terms of the new learning it brings on how best to achieve the goals of community empowerment.*
- *Strict adherence to ethical standards in the collection and interpretation of data is critical.*
- *Three-pronged: gathers information, develops human capacity, and stimulates commitment to further action for positive change.*

Source: Community Based Monitoring and Evaluation, *Third African Evaluation Association Conference, 1-4 December 2004*

5.2 Purpose of Monitoring

Monitoring is important in project planning and implementation. It is like watching where you are going while riding a bicycle; you can adjust as you go along and ensure that you are on the right track.

Box 11 below outlines advantages of stakeholder participation in monitoring.

Advantages of Stakeholder Participation in Monitoring

The advantages of participatory monitoring include:

Common understanding of problems and identification of solutions: *participative monitoring helps community members and stakeholders to get a shared understanding of the problems facing the target beneficiaries in the community or project (their causes, magnitude, effects and implications). This facilitates the identification of solutions. These solutions are more likely to be appropriate because they are derived from the current situation.*

Builds capacity and enhances ownership*: It serves as a means of building the capacity of project beneficiaries to identify their problems, needs, solutions and develop strategies for improving their own activities. It enables the target participants to review their own progress, identify bottlenecks in a timely manner, determine future action and enhance their control of the project or activities.*

Motivates community members and stakeholders*: It serves as a means of keeping partners/stakeholders (e.g. government, NGOs, extension agencies, etc.) informed of progress and involved in reviewing project priorities, which in turn enhances their interest and support to the programme/project. It can also help to build the capacity of target participants and stakeholders to reflect, analyze and take action*

Benefits the target participants and enhances accountability: *participation in monitoring ensures that the community to which the project was intended are the ones benefiting from it. It increases awareness of women's rights, which elicits their participation in guarding against project resource misappropriation. Guarding against resource misappropriation makes project implementation less expensive.*

Making appropriate decisions: *monitoring provides information necessary for making decisions. When many people participate in monitoring it means that they have participated in providing management information and contributed to decision making. The decisions from this are more likely to be acceptable and relevant to the majority of the women participants. This makes human and resource mobilization for project implementation easier.*

Performance improvement during monitoring: *if performance deviation is discovered, solutions can be devised by the community members. To find appropriate decisions that can be implemented requires participation of those who will put the solution into practice. Therefore participation in monitoring can help improve project performance.*

Design of projects: *the information generated during project monitoring helps in re-designing projects in that locality to make them more acceptable by the community. The lessons learned can also be used in the design of similar projects elsewhere.*

Collection of Information*: If many people participate in monitoring they are more likely to come up with more accurate information. This is because, information that is omitted by one party, can be collected by the other (triangulation or cross checking). Each stakeholder is putting varying emphasis on the different aspects of the project using different methods. Alternatively, one party knowing that the information they are collecting will be verified forestalls deliberate wrong reporting.*

Source: Community Based Monitoring and Evaluation, *Third African Evaluation Association Conference, 1-4 December 2004*

Box 11

Box 12

Challenges of Participation in Monitoring

***High initial costs**: Participation in monitoring involving community requires many resources* (e.g. time, transport and performance-related allowances). *It is demanding processes that can over-stretch volunteer spirit at community level and financial resources at district and national levels. Therefore it must be simple and focused to vital elements.*

***Quantity and Variety of Information**: Monitoring requires collection, documentation and sharing of a wide range of information. This requires many skills that are lacking in the communities. It therefore necessitates much time and resources for capacity building. It also risks wrong reporting.*

***Inaccuracy of Information:** Some stakeholders, from the community to the national level, may intentionally provide wrong information to depict better performance and outputs or because of community or project differences. To counteract wrong or incorrect reporting needs sensitization and consensus building that is difficult to attain.*

Source: Community Based Monitoring and Evaluation, *Third African Evaluation Association Conference, 1-4 December 2004*

5.3 Objectives of Monitoring

Objectives of monitoring include:

i. To provide all people concerned (beneficiaries, stakeholders, implementation teams and donors) with information as to whether the project objectives are being achieved;
ii. To measure progress, as a data requirement of funding agencies;
iii. Through participatory monitoring, enable participants to review their own progress, determine future action and enhance their control of the intervention. It is a means to build the capacity of stakeholders to reflect, analyse, and take action.

Photo: © UN-HABITAT

5.4 How to Design a Monitoring Plan

The monitoring plan should specify the activities in the order that they will be executed and the individuals to execute them. In the case of the Lake Victoria Initiative, this helps the multistakeholder forum to know the activities that should be carried out by particular individuals in a given period of time.

A sample monitoring plan is contained in *Table 2* below:

Table 2: Sample Monitoring Plan

Activity	By Whom		When		Inputs	Source
	Implementors	Responsibility to Monitor	Start	End		
What project activities are to be implemented?	*Who is responsible for implementation of the Activity?*	*Who is responsible for monitoring the implementation of the activity?*	*When will the monitoring exercise start?*	*When will monitoring exercise end?*	*What inputs are required to facilitate the monitoring exercise?*	*What is the source of the inputs?*

Step 5: Implement the Monitoring Plan

The final step is, perhaps, the most critical because it translates the monitoring plans into concrete actions intended to guide the performance of the PIU.

> *Monitoring implementation should be carried out by all stake holders at all levels. Each level, however, has specific objectives for monitoring, methods and therefore roles. For monitoring to be effective, there is need for a mechanism of giving feedback to all people involved at all levels (community, PIU, PMU)*

To implement the monitoring plan, each thematic working group should discuss and agree on the key issues to be monitored, monitoring indicators, means of observing, frequency, and suggested monitoring procedures as shown in sample contained in *Table 3* below.

Table 3: Sample of Issues to be monitored

Issue	Monitoring Indicator	Means of observing	Frequency	Monitoring Procedure
Timely implementation of projects	Number of project activities implemented in time	Routine project site visits	Weekly	Members use routine monitoring form
Appropriate use of project resources	No of materials misused	Routine project site visits Project quality checks	Weekly	Members use routine monitoring form

Each thematic working group should then agree on how often they should visit the project site as a means of verifying what is taking place. During the project visits, the team should look at what is happening (observe) and talk to everybody who is involved in the Project. A sample thematic working groups routine monitoring form is shown in *Table 4* below.

Whenever a monitoring visit is carried out, those monitoring should write down what their findings are. They can use the monitoring form above or agree on any other reporting format that captures the findings of the exercise in relation to their

Photo: © UN-HABITAT

work plan. The findings from the monitoring visits should be discussed with other members of the multistakeholder forum.

The multistakeholder forum and PIU teams should store the information well and use it for future actions and to inform other stakeholders. At the PIU office, there should be a file in which copies of multistakeholder forum monitoring reports and other documents related to the multistakeholder forum activities are kept.

Table 4: Thematic Working Group Routine Monitoring Form

Date	Activity	Issue monitored	Comments and Concerns (How far is the implementation now?) (Is the quality of the work okay?) (what are the problems?)

DECLARATION: To be signed

To the best of my/our knowledge, I/We confirm that the information provided in this report is correct.

Signed:.....

Name: .....

Thematic Working Group: .....

Date: .....

Institutionalizing the Multistakeholder Forum as a Pro-poor Governance Mechanism

Apart from being a mechanism for inclusive governance and decision-making in the implementation of the Lake Victoria Initiative, the town-level multistakeholder forum is also designed as a pro-poor governance mechanism for actively involving town residents in tackling citywide issues and for improving municipal governance.

For the multistakeholder forum to be effective in improving governance at the municipal level, it should be formally recognized by the local government. The recognition provides both democratic accountability and a close link with the official activities of the local government.

A clear mandate and authorization from the local government is crucial considering that the multistakeholder forum is meant to take on citywide issues and the longer-term democratic governance of the town. The recognition can take the form a municipal by-law, a memorandum of understanding, a letter of agreement or minuted deliberations of the local government, among others. Participating towns are encouraged to explore an agreeable option for recognizing the multistakeholder forum. The mandate should specify the roles and responsibilities of the Stakeholder Group.

Institutionalized citizen engagement enhances public accountability, performance, and customer responsiveness in service provision

7.1 Role of the Multistakeholder Forum in Municipal Governance

The ability of town residents to influence decision-making and operational processes of local governments is often curtailed by lack of meaningful space to engage with service providers and the municipal government on service-related issues, and investment and reform decisions. The multistakeholder forum can fill this gap and improve municipal governance in a number of areas: This section explores four such areas:

i. Participatory Planning and Budgeting;
ii. Preparation of Citizen Report Cards;

Photo: © UN-HABITAT

iii. Strengthening Consumer Voice in Utilities; and
iv. Preparation of City Development Strategies.

7.1.1 Participatory Planning and Budgeting

One of the main areas where the multistakeholder forum can participate is in municipal planning and budgeting. A participatory budget is defined as a mechanism (or process) through which the population decides on, or contributes to decisions made on, the destination of all or part of the available public resources[15].

Generally it is acknowledged that community-led plans and budgets regarding provision of basic services, local development and poverty reduction are harbingers of participatory democracy and autonomous decentralized governance[16]. More importantly, the need for community voice in identifying needs, setting priorities, and determining resource allocations has been occasioned by mistrust between public officials and their citizens, usually caused by real and perceived corruption resulting in poor decisions and investments accompanied by dwindling resources and decaying infrastructure in many towns.

Several benefits can be derived from participatory planning and budgeting as listed in *Box 13* below.

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15. *UN-HABITAT. July 2004. 72 Frequently Asked Questions about Participatory Budgeting, United Nations Human Settlements Programme, Nairobi, Kenya, pg. 20.*
16. *George Matovu, 2006. Capacity Building for Participatory Planning and Budgeting in Africa: Initiatives and Strategic Perspectives, Paper presented at the Pan African Conference of Ministers of Local Government held in Maseru, Kingdom of Lesotho, from August 30th to September 1st, 2006.*

Benefits Derived from Participatory Budgeting in Singida District Council in Tanzania

In Singida District Council in Tanzania, the following benefits have been recorded ever since participatory budgeting was introduced:

- *The numbers of projects suggested by ordinary citizens that have been implemented has increased.*
- *Sense of ownership is high for projects and security from the community has increased.*
- *Some communities are participating only in project identification and priorities.*
- *Capital budgets have now been separated from operating budgets giving greater transparency in the budgetary process.*
- *Good rapport between the council and stakeholders through improved dialogue that used not to exist.*
- *City council staff are now more accessible to citizens*
- *Grass root communities are now involved in the identification of development projects.*
- *Services are more responsive to citizens' needs.*
- *Inequality and exclusion has been addressed through the involvement of many stakeholders like women and slum dwellers.*
- *Poverty reduction has been addressed through projects that improve the status of the poor.*
- *Revenue collection has improved.*

Source: *George Matovu, 2006. Capacity Building for Participatory Planning and Budgeting in Africa: Initiatives and Strategic Perspectives, Paper presented at the Pan African Conference of Ministers of Local Government held in Maseru, Kingdom of Lesotho, from August 30th to September 1st, 2006.*

Box 13

As illustrated in the Kerala Case below (*Case Study 1*), a clear political will and an organized citizenry are some of the basic preconditions for the implementation of a participatory budget.

Participatory Planning and Budgeting in Kerala: The People's Plan Campaign

In 1997, Kerala's State Government made urban local bodies (ULBs) responsible for spending 30 percent of state annual plan funds. More importantly, it also gave them a high degree of autonomy in planning for and spending these funds. This triggered a state-wide pioneering participatory budgeting and training initiative, known as the 'People's Plan Campaign,' in which local neighborhood groups and Ward Committees contribute project ideas for their city, negotiate with counterparts, and reach an agreement with the local municipal council on specific projects for the year. Communities then participate in the drafting, implementing, and monitoring of projects.

It is widely considered to be one of the pioneering and most successful experiments in participatory budgeting in India, with all stakeholders – including slum representatives, middle class volunteers, women's groups, elected representatives, and government officials – being especially trained to exert their voice in public service planning and delivery.

The government's move was enabled by Kerala's Panchayati Raj and Municipal Acts, both passed in 1994 and whose key feature was the transfer of various state level schemes, institutions, buildings and staff to local bodies. The government's objective was to empower local bodies, ensure the preparation of plans that responded to felt local needs, and to create an environment for institutional reforms. Most of all, it wanted to mobilize Kerala's people – especially its poor – to become more self-reliant and to develop themselves. It also felt that removing 'non-core' functions from the state government would make the delivery of these functions and services more efficient.

The funds devolved to ULBs are to be spent in a participatory manner through an elaborate chain of consultation. Neighborhood Groups and Residents' Welfare Associations relay their ideas to their Ward Committees, who send representatives to city/town-level conventions, where a draft plan for the city is negotiated and crystallized. Draft plans are then sent on to the municipal council, which forwards it to the district council for inputs, and finalizes it accordingly. Over 224 fulltime coordinators, and scores of citizen volunteers, at the municipal, district and block levels assist this state-wide process.

Citizens are now able to exert 'voice' through their involvement in the municipal planning and implementation process. This is particularly evident in the case of the poor, as a result of which basic services have seen significant improvements. Citizens have also been able to exert more 'client power' over some municipal service providers. Additionally, ULBs have now become fully responsible for projects that directly affect their constituencies, including poverty eradication and the upkeep of roads. This has completely transformed their relationship with the state government. At the same time, the use of volunteer labor and cash contributions by beneficiaries has substantially lowered project costs.

Source: *Water and Sanitation Program – Asia. 2007.* Engaging with Citizens to Improve Services, *pg. 57 - 76*

Case Study 1

7.1.2 Preparation of Citizen Report Cards

The development of Citizen Report Cards (CRCs) is another area where the multi-stakeholder forum can be involved. CRCs are an invaluable tool by which to gauge consumer satisfaction with specific services and to highlight shortcomings. They present a structured set of service issues around which service agencies and the government can initiate actions to show results. Similarly, by measuring the incidence and costs of illegal activity, CRCs have put 'clean government' firmly on the agenda of citizens and civil society organizations.

CRCs generally question respondents, and make statistical analyses, on the service-related questions listed in *Box 14* below.

Through the findings of CRCs, the multistakeholder forum can mobilize town residents to pressure service improvements from city agencies. By providing the public with the information necessary to hold elected representatives personally accountable, it enables citizens to create the agenda for service and governance improvements – reversing the current situation in which politicians and political parties make electoral promises for which it is difficult to hold them accountable. It also creates competitive pressures amongst municipal councillors to find sustainable solutions to problems. An example of a Citizen Report Card is contained in *Case Study 2* below.

Citizen Report Card in Bangalore

In 1994, 1999 and 2003, the Public Affairs Centre (PAC), a Bangalore-based NGO, ran extensive surveys with city residents to determine their levels of satisfaction with a range of municipal services, as also to ascertain the costs they incurred for poor service. The Public Affairs Centre first assessed the nature of the problems that citizens were confronting through group discussions. It then designed a specialized questionnaire, and used a market firm to administer it to 1,200 middle class to low income households. Local donations covered the costs of the survey.

The questionnaire was administered to 480 middle-income and 330 slum households, which had interacted with public services agencies within the previous six months, across six localities in Bangalore. Respondents were asked to assess eight of the city's key public services/agencies on a scale of 1 ('Least Satisfied') to 7 ('Highly Satisfied'). They were also asked what direct and indirect costs they bore as a result of poor service provision, how courteous and responsive service agency staff had been, and whether it had been necessary to make illegal payments.

Based on the findings of the survey CRCs and ratings were then produced on individual public service providers within the city. The findings of the CRC were shared with all the public service agencies concerned, as also the state's most senior politicians and bureaucrats. They were also publicized widely by the media. PAC also organized a series of public meetings across the city to enable citizens to consider survey results, as also a strategy to ensure the necessary improvements. Subsequently, PAC has run two more CRCs in Bangalore.

The Second CRC, run in 1999, on a larger sample, surveyed satisfaction with the same agencies as in the First CRC and applied the same methodology for representative samples. However, it actively engaged service providers and the city government in designing the questionnaire, so as to enable them to gather specific information that they required to improve service, and to support their attempts to systemize the process of data collection and feedback. While the CRC revealed some improvements, satisfaction levels continued to remain below 50 percent even for the best-rated agencies. The scope was broadened considerably for the Third CRC, 2003 and it also included an assessment of reform initiatives by city agencies and an examination of the extent to which citizen feedback related to agency reforms.

In Bangalore, PAC strategically used CRC findings to pressure improvements from local service agencies, by mobilizing a coalition of civil society organizations to demand better service. It also worked closely with the city's service agencies and the Karnataka Government to help them develop the strategies and capacity to address service gaps. By disaggregating CRC findings to make independent presentations to specific service agencies on the level of public satisfaction with their services (by zone, by economic class, and by year), PAC enabled each agency to obtain a perspective on itself and plan more targeted interventions.

Source: *Water and Sanitation Program – Asia. 2007.* Engaging with Citizens to Improve Services, *pg. 165-184*

Case Study 2

Box 14

Service-related issues addressed by Citizen Report Cards

Access *– How many members of a given population have access to a particular service? This analysis can be further disaggregated to capture differences between specific locations, and gender, age, socio-economic, or ethnic groups.*

Usage *– Where access exists, to what extent is the service infrastructure being used? What are the reasons for nonuse, where this exists? The objective of such questioning is to understand how effectively delivery infrastructure is functioning, and where the shortfalls lie.*

Quality *– How satisfying, useful, and relevant is the service? What is the quality of service supply?*

Reliability *– Is the service being delivered as per stipulated schedules and specifications? How frequent are infrastructure breakdowns and supply interruptions? What are the reasons for this?*

Problem incidence and responsiveness *– How often do respondents experience a problem with service? Do they complain, and to whom? How rapidly is the problem resolved?*

Service and opportunity costs *– What costs (including 'forced' investments in alternatives) are respondents bearing due to poor service, demands for unauthorized payments, undue distance and inconvenient delivery schedules/ mechanisms?*

Transparency in service provision *– To what extent utilities provide proactive disclosure on norms and standards of service delivery?*

Source: Water and Sanitation Program – Asia. 2007. Engaging with Citizens to Improve Services, *pg. 165-184*

Case Study 3

WaterVoice Committees in Great Britain

The water industry in general, whether operated through privatised companies, not for profit trusts, or public authorities, is operated by large organisations, which can at times represent an inaccessible and formidable opponent to the individual consumer. In response, customer representative models have been established in Great Britain to act on the consumer's behalf on issues of charges, service standards, and complaints handling.

In England and Wales, 10 WaterVoice committees are established by OFWAT, and are independent of the privatised water and sewerage companies in England and Glas Cymru in Wales. The committees represent customer interests, deal with complaints about water companies, and monitor the service provided by water companies. The WaterVoice committees work with Ofwat and hold their meetings in public.

WaterVoice provides a strong and independent voice for all customers of water and sewerage companies in England and Wales. It operates through nine regional committees in England and a committee for Wales. They represent the interests of customers in respect of price, service and value for money; they also investigate complaints from customers about their water company. Ten WaterVoice committee chairmen form the WaterVoice Council, which along with subcommittees, deal with issues at national and European levels. WaterVoice Central is the statutory Ofwat Central Customer Service Committee, established under the 1991 Water Industry Act and responsible for representing the interests of customers of Severn Trent and South Staffordshire Water.

Source: *www.watervoice.org.uk*

7.1.3 Strengthening Consumer Voice in Utilities

Although many sector reforms are underway, meaningful participation by the consumers is often overlooked despite the fact that their satisfaction is a key outcome[17]. The multistakeholder forum can be used as a committee for representing the voice of customers.

The customer committees can question the water provider on its performance. This can mean visiting poorer neighbourhoods to talk with people about how often they receive piped water, for how many hours per day and how much they have to pay for it. The customer groups may be asked by government to become involved in setting fair charges. They should make sure that the water provider is putting

17. *Consumer Voice, Conference Issue Paper East Africa Regional Conference Accelerating Water Supply and Sanitation for the Urban Poor 29-30 May 2006, Nairobi, Kenya.*

Photo: © UN-HABITAT

any problems right and doing it in a fair way. In some countries they become involved in ensuring water companies pay the proper compensation to customers when they make mistakes[18].

Although consumer voice has been slow to develop in the water sector, examples of successful groups representing water and sanitation customers are Water Watch in Zambia and the Great Britain's the Office of Water Services (OFWAT) and its "WaterVoice" Committees.

In Lusaka, Zambia, the Water Watch committees have been going out to the poorer areas of the city to explain to customers their rights and responsibilities. They have been so successful and so well received that the energy and telecommunication regulators have now asked them to include additional members and take on responsibility for considering their performance as well (see *Case Study 4* below)

7.1.4 Preparation of City Development Strategies

The multistakeholder forum can also participate in the preparation of City Development Strategies (CDS). A CDS is an instrument for developing pro-poor urban governance in cities. *Box 15* below outlines the essentials of a CDS.

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18. Further information can be found at www.silsoe.cranfi eld.ac.uk/iwe/projects/regulation/

Case Study 4

NWASCO's Water Watch Groups, Zambia

The economic regulator for water in Zambia, NWASCO, set up Water Watch Groups to represent consumer interests in the serviced areas and provide information to consumers on service delivery. Membership to the groups is voluntary and usually advertised in the national press. Selected members need to have a good understanding of water supplies and are required to serve for two years.

Members meet every fortnight and are provided with initial training, stationery, transport and other help to carry out their activities. They have delegated powers from NWASCO to monitor the performance of the water utilities and follow-up outstanding complaints from consumers regarding the quality of service being provided and on any other related issues. When the Water Watch Group's intervention fails, they call upon NWASCO to take up the complaint with the utility. At this stage, the utility risks being penalised and the matter being publicised by the regulator.

Initial results of the Water Watch Groups have been very positive and good feedback from the public has been received. The quality of service by water companies and knowledge about water issues on the part of consumers is obviously being enhanced and cases of vandalism of infrastructure has dwindled as members of the public are coming forth to report offenders. Some of the results include the following;

- *Complaints brought to the company are now receiving attention within the stipulated time*
- *Increased awareness in all the departments of the water company on the need to improve quality of service to the satisfaction of the customer and; increased consumer awareness. NWASCO is now able to get feedback from the consumers on the sector strategies and policies being implemented and how they affect the consumers.*
- *The regulator has decided to include Water Watch Groups in the Tariff Adjustment Process as a result of the feedback it has received from consumers through the WWGs*
- *Knowledge about water issues on the part of consumers has increased and water companies have been forced to sit up and improve the quality of service*

Source: Sam Kayaga, 2004, Research Findings of the Zambia Case Study Regulating Public and Private Partnerships for the Poor

Box 15

Essentials of a City Development Strategy

Assess the state of the city and its region *– Each city needs to identify and analyse its own opportunities and problems; the values and preferences of its residents; its change drivers, including its relationship to its region and the national and global economy; and its assets and resources.*

Develop a long-term vision *– A shared strategic understanding among all stakeholders is essential to align energies to work cohesively for the good of the city.*

Act now with focus on results *– Although the vision has a long-term perspective, the strategy should focus on short-term results and accountability – indicating the role for many key stakeholders, not just local government.*

Value the contributions of the poor *– The CDS process capitalises on the enormous potential of the urban poor as development agents by supporting their participation in decision-making processes that affect their livelihood.*

Encourage local business growth *– Involving key stakeholders and collaborative leadership and responsibility is a more effective way of creating a business-enabling environment than just relying on tax-based incentives that sometimes divert resources needed for critical infrastructure investments.*

Engage networks of cities *– Learning from peers through city-to-city knowledge-sharing networks has proven the most effective and sustainable way to transfer knowledge. The involvement of local government associations is considered crucial for the institutionalisation and replication of a CDS.*

Focus on implementation *– Implementation is at the heart of a CDS, not the development of a perfect plan. Successful strategies mix means, clearly identify institutional responsibilities, and provide incentives for performance. Stakeholders learn to integrate evaluation and impact targets from the beginning, learn from errors, and revise the strategy in the next round.*

Concentrate on priorities *– A strategy reflects tough choices and focuses on a limited number of actions as well as on available resources to shape emerging opportunities. Strategic planning involves making informed decisions in a rapidly changing environment.*

Foster local leadership *– The sustainability and effectiveness of the CDS process depend to a great extent on the active involvement of the mayor, high-ranking local government officials, and representatives from the municipal council. If not anchored in the yearly municipal budget with a sustainable financing strategy, the CDS will remain just another planning document.*

Source: http://www.citiesalliance.org/activities-output/topics/cds/cds-about-ca.html

Preparation of the CDS brings together all stakeholders to develop a shared strategic understanding of municipal priorities, constraints, and challenges, and constitutes a shared vision of the city's short, medium and long-term development objectives[19]. It orders the city's resources, and gives reason and orientation to the use of these resources through a clear and consensual development implementation strategy. The CDS is one of the key approaches within the Cities Alliance[20].

The CDS approach is based on three important principles of enablement, participation and capacity building. Empowering local authorities and other partners, through enabling legal and institutional frameworks, is a necessary condition for the CDS exercise. Without the participation of those at the local level – local government and the urban poor – sustainable citywide strategies cannot be achieved. This participation must be genuine, resulting in local ownership of the process. *Case Study 5* below summarizes UN-HABITAT's Lake Victoria Region City Development Strategies Programme.

Lake Victoria Region City Development Strategies Programme

UN-HABITAT through its Urban Management Programme (UMP), with support from SIDA, initiated the Lake Victoria Region City Development Strategies Programme in early 2002, in a bid to strengthen the capacities of the three centres located along the shores of Lake Victoria. This initiative aims to mobilise the local authorities and stakeholders to develop a programme laying out City Development Strategies for improved urban environment and poverty reduction. It also seeks to address the absence of effective planning in Kisumu, Kampala, and Musoma – the three project sites. The respective local authorities have endorsed the CDS programme, and multi-sectoral coordinating committees have been set up. The initiative has focused on building a consensus on key environmental issues. The consensus has been used as the framework for preparing and implementing City Development Strategies for the three countries.

The pioneer CDS cities in Phase I of the Lake Victoria CDS initiative are Kisumu (Kenya), Kampala (Uganda), and Musoma (Tanzania). The respective local authorities have endorsed the CDS programme, and multi-sectoral coordinating committees have been set up. The initiative has focused on building a consensus on key environmental issues and the consensus has been used as the framework for preparing and implementing City Development Strategies in the three countries.

The Second Generation of Lake Victoria CDS cities, Homa Bay (Kenya), Entebbe (Uganda), and Bukoba (Tanzania) were selected by UN-HABITAT in consultation with the Lake Victoria Regional Authorities Cooperation (LVRLAC) to participate in the CDS programme. The cities have each prepared a profile and the preparation of the CDS document is ongoing.

Source: http://www.unhabitat.org/content.asp?typeid=19&catid=374&cid=188

Case Study 5

19. *City Development Strategies: Lessons from UMP/UN-HABITAT*
20. *The Cities Alliance was conceived in 1999 as a coalition of cities and their development partners, committed to address urban poverty reduction as a global public policy issue. Consultative Group Members are UN-HABITAT and the World Bank, Associations of Local Authorities and Governments. For more information on the Cities Alliance, visit their website <http://www.citiesalliance.org/>.*

Annex I:
Sample Lease Agreement for a Water Vending Kiosk

REPUBLIC OF KENYA

LEASE AGREEMENT FOR WATER VENDING KIOSK
BUILT WITH FUNDS FROM UN- HABITAT

Whereas UN-HABITAT is assisting Lake Victoria South Water Services Board to upgrade its facilities and improve the performance of Homa Bay Water Supply Scheme for the benefit of all the residents of Homa Bay Municipality;

AND whereas under Lake Victoria Region Water and Sanitation Initiative, a Multi-stakeholder Forum has been created as a structure to enhance pro-poor involvement in development and governance of the facilities being funded by UN HABITAT;

AND further that the above said Multistakeholder Forum has been mandated to deal with the facilities being put in place in Homa Bay under the Lake Victoria Initiative in the best interest of the public and in the interest of the water service provider; IT IS NOW AGREED AS FOLLOWS:-

a. That this LEASE shall be in respect to the water vending kiosk constructed at the junction of Tourist Hotel and National Cereals and Produce Board within Homa Bay Municipal Council.
b. The said water vending Kiosk is to be managed by Rapar Women Group for a period of one year beginning 3rd December 2007 to 3rd January 2009 after which period of time, the said Water Vending Kiosk shall revert back to the Water Service Provider and the Multistakeholder Forum.
c. The Multistakeholder Forum in consultation with the water service provider shall make a decision on whom to run the said water vending kiosk after the lapse of the current lease well before the lapse date so as to avoid any inconveniences to the public.

SPECIAL TERMS AND CONDITIONS

1. In consideration of payment of the initial sums of Kenya Shilling three thousand three hundred and fifty only and another Kenya Shillings Five thousand by Rapar Women Group to the water service provider as connection and meter fees respectively, the water service provider shall ensure that the said water vending kiosk is dully connected and given out on due date to the said Rapar Women Group.
2. Any other agreement entered into between Rapar Women Group and the water service provider that shall be read together with this lease agreement but this lease agreement shall, for the purposes of the Water Vending Kiosk herein referred to above, be the main guiding principle of relationship between the Multistakeholder Forum, The Water Service Provider and Rapar Women Group.

3. Upon the expiry of this lease, Rapar Women Group shall grant vacant possession to the said water vending kiosk and shall re-apply alongside other applicants for an extension of this lease, otherwise the Multi-stakeholder Forum and the water service provider shall be entitled to make a decision on whether to extend this lease in favour of Rapar Women Group or lease out the said water vending kiosk to another group altogether.

IN WITNESS WHEREOF, the parties have herein-above set their respective hands unto this agreement this……day of ……..2007.

SIGNED by the WSP)
In the presence of: -)
)
)
)
) Schemes' Manager
) Homa Bay Water Supply Scheme
)

_____

SIGNED by MSF)
In the presence of: -)
)
)
)
)
) Secretary
) Multistakeholders Forum
)

_____

SIGNED by Rapar Women Group)
In the presence of: -)
)
)
)
)
) Chairman
) Rapar Women Group

_____

Annex 2:

Sample Minutes of the Multistakeholder Forum in Homa Bay Town

UN HABITAT LAKE VICTORIA REGION WATER AND SANITATION INITIATIVE

(MULTISTAKEHOLDER FORUM)
MEETING No.01-2008-UNHABITAT/MSF/ HOMA BAY
Held at Homa Bay Municipal Hall on 11th March 2008

PARTICIPATION

Samwel Nyauke	Secretary MSF rep. EWP
Cllr. P. O. Nyauke	Mayor/Chairman MSF
Lillian Aluoch	D/DSDO-Homa Bay
Lamek Ogot	HBMC
Sophie A. Obop	HBMC
Francis Kwamanga	PHO
Arthur Imbo	Shauri Yako Rep
Dickson Odhiambo	SOPIMA
Maurice Asuna	Makongeni Friends
Cllr. Casmiel O. Binge	Councillor
Joshua C. Ochogo	Chief, Homa Bay Town
Isaac Ouso Nyandege	Councillor, Kanyabala Ward
Jackton O. Oliel	Assistant Chief, Arujo Sub location

OPENING AND PRAYERS

- The meeting was opened by a word of prayer from area Chief Mr. Joshua Ochogo.
- Thereafter his worship the Mayor, Cllr. Peter Ogolla Nyauke who is also the chairman of the multistakeholder forum gave his opening remarks after which he asked the members to do self-introduction.

READING AND CONFIRMATION OF THE PREVIOUS MINUTES

The chairman asked the secretary to read out the minutes of the previous meeting. The said minutes were proposed as true records of what had been discussed by Ms. Lillian Aluoch and seconded by Mr. Maurice Asuna. Thereafter members deliberated on matters arising from the minutes of the previous meeting.

MATTERS ARISING

A member sought to know what the task force on waste collection did. It was noted the task force had completed its work and what now remained was for the multistakeholder forum and the Municipal Council to work on strategy for implementation.

The issue of revolving funds also came up as a matter arising. Members wanted to know what became of these funds. It was agreed that the forum should wait for

funds from UN HABITAT to launch these funds. Otherwise, it was recognised that several groups had lost a lot of their waste collection assets and thus they require some support. Still members agreed that it will only be necessary to deal with how much each group gets after funds are received.

On funds from UN HABITAT, members felt that the PIU should ensure that these funds are availed to the ground to make running of the project activities especially at the ground easier. The chairman of the multistakeholder forum was asked to liaise with the town clerk to ensure that these funds are availed.

A matter arose on what was being done on funds that were not accounted for by the water office. It was again pointed out that Engineer Lai should be made to account for what he was given. It was the opinion of the members that UN-HABITAT should proceed and release the second batch of the co-operation agreement funds less what is said to have been misappropriated.

Clean Up exercise was also revisited and members unanimously agreed that to make Homa bay town clean, they will have to get involved very aggressively in its clean up. It was however noted that the post election violence had derailed a lot of multistakeholder forum activities hence the need for a meeting with all chairman of the groups participating in the clean ups.

Expansion of multistakeholder forum membership - This proposal by the secretary was short down by the members. It was the feeling of the members that MSF itself still need to do a lot and expanding it at this juncture would be counter productive.

An issue arose on the participation of officers from lands department. It was underscored that efforts need be put in place to continuously involve the lands department into this project. On this it was resolved that letters of invitation to the next meeting be sent out to the lands office and the surveyor to attend the meeting and the same be delivered through delivery note.

Members also wondered why communication cash had not been given to Ms. Sophie to ease invitation of members to the meeting. The chairman requested members to be patient on this issue as UN HABITAT had not given out co-operation agreement funds yet the Council is also overstretched financially.

AGENDA

The Gender Workshop in Entebbe, Uganda

- The members present deliberated on these issues and agreed that selecting a women's representative to travel to Entebbe should be done through ballot between the two ladies- that is, Sophie and Lillian.
- At the ballot, Lillian was lucky to have picked a yes to be able to represent women at the above said meeting.

Water vending kiosk at National Cereals and Produce Board- Rapar women group

- This was discussed under AOB. Members noted with concern that to date, the said water Kiosk is not supplied with water yet the kiosks next to it get water regularly. The chairman was asked to use his Councillors and help solve these issues politically as it has gone beyond levels of civil tolerance.

Project progress

- Members were informed that the project was about to enter its long-term activities. It was, however, pointed out that so far, the first phase has nothing to show as accomplished. It was resolved that before we take on long term projects, it would be necessary to take account of what we have achieved on the short term. This would require that UN HABITAT provides a forum for such review and give out details of the BQs, the work done and the amounts involved.

Contractors work

- A member representing Makongeni Estate indicated that the work on temporary refuse transfer point at Makongeni was shoddy as the transfer point is already cracking. It was resolved that this issue be followed up with the UN-HABITAT Clerk of Works, Mr. Cosmas Wambua.

Clean up successes

- Members sought to know when the Council would organise for a party or celebration in respect to the achievements of the previous year in terms of cleanliness awards bestowed on Homa Bay by LAVRLAC.
- It was pointed out that LAVRLAC issues do not concern multistakeholder forum but they can participate at celebrations. Members were however concerned that it is their efforts that have contributed to the successes of clean up exercise.

END AND THE NEXT MEETING

The meeting ended at 2.30pm with a word of prayer from Jack Olielo. No date was fixed for the next meeting.

UN-HABITAT

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